

**REPORT OF THE
AD HOC COMMITTEE ON DECANAL STRUCTURES**

**A REPORT TO
PRESIDENT PETER SALOVEY AND
PROVOST BEN POLAK**

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1. OVERVIEW

1A. THE COMMITTEE'S CHARGE

On November 19, 2013, President Peter Salovey and Provost Ben Polak met with the Ad Hoc Committee on Decanal Structures and charged it with the task of exploring alternative administrative structures for Yale's Faculty of Arts and Sciences (FAS).

The committee was asked "to look at the FAS decanal structure at Yale and other institutions to assess what worked well and what worked less well." It was asked to produce a brief report by January 17, 2014, offering answers to two questions:

1. What are the pros and cons of adding a Dean of the Faculty of Arts and Sciences to the current FAS decanal structure (that is, the structure that currently consists of a Dean of Yale College and a Dean of the Graduate School of Arts and Sciences)?
2. What are the pros and cons of a system that includes divisional deans (humanities, social sciences, science) in place of some of the features of the current Yale structure (e.g., area-specific deputy provosts, division directors, etc.)?

These investigations were conducted against the backdrop of the current FAS decanal structure, which includes two FAS-wide deans: the Dean of Yale College and the Dean of the Yale Graduate School of Arts and Sciences (GSAS). The current structure also includes one "area" dean, the Dean of the School of Engineering & Applied Science. We were asked to set aside Engineering from our discussions, so our attention was focused on the two FAS-wide deans (Yale College and GSAS) and on the relations between them and the Yale University Office of the Provost.

1B. THE COMMITTEE'S MEMBERSHIP

The committee was composed of six faculty members:

Dirk Bergemann (Economics)
Jack Dovidio (Psychology, Committee Chair)
Emily Greenwood (Classics)
Scott Miller (Chemistry)
Linda Peterson (English)
Ramamurti Shankar (Physics)

In addition, the committee was staffed by Tamar Szabó Gendler (Philosophy), Deputy Provost for Humanities and Initiatives. Research support was provided by Martha Highsmith (Senior Advisor to the President) and Alison Macdonald (Project Manager, Yale University Office of the Provost).

1C. THE COMMITTEE'S WORK

The committee worked intensively during its two-month lifespan. It met nine times in person to review information, discuss various models, and arrive at recommendations; each of these meetings lasted between one and four hours. In preparation for these meetings, committee members examined decanal structures at ten other institutions, including

Brown, Chicago, Columbia, Cornell, Duke, Harvard, NYU, Princeton, Penn, and Stanford (see Appendix A), as well as historical Yale documents (e.g., historic organizational charts from the Deans' and Provost's offices (see Appendix B) and previous governance reports, including the report of the 1992/93 Berson Committee (see Appendix C)).

The committee considered it of utmost importance to engage in a broad and open process of consultation with faculty across the FAS in order to gather input from a wide range of voices. To this end, the committee created a dedicated email account to which all FAS faculty were invited to send suggestions and observations. More than 25 faculty members sent substantive messages to this address, and all messages were made available to the committee as a whole. The committee also presented its charge to all 43 of the FAS department chairs at the morning chairs' meetings in December, inviting comments and feedback, and encouraging them to send their colleagues to one of the three public forums which were held for faculty in December. Staffed by two or three committee members each, these forums were attended by a wide range of FAS faculty from across the campus, and extensive notes about each meeting were circulated to the full committee. Additionally, during November, December, and January, members of the committee held innumerable informal conversations with colleagues throughout the FAS. Finally, committee members and the Deputy Provost for Humanities and Initiatives interviewed large numbers of current and past faculty and administrators at Yale (including virtually all the current and many of the former major FAS officers of the last two decades), as well as a range of individuals who hold or have held major administrative positions at peer institutions (see Appendix D). Notes from these meetings were circulated and discussed by the entire group.

This report is the result of the analysis of all of the information gathered by the committee. The committee first summarizes its findings and then considers alternative decanal structures that include (as we were charged to do) either a Dean of the Faculty of Arts and Sciences, and/or divisional deans in place of some of the features of the current Yale structure. The committee then assesses the strengths and weaknesses of each of the proposed structures.

2. SUMMARY OF FINDINGS

2A. DISTINCTIVE STRENGTHS OF YALE'S CURRENT FAS GOVERNANCE STRUCTURES

The current decanal structure of Yale's Faculty of Arts and Sciences (FAS) has a number of important strengths. Paramount among the committee's goals was to identify ways to preserve as many of these strengths as possible in whichever structure is ultimately adopted. While we looked at other universities for examples and inspiration, we tried to be sensitive throughout our deliberations to the ways in which Yale's administrative structure is both organic and unique. Among the faculty and current and past administrators to whom we spoke, we discovered widespread consensus concerning a number of perceived strengths of Yale's present FAS governance structure.

STRENGTH 1: LIMITED HIERARCHY IN ADMINISTRATIVE STRUCTURE

FAS faculty at Yale consistently expressed appreciation for their easy access to key administrators. Compared to many peer institutions, Yale has fewer administrative layers and screens. Yale has a history of effective working relationships between faculty and administrators, and the committee concurs that it is crucial to create a structure that preserves these features.

STRENGTH 2: KEY ADMINISTRATIVE POSITIONS OCCUPIED BY DISTINGUISHED FACULTY MEMBERS

FAS faculty consistently stressed the importance of having accomplished scholars in senior administrative positions. This is more than a symbolic gesture: faculty administrators bring faculty perspectives and values to administrative decisions and help promote the intellectual and scholarly mission of the institution. Scholarly excellence is essential not only for guiding tenure and promotion decisions, but also for providing leadership on issues of academic vision, curriculum, and pedagogy. Faculty members who serve in the top administrative roles generally do so because of a deep commitment to Yale. They are highly respected by their colleagues, and this respect promotes trust and increases the willingness of faculty, departments, and programs to cooperate in ways that benefit all. Because faculty administrators typically rotate back into the faculty, they bring valuable new university insights back to their departments and to the FAS as a whole. The committee believes that it is vital that key FAS administrative positions continue to be configured so that they attract outstanding academic candidates.

STRENGTH 3: RANGE OF EXPERTISE IN DECISION-MAKING

Yale has consistently sought to lodge decision-making with those who have the expertise required to make decisions wisely and effectively. Tenure and promotion decisions are made by faculty from the division in which the promotion is sought; deputy provosts are experts in the fields that they serve; FAS Steering is composed of deans and provosts who together have detailed knowledge of the academic and curricular concerns of the College and the Graduate School and of their financial and other constraints. The Expanded Executive Committee of the FAS brings together faculty who are working full-time as administrators (provost, deputy provosts and deans) with faculty whose commitment to administration is only part-time (division directors) to make decisions about a range of FAS academic priorities. The committee believes that such expertise should remain central to any future system.

STRENGTH 4: SPECIAL PLACE OF YALE COLLEGE WITHIN THE UNIVERSITY

Distinctively among leading research universities, Yale places a central emphasis on excellent undergraduate education and on maintaining a residential college system that is highly integrated with the intellectual life on campus. Many we spoke to underscored the special place that Yale College holds in the university. The committee concurs that this distinguishing aspect of Yale should be preserved.

2B. CHALLENGES AND CONSTRAINTS ASSOCIATED WITH YALE'S CURRENT FAS GOVERNANCE STRUCTURES

Although the current structure has many desirable features, it also presents a number of challenges and missed opportunities that can be traced to particular aspects of the organizational apparatus. These challenges were raised time and again during the committee's discussions with current faculty members, previous and current administrators at Yale, and administrators and faculty members at other institutions. Similar issues also emerged from the committee's review of Yale documents (e.g., previous reports and organizational charts).

Over the last decades, Yale has become increasingly complex; the addition of the two new residential colleges in Fall 2016 will only add to this complexity. Several of the challenges we discuss below reflect ways in which the current configuration of administrative positions is ill-suited to manage the increased, and increasing, intricacy of the institution.

These challenges are *not* a negative reflection on the people who have occupied the administrative positions under discussion. Indeed, those who have served in these positions are highly admired for their talents, generosity, commitment, and accomplishments. Rather, the stated challenges are structural limitations, highlighted, in fact, by many of the individuals who have occupied these positions.

The challenges to Yale's decanal structure involve forces that strain the capacity of those in senior administrative positions to perform their duties with optimal effectiveness and thus unnecessarily limit future opportunities for the institution.

CHALLENGE 1: LACK OF DEDICATED ATTENTION TO FAS LONG-TERM PLANNING AND VISION

The committee concluded, based on its review of materials collected within Yale and from peer institutions, that other universities seem to devote more resources to strategic and long-term planning within the arts and sciences. At Yale, because of their broad portfolios, neither the Dean of Yale College nor the Dean of the Graduate School has the time to offer focused leadership for supporting faculty throughout the faculty life-cycle, for nurturing and shepherding FAS-wide initiatives, and for developing and implementing strategic plans. The current allocation of responsibilities to the Dean of Yale College and the Dean of the Graduate School limits how well these deans can address issues that cut across all departments and programs within the FAS, such as the mentoring of faculty, distribution of resources, promotion of a thriving research culture, and provision of support that will attract and retain faculty of the highest caliber. The committee concluded that it would be immensely valuable to build administrative structures that could support these priorities.

CHALLENGE 2: LACK OF CLARITY CONCERNING LINES OF AUTHORITY AND RESPONSIBILITY

Under the current system, the Yale College Dean and Dean of the Graduate School, in association with the deputy provosts, share responsibility for FAS departments, with overlapping and confusing lines of responsibility and authority.

This lack of clarity manifests itself in several ways. From the perspective of chairs and other faculty, there is confusion about which administrator to consult for particular tasks (e.g., searches, leaves). This concern was a recurrent theme in comments received from current and past department and program chairs. Moreover, interviews with and comments from the faculty at large revealed a persistent complaint that the current system is procedurally opaque; faculty members often commented that they did not understand how decisions were made and by whom. Several current deans and deputy provosts also noted that the lack of clarity involving lines of authority and responsibility may result in redundancy of effort, conflicts of authority, delays in providing feedback or timely guidance, and missed opportunities. In its review of current structures, the committee recognized inefficiencies in administration related to this redundancy of effort and unnecessary overlap in responsibilities.

CHALLENGE 3: LIMITED OPPORTUNITIES FOR FAS FACULTY INVOLVEMENT IN ADMINISTRATIVE LEADERSHIP

Yale has benefited greatly from faculty members who have provided outstanding leadership in key administrative roles. However, compared to peer institutions, Yale offers fewer opportunities for a wide range of faculty members to become involved in administrative positions with significant leadership responsibility. This aspect of Yale's current administrative structure limits perspective and fails to bring into the administration the voices of Yale faculty members whose diverse experiences and skills could benefit the university. While recognizing that the primary responsibilities of faculty members lie in undergraduate teaching, graduate training, and scholarship, and while sharing concerns expressed by many faculty members about limiting the size of the administration, we see significant value for the university, the FAS, and the professional development of individual faculty in giving faculty with the necessary talent and motivation more substantive roles in FAS leadership.

CHALLENGE 4: LIMITED INDEPENDENT VOICE FOR FAS CONCERNS

Each of the professional schools has a dean who bears primary responsibility for the school's budget, faculty, and educational program. In the case of the FAS, the Provost bears responsibility for the FAS budget, as well as responsibility for the associated aspects of FAS faculty and staff affairs (e.g., faculty recruitment, departmental budgets, staffing size and configuration).

This arrangement has significant consequences. On the one hand, the Provost represents the needs of the FAS and devotes considerable attention to them. On the other hand, because the position of Provost requires impartial attention to concerns of

the entire university, there is no one with financial authority who is in a position to offer direct advocacy for the FAS, an opportunity that deans of the other schools at Yale enjoy. This structure means that the Provost faces an internal conflict of interest, being at once the sole solicitor of funds for the FAS and the sole party responsible for disbursement of those funds.

The committee concluded that, given these considerations, the President should consider seriously the possibility of introducing an FAS Dean or similar position with primary responsibility for the FAS budget in a manner similar to that in which the deans of Yale's professional schools hold responsibility for their budgets.

CHALLENGE 5: UNMANAGEABLE SCOPE OF THE YALE COLLEGE DEAN'S POSITION AS CURRENTLY DEFINED

The Dean of Yale College bears responsibility for undergraduate academic and residential activities in Yale College, as well as joint responsibility for the FAS faculty. The Dean's portfolio includes review and planning of undergraduate academic programs, oversight of residential college deans, oversight of academic honors and prizes, academic advising, and disciplinary processes and actions, as well as nearly two full days per week devoted to FAS-wide tenure and promotion decisions. The Dean of Yale College also performs a range of ceremonial duties and presents an important public face of the university to parents, alumni and potential donors.

With the adoption of the Faculty of Arts and Sciences Tenure and Appointments Review Committee (FASTAP) regulations (which has substantially increased the number of promotion and tenure cases overseen by the Dean of Yale College and the Dean of the Graduate School), the additional demands associated with compliance to new state and federal laws and regulations (e.g., Title IX), and the escalating expectations for direct access to the Dean by students and faculty both in person and electronically, our interviews and analysis indicate that the already barely manageable position of Dean of Yale College is becoming too complex for a single person to handle effectively. This has become true even given the extraordinary incumbents who have held the position in recent decades. The addition of two new colleges in 2016-17, with the accompanying fifteen percent increase in the size of the student body, will significantly increase the demands placed on the Yale College Dean, not only during the critical transition period but also in a sustained way into the future.

The committee concluded that, under these conditions, for the Yale College Dean to maintain his/her full current portfolio of duties will become untenable.

CHALLENGE 6: UNMANAGEABLE SCOPE OF THE YALE UNIVERSITY PROVOST'S POSITION AS CURRENTLY DEFINED

As the chief educational and administrative officer of the university after the President, the Provost bears ultimate responsibility for the educational policies and activities of the university's schools: Yale College, School of Medicine, Divinity School, Law School, Graduate School, School of Art, School of Music, School of Forestry & Environmental

Studies, School of Nursing, School of Drama, School of Architecture, and School of Management (*Yale University Bylaws*: <http://www.yale.edu/about/bylaws.html>).

As noted above, except for Yale College and the Graduate School, each of these schools has a dean who bears primary responsibility for the school's budget, faculty, and educational program. In the case of the FAS (Yale College and Yale Graduate School), the Provost plays part of the role played by the deans of the other schools: s/he (in conjunction with the deputy provosts) bears responsibility for the FAS budget, as well as responsibility for the associated aspects of FAS faculty and staff affairs (departmental budgets, faculty recruitment, staffing, etc.).

As the budget for the university has grown, this arrangement has become less and less feasible. Between 1993-94 and 2013-14, the expense budget for the Faculty of Arts and Sciences grew from \$133 million to \$491 million (an increase of 370 percent), while the budget for the rest of the university grew from \$696 million to \$2,839 million (an increase of 408 percent). Of the 1,023 tenured faculty at Yale, 447 (43 percent) are members of the FAS (Appendix G).

The committee concluded that, under these circumstances, it has become untenable for the Provost to serve – *de facto* – as the financial dean of FAS, in addition to his/her other duties.

2C. COMMITTEE PRINCIPLES

Informed by the collection and analysis of information from inside and outside of Yale, the committee developed the following basic principles to guide its proposal of alternative models for decanal structures for Yale:

TRANSPARENCY OF PROCESS

- Commitment to basing its assessments and recommendations on a broad range of information and open discussion throughout the Faculty of Arts and Sciences

RESPECT FOR HISTORIC STRENGTHS

- Commitment to retaining the distinctive administrative strengths of Yale's FAS, including limited administrative hierarchy and the recruitment of faculty of the highest academic caliber to administrative positions
- Appreciation of the historical role of the Dean of Yale College in relation to students, their families, alumni, and faculty
- Appreciation of the value to the institution and its faculty of having distinguished faculty occupy substantive leadership positions in FAS and university administration

ADMINISTRATIVE EFFECTIVENESS

- Commitment to developing administrative structures within the FAS and the university that strive for transparency and that lodge responsibility for academic

matters with those best suited to understand the relevant issues and to formulate and execute appropriate solutions

- Commitment to developing an FAS decanal structure that optimizes administrative efficiency, increases responsiveness to faculty and students, and promotes planning that will continue to support and enhance the stature of the FAS

LIMITED BUDGETARY IMPACT

- Recognition of concerns about excessive financial and personnel investment in administration, both in principle and in light of the current budgetary climate
- Recognition of the need for a subsequent review of other administrative positions (e.g., Yale College and Graduate School deputy, associate and assistant deans and administrators; deputy, associate and assistant provosts; officers such as vice presidents and their associates and assistants) to limit the size of the administration and to reallocate resources to reduce redundancy, minimize costs, maximize effectiveness, and create more administrative cohesiveness throughout the FAS

3. MODELS FOR DECANAL STRUCTURES

The committee considered various decanal structures, ranging from completely retaining the current configuration to radically reshaping the entire administrative structure of the FAS. These deliberations were informed by an analysis of the strengths of the current system, immediate and long-term institutional challenges, information about the effectiveness of various structures at peer institutions, and respect for the traditions of Yale and the elements of its unique structure that should be preserved.

Although the committee received a few comments representing a “since it isn’t broken, don’t fix it” perspective, the vast majority of comments we received identified a number of ways Yale could improve its administrative structure. The committee’s own review and analysis of administrative structures at peer institutions highlighted some of the limitations of Yale’s current structure, both by revealing problems in similar structures at other universities and by offering concrete examples of more effective administrative solutions.

Whether or not the current high-level decanal structure is changed, the committee recommends that there be a review of the various (deputy, associate, and assistant) provostial and (deputy, associate, and assistant) decanal positions across the FAS to ensure that personnel are being used effectively and efficiently and that there has not been unnecessary expansion in these areas due to lack of systematic oversight and vision. Longer term, we recommend that the university consider co-locating the various FAS deans and their staff in ways that will facilitate coordination, cooperation, and opportunities to share resources.

Although the primary charge of the committee was to consider the advantages and disadvantages of a range of models, in the course of our deliberations, one model (Model 1) emerged as the model preferred by most members of the committee.

(Note that only the general scope of duties within each model is described below. If a decision is made to pursue a change in FAS decanal structure, the committee is prepared to help with the development of a more detailed plan for the assignment of specific duties.)

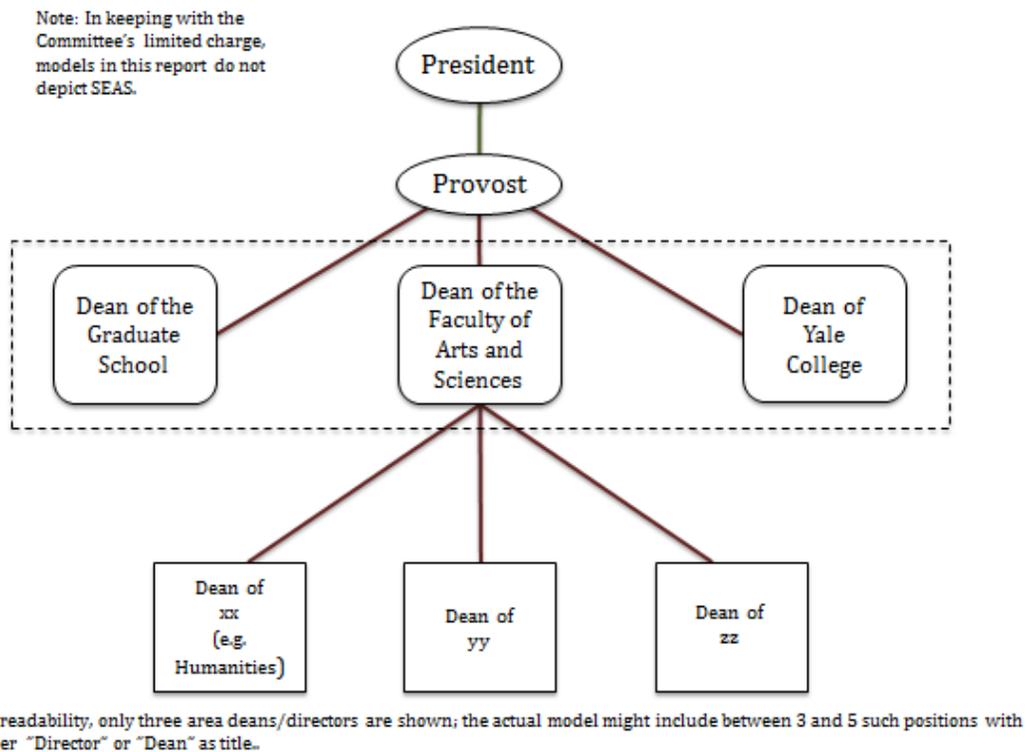
3A. MODEL 1

OVERVIEW OF MODEL 1

The model that received the most support from members of the committee combines two new key elements of structures that have been effective in peer institutions (see Appendix A): the introduction of a Dean of the Faculty of Arts and Sciences and the introduction of (full- or part-time) divisional (or area) deans (or directors).

The committee believes that this model, illustrated in Figure 1, responds to many of the key concerns expressed by the Yale faculty and represents an effective way of dealing with many of the current administrative challenges.

FIGURE 1: ORGANIZATIONAL CHART FOR MODEL 1



ELEMENT 1: DEAN OF THE FACULTY OF ARTS AND SCIENCES

As presented in Figure 1, the FAS governance structure would include the two existing FAS-wide deans (Dean of Yale College and Dean of the Graduate School), along with one additional FAS-wide dean (Dean of the Faculty of Arts and Sciences). This triumvirate framework echoes the current departmental triumvirate structure (DUS, DGS, Chair), and represents a structure whose broad outlines are shared by the vast majority of Yale's peer

institutions (Appendix A). The goal of introducing a Dean of FAS is to allocate administrative responsibilities in a more manageable way among the deans and provosts, while creating a locus for focused attention to important ongoing activities (budgeting, planning, promoting the intellectual life of faculty) for the FAS as a whole.

The Dean of the Graduate School would continue to be responsible for general issues of graduate curriculum, graduate admissions, and graduate student affairs. The Dean of Yale College would continue to have primary duties relating to the undergraduate curriculum, intellectual life, student affairs, and the co-curricular elements of residential life, as well as central involvement in public affairs and fundraising. The new Dean of the Faculty of Arts and Sciences would be primarily responsible for budget management within the FAS (taking over these responsibilities from the Provost) so that the relation of the FAS Dean to the FAS budget would be akin to the relations of the deans of the Yale professional schools to their budgets. The FAS Dean would also be responsible for faculty development and support (assuming a portion of the responsibilities of the current deans) as well as FAS-wide strategic and long-range planning. Involvement in the various stages of FAS tenure and promotion decisions would be shared among the three deans in suitable ways. (The committee discussed a range of ways in which responsibilities in tenure and promotion decisions could be distributed.)

ELEMENT 2: DIVISIONAL DEANS

The second key element of Model 1 is the transformation of the current division director positions into full- or half-time administrative roles with some discretionary resources. The goals of this change are to provide a degree of non-centralized decision-making by placing authority in the hands of those with area expertise and to provide support for the three FAS-wide deans, who will consult these specialists on FAS-wide matters where divisional expertise is required.

This structure also frees the FAS-wide deans from the need to serve as advocates for one or another of the FAS divisions, allowing them to carry out their respective decanal responsibilities (for the college, graduate school, and faculty) from the perspective of the FAS as a whole.

These new full- or half-time administrative positions – which we anticipate to number between three and five – might bear titles such as Dean (or Director) of Arts and Humanities, Social Sciences, Biological Sciences, and Physical Sciences.

These area deans would work closely with a specified set of department and program chairs (meeting regularly with them individually and collectively) to coordinate efforts within and across these units, co-chair (with one of the FAS-wide deans) tenure and promotion committees for these departments and programs, and be responsible (in conjunction with the Dean of the FAS) for strategic planning for and systematic review both of the division as a whole and of the departments and programs within it. The area deans would be responsible for prioritizing resources and initiatives within their respective divisions and providing input on relevant faculty recruitment and retention issues, and they would collectively play a role in faculty resource decisions by serving on bodies such as the FAS Expanded Executive Committee.

ADVANTAGES AND DISADVANTAGES OF MODEL 1

The committee believes that this structure preserves the distinctive strengths of Yale's current FAS administrative structure, in that it:

- *Limits administrative hierarchy.* There are no more administrative layers in Model 1 than in the current structure.
- *Involves distinguished faculty members in key administrative positions.* By reducing the demands on the Dean of the Graduate School and particularly on the Dean of Yale College by adding a Dean of the Faculty of Arts and Sciences to share administrative responsibilities, the model creates positions suitable for faculty who wish to serve in administration without completely suspending their teaching and research for the duration of their service. By potentially introducing a number of half-time (Chair-sized) administrative positions with genuine authority, the model introduces a range of additional faculty voices into the highest levels of the Yale administrative structure.
- *Expands expert input in decision-making.* The addition of the area deans to the triumvirate structure of the Dean of Yale College, Dean of the Graduate School, and Dean of the Faculty of Arts and Sciences integrates broad disciplinary perspective and expertise into university decision-making.

Model 1 also addresses key current institutional challenges, in that it:

- *Allows for long-term and strategic planning.* Among the primary responsibilities of the Dean of the FAS will be attention to issues of long-term FAS-wide faculty concern.
- *Frees the FAS-wide deans from the need to serve as divisional advocates.* The proposed structure leaves the three FAS-wide deans free to carry out their respective decanal responsibilities (for the College, Graduate School, and faculty) from the perspective of the FAS as a whole, without having to serve as *de facto* advocates for one or another of the divisions.
- *Offers clarity in the lines of authority and responsibility.* The transformation of division directors into area deans places substantive administrative responsibility and authority closer to department and program leadership, which should improve communication between faculty and administration and create more transparency of process. The system will also delineate clearly the duties of the Dean of Yale College, the Dean of the Graduate School, and the Dean of the Faculty of Arts and Sciences, as well as the relevant FAS-focused staff in the Office of the Provost.
- *Reduces the excessive demands on the Dean of Yale College.* Model 1 retains the Yale College Dean's core responsibilities for academic and co-curricular student life and the undergraduate curriculum, while the Dean of the Faculty of Arts and Sciences will focus on faculty development, budgetary allocations, and long-term FAS planning. The FAS Dean, in conjunction with the area deans, will take over cognizance for many of the FASTAP-related tenure and promotion responsibilities, further freeing the Yale College Dean from an excessive workload.
- *Reduces the excessive demands on the Provost, as well as conflicts within the Provost's position as currently conceived.* Model 1 gives direct budgetary control and responsibility to the FAS by transferring financial responsibility for the FAS from the Provost to the Dean of the Faculty of Arts and Sciences, freeing the Provost to focus

on university-wide concerns and eliminating the potential conflicts of interest that may occur under the current configuration.

The committee has also considered and responded to a number of potential weaknesses of Model 1, including that it:

- *Increases the number of primary deans in the FAS.* The committee understands the concern of many FAS faculty members about the expansion of the administration, particularly during a period of limited faculty hiring. Therefore, as noted above, we recommend a substantive review of other FAS and university administrative positions within the Provost’s office, the Yale College and Graduate School Deans’ offices, and the various Vice Presidential offices to limit the overall size of the administration and to reallocate resources to reduce redundancy and maximize effectiveness. The committee also notes that the proposed additional deans will be drawn from among the tenured FAS faculty and that the area dean positions, particularly if they are part-time, represent the sort of faculty self-governance that a number of those interviewed sought to enhance.
- *Potentially weakens the position of Dean of Yale College.* The committee is sensitive to the important historical role of the Dean of Yale College in relation to students, their families, alumni, and faculty. But it believes that assignment of duties across the three deans preserves an important role for the Dean of Yale College as the central figure in undergraduate student and residential life and in the undergraduate curriculum, and as an important public face of the university. The undergraduate curriculum is central to the teaching mission of FAS faculty, and the Dean of Yale College has a vital role to play in offering leadership to faculty in fostering excellence, creativity, and innovation in teaching. Our discussions suggested that reducing other demands so that the Dean of Yale College can focus on these primary responsibilities will produce a position that will continue to appeal to distinguished members of the Yale faculty.
- *Potentially reduces the FAS-advocacy role by the President and Provost.* Although the Provost would, under this plan, cease being the *de facto* financial Dean of the FAS, many of the key structures that support the connections among the President, Provost, and the FAS – such as the weekly “quintet” meetings among the Dean of Yale College, Dean of Graduate School, Dean of Engineering, Provost, and President – could be maintained under the proposed structure. (This meeting would be a “sextet” meeting if the decanal structure in Model 1 were implemented.) Likewise, FAS Steering, which brings together the decanal leadership of the FAS with the Provost’s staff involved with the FAS (including the Provost), could also continue to meet under the proposed plan.
- *Potentially creates more confusion and lack of administrative clarity.* The committee noted that more deans could potentially reduce administrative coordination and make lines of communication appear less clear to faculty. However, the committee also observed that many of the responsibility structures currently in place have evolved to address specific, incidental issues. A careful review of administrative responsibilities and assignments is almost certain to produce a more effective and economical distribution.

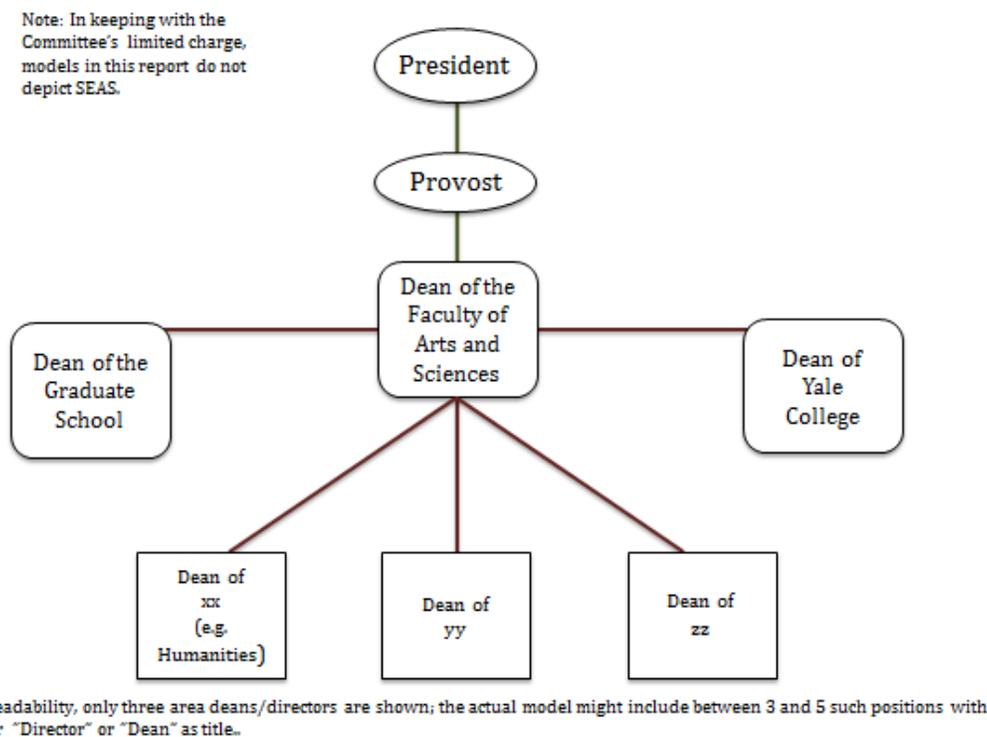
3B. MODEL 2

OVERVIEW OF MODEL 2

A second model that the committee considered was similar to Model 1, but with a more hierarchical structure. In Model 2, the Dean of the Faculty of Arts and Sciences, because of the position's budgetary responsibilities, would report directly to the Provost, while the Dean of Yale College and the Dean of the Graduate School would report directly to the Dean of the Faculty of Arts and Sciences and would not report to the Provost.

(The committee noted that this model could be combined with the creation of a School of Arts and Sciences, which could exist either alongside, above, or in place of Yale's current FAS schools: Yale College and Graduate School of Arts and Sciences. The committee concluded that the investigation of such a radical change lies beyond the scope of its mandate.)

FIGURE 2: ORGANIZATIONAL CHART FOR MODEL 2



ADVANTAGES AND DISADVANTAGES OF MODEL 2

The primary advantage of this alternative model – which is the model used by a number of Yale's peer institutions – is that it offers clearer and more streamlined lines of authority and reporting, which can enhance organizational efficiency. Several committee members felt that this plan holds long-term merits.

Others on the committee were concerned that this model adds an additional reporting layer to Yale’s administrative structure, potentially diminishes the roles of the Dean of Yale College and the Dean of the Graduate School, and risks reducing the range of expertise and information brought to bear in university decisions at the highest levels.

3C. MODEL 3

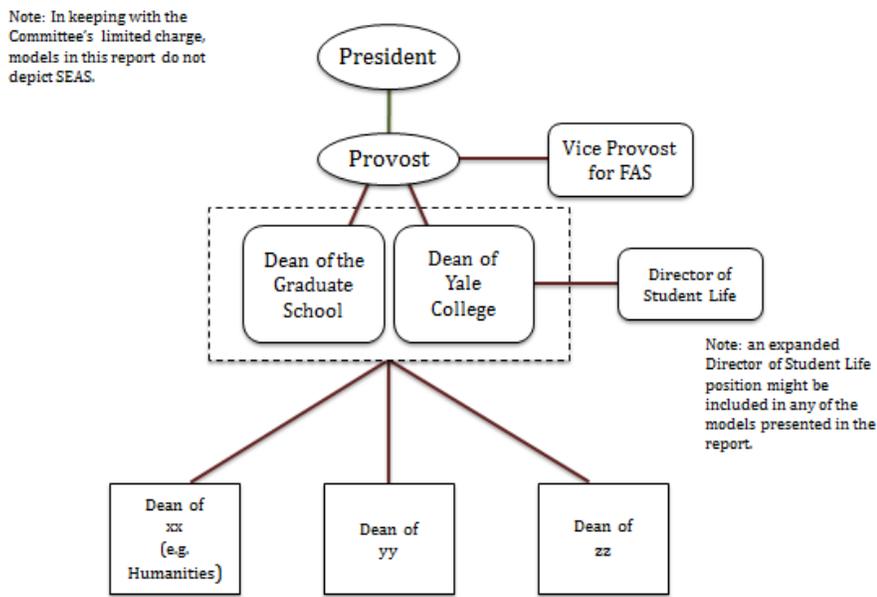
OVERVIEW OF MODEL 3

The committee carefully considered a model that retains the current two primary FAS Deans without adding an additional FAS-wide dean, but instead seeks to solve the problem of overload by redistributing administrative functions that are not directly related to teaching and research within the FAS to other offices. For example, the Dean of Yale College might be relieved of a range of current pastoral, disciplinary, space allocation, and student life administrative functions (e.g., liaison and oversight of the College Masters and residential college deans, disabilities office, athletics, alcohol, sexual misconduct, career services, cultural groups, housing, space allocation). These responsibilities would be allocated to a (presumably non-faculty) director of student life.

In order to address concerns of financial autonomy and provostial overload, the decanal structure of Model 3 could also be combined with the creation of an additional new position, for example a Vice President or Vice Provost for the Faculty of Arts and Sciences (VP for FAS), who would assume some or all of the budgetary responsibilities for the FAS that are now handled by the Provost, mirroring the financial responsibilities of the Dean of FAS in Model 1.

This model might also include divisional deans, as above. This model is illustrated in Figure 3.

FIGURE 3: ORGANIZATIONAL CHART FOR MODEL 3



For readability, only three area deans/directors are shown; the actual model might include between 3 and 5 such positions with either “Director” or “Dean” as title.

ADVANTAGES AND DISADVANTAGES OF MODEL 3

Under the proposed “two-dean plus VP for FAS” model (Model 3), the Provost would be liberated from day-to-day financial oversight of the FAS, and the two FAS-wide deans would have increased time and resources to focus on strategic planning and long-range academic vision for the FAS, which they could pursue in conjunction with the area deans.

The committee recognized several additional strengths of Model 3. It retains Yale’s familiar decanal structure and minimizes administrative change within the FAS. And it is consonant with Yale’s traditions: historically Yale College is the kernel around which Yale developed, and together Yale College (established in 1701) and the Graduate School of Arts and Sciences (established in 1847) are the historic sources of Yale’s distinctive academic identity. As noted above, collectively, these two deans have oversight for 8,269 students in the 2013-14 academic year (70 percent of the total number of students enrolled at Yale; see Appendix F). The Dean of Yale College and Dean of the Graduate School play key institutional roles in safeguarding, sustaining, and developing this academic legacy.

At the same time, the committee noted a number of crucial weaknesses in Model 3. This model potentially adds an additional full-time administrative position to the FAS leadership – a Vice Provost or Vice President for the FAS. But unlike the position added in Models 1 and 2, this position might not easily attract a member of the ladder faculty. Hence, one of the key desiderata of the proposed changes – bringing additional faculty voices into high-level administrative conversations – is frustrated. Moreover, the distributed structure of this model does not provide a single locus for long-term, strategic FAS planning, which may limit attempts for visionary change and exacerbate issues of conflicting roles and responsibilities.

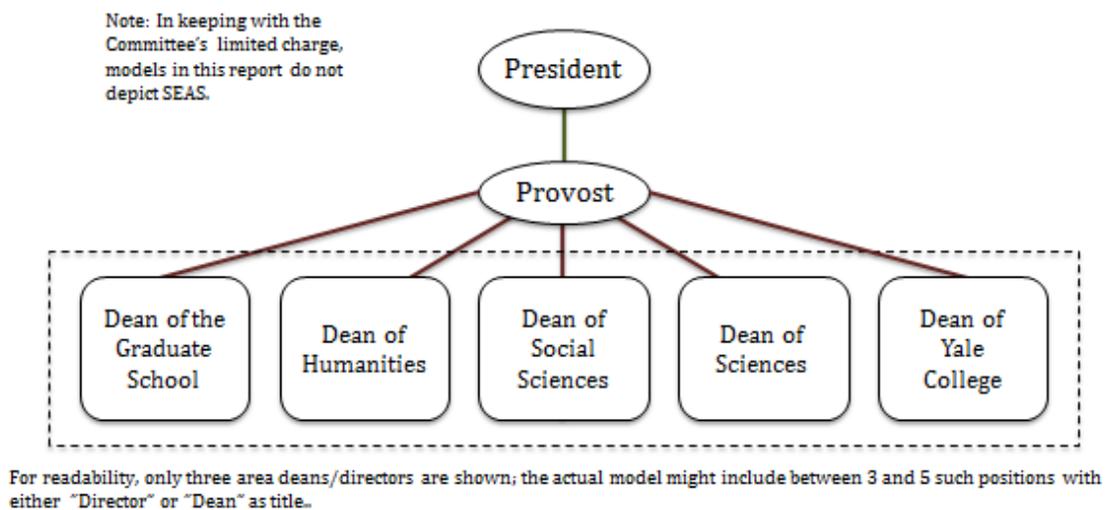
In addition, it was not clear to the committee that simply reallocating responsibilities from the Yale College Dean to a director of student life could make the Yale College Dean position manageable unless the reallocation were so extreme that it removed the Dean from co-curricularly central aspects of student and residential life issues (for example, through substantive involvement in the residential college system). As a result, implementing this model might threaten one of Yale’s most distinctive features. At the same time, the Committee agreed that – under any of the four scenarios outlined in this report – the allocation of some of the less academically-central day-to-day student-life duties of the current FAS Deans to a (perhaps campus-wide) director of student life is a plan worth considering.

3D. MODEL 4

OVERVIEW OF MODEL 4

This model would retain the positions of Dean of Yale College and Dean of the Graduate School, without adding a Dean of the Faculty of Arts and Sciences or a VP for FAS. Instead, it would expand the responsibilities of the current division directors to full-time divisional dean positions with full budgetary responsibility for their respective divisions. Thus, the President and Provost would have a team of five or six FAS deans, two with broad and three or four with more focused responsibilities, involved in key decision-making for the FAS.

FIGURE 4: ORGANIZATIONAL CHART FOR MODEL 4



ADVANTAGES AND DISADVANTAGES OF MODEL 4

Structures similar to Model 4 have been successful at some other universities. Advantages of such a model include strong representation of divisional and disciplinary interests, and the opportunity for a wide range of faculty voices to play a role at the highest level of FAS decision-making. But this range of voices brings with it some challenges: the success of this structure depends upon either (a) cooperation among the various deans (College Dean, Graduate School Dean, and three to five area deans), each of whom has a direct reporting line to the Provost, and/or (b) a Provost with the time and resources to directly assess requests and concerns expressed by deans with potentially competing interests. Nevertheless, if the relationship among the deans is structured cooperatively, administrative decision-making at the decanal level could potentially be concentrated among a set of deans with expertise in their areas of responsibility.

Our discussions revealed that this model would be difficult to implement at Yale for a wide range of logistical, organizational, and cultural reasons. The committee was also concerned that this model risks reifying divisional distinctions, which many would prefer to keep permeable. In addition, this model does not provide a locus for FAS-wide strategic and long-term planning.

However, the committee was convinced by its discussions with advocates of this model of the importance of divisional representation in FAS leadership, and has sought to include a number of valuable features of Model 4 through the inclusion of full- or part-time area deans in each of the three other models explored in this report.

4. CONCLUSION

Yale's current FAS administrative structure has, in many ways, served the FAS and the university well. This is in large part attributable to the outstanding and deeply committed individuals who have occupied those administrative positions over the decades (see Appendix E). In their comments to the committee, FAS faculty regularly praised the deep commitment, vision, wisdom, and responsive leadership of current and previous FAS Deans.

However, even with that skillful leadership, the faculty of the FAS have argued strongly at times (e.g., the Berson Committee Report of 1993; see Appendix C) for the importance of revising that structure, including advocating key elements of the options identified in this report. Indeed, many of the same faculty members who offered laudatory comments about individuals who have occupied decanal positions in the FAS also raised questions about how effectively the current structure can serve the university in the face of new challenges for higher education generally and for Yale in particular.

Yale is currently experiencing a period of significant change. A new president and a new provost have taken office, two new residential colleges are to be built, and transitions in other key leadership positions are a constant in a dynamic university. While the uncertainty associated with change often leads people and organizations to be defensive, there is considerable openness at Yale to new and better ways for the university to function. New initiatives in governance promise to improve communication between faculty and administrators and to enhance the voice of the faculty of the FAS in university decision-making. The changes that Yale is experiencing and the complementary interest of the faculty and administration in better positioning the university for the future make this a timely opportunity to consider new decanal structures at Yale.

The alternative models for decanal structure that the committee has identified are not "change for change's sake." They are intended to preserve the unique strengths of Yale, but they are also forward-looking.

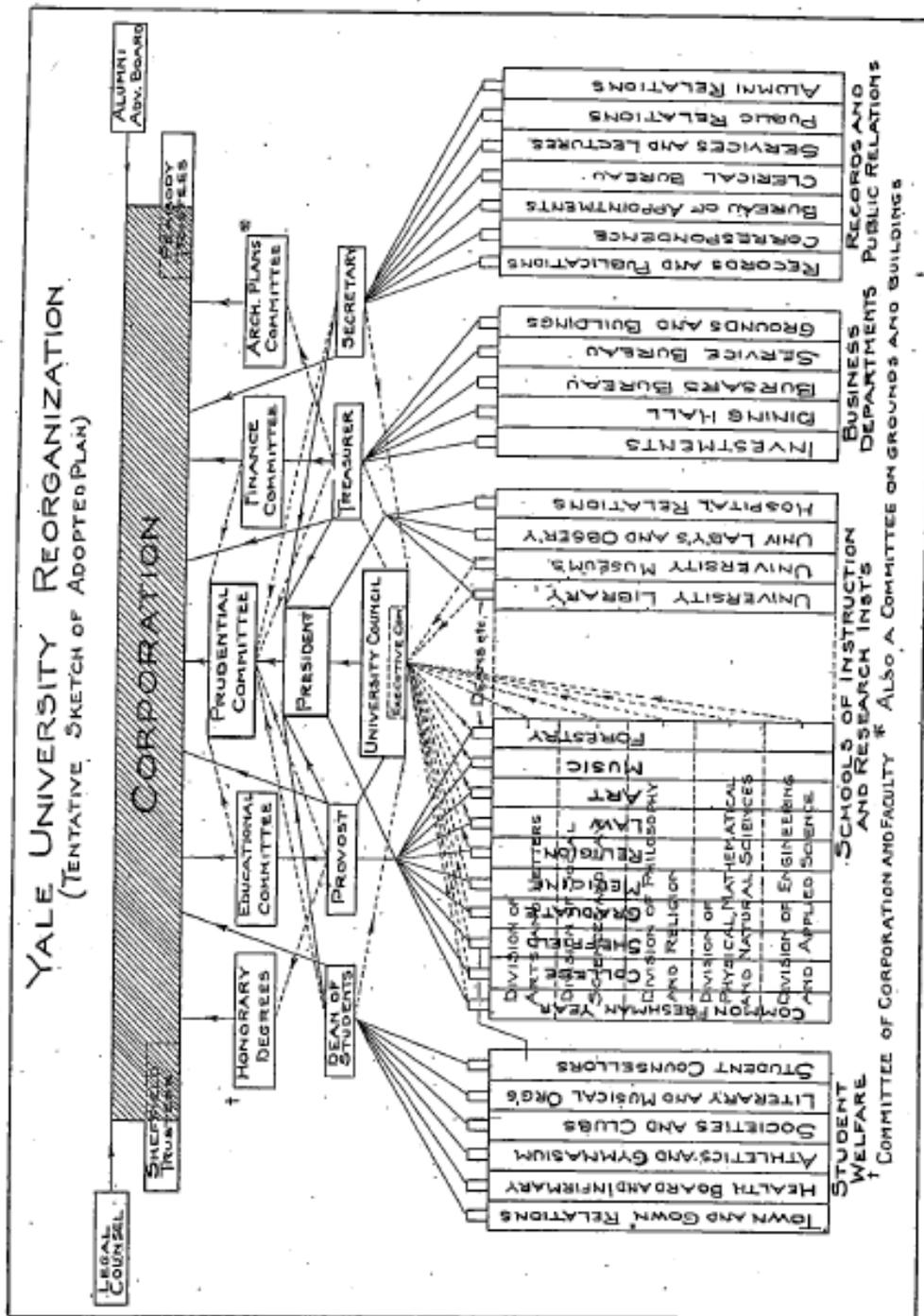
Based on the information gathered by the committee and the analysis of these data, several different models were explored. Members of the committee generally preferred one model (Model 1) to the current decanal structure and to alternative possible structures. This model includes a new Dean of the Faculty of Arts and Sciences position with budgetary authority and a change from division directors to full- or half-time area deans. The committee felt that this model has the potential to increase the effectiveness of the administration of the FAS, to get the best out of the best faculty who occupy these administrative positions, to increase the breadth of perspective and expertise in Yale's administration, and to create structures that will enhance the prestige and quality of the university as a whole.

APPENDIX A: FAS DECANAL STRUCTURES AT PEER INSTITUTIONS

	≈Dean of FAS	≈Dean of College	≈Dean of GSAS	≈Divisional Deans
Brown	Dean of the Faculty (Kevin McLaughlin) [reports to Provost]	Dean of the College (was Katherine Bergeron; searching) [reports to Provost]	Dean of the Graduate School (Peter Weber) [reports to Provost]	
Chicago		Dean of the College (John Boyer) [reports to Provost qua Dean]	[Deputy Provost for Graduate Education (Deborah Nelson)] [reports to Provost qua DP]	Dean of Physical Sciences (Rocky Kolb) Dean of Biological Sciences/EVP Medical Affairs/Dean of Med School (Kenneth Polonsky) Dean of Humanities (Martha Roth) Dean of Social Sciences (Mario Luis Small) [report to Provost qua Deans]
Columbia	Executive Vice President and Dean of the FAS (David Madigan) [reports to Provost]	Dean of the College & Vice President for Undergraduate Education (James Valentini) [reports to Provost]	Dean of the GSAS & Vice President for Graduate Education (Carlos Alonso) [reports to Provost]	Dean of Humanities (Pierre Force) Dean of Social Sciences (Geraldine Downey(?)) Dean of Sciences (Amber Miller) [report to Dean of FAS]
Cornell	[[Dean of the University Faculty (Joseph Burns) [≈ University Senate President] – not a member of administration]]	Dean of the College of Arts & Sciences (Gretchen Ritter) [reports to Provost]	Vice Provost & Dean of the Graduate School (Barbara Knuth) [reports to Provost]	Senior Associate Deans (each with mixed portfolio) (Barbara Baird) (comes from Natural Science) (Scott MacDonald) (comes from Humanities) (Kenneth Roberts) (comes from Social Science) [report to CAS Dean]
Duke	Dean (College of) Arts & Sciences (Laurie Patton) [reports to Provost qua Dean]	Dean of Undergraduate Education & Vice Provost for Undergraduate Education (Stephen Nowicki) [reports to the Provost only qua VP]	Dean of Graduate School & Vice Provost for Graduate Education (Paula McClain) [reports to Provost qua Dean and qua VP]	Dean of the Humanities (Srinivas Aravamudan) Dean of the Social Sciences (Angela O’Rand) Dean of the Natural Sciences (Dan Keihart) [report to Dean of A&S]

Harvard	Dean of the FAS (Michael Smith) [reports to Provost]	Dean of Harvard College (Rakesh Khurana) [Reports to Dean of FAS]	Dean of GSAS (Xiao-Li Meng) [Reports to Dean of FAS]	Dean of Arts & Humanities (Diana Sorensen) Dean of Social Science (Peter Marsden) Dean of Science (Jeremy Bloxham) [report to Dean of FAS]
NYU	Dean of the FAS (Thomas Carew) [reports to Provost]	Dean of the CAS (Gabrielle Starr) [reports to Provost]	Dean of GSAS (Lauren Benton) [reports to Provost]	Dean for X, FAS Humanities (Joy Connolly) Social Sciences (Michael Laver) Science (M. Purrugganan); [report to Dean of FAS]
Penn	Dean of the School of Arts and Sciences (Stephen Fluharty) [reports to Provost]	Dean of the College of Arts & Sciences (Dennis DeTurck) [reports to Dean of SAS]	Associate Dean for Graduate Studies (Eve Troutt Powell) [reports to Dean of SAS]	Associate Dean for Natural Sciences (Richard Schulz) Associate Dean for Social Sciences (Susan Lindee) Associate Dean for Arts & Letters (Jeffrey Kallberg) [report to Dean of SAS]
Princeton	Dean of the Faculty (David Dobkin) [reports to President]	Dean of the College (Valerie Smith) [reports to Provost]	Dean of the Graduate School (William Russel) [reports to Provost]	
Stanford	Dean of School of Humanities and Sciences (Richard Saller) [reports to Provost]	Vice Provost for Undergraduate Education (Harry Elam) [reports to Provost]	Vice Provost for Graduate Education (Patricia Gumpert) [reports to Provost]	Senior Associate Deans Humanities & Arts (Debra Satz) Social Sciences (Ellen Markman) Natural Sciences (Ralph Cohen) [report to Dean of H&S]

APPENDIX B: SELECTED YALE ORGANIZATIONAL CHARTS: 1919-2013



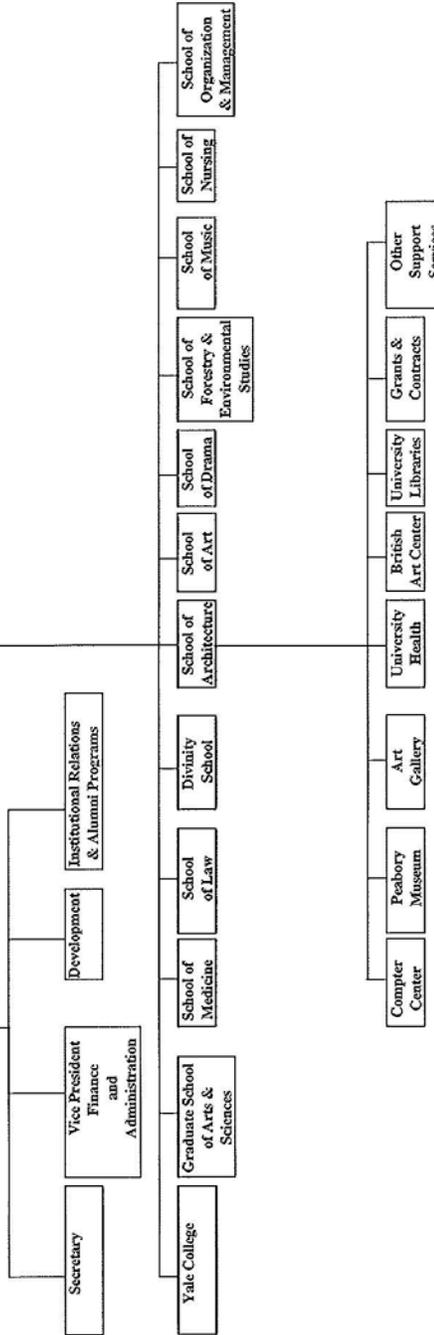
HOW THE EDUCATIONAL ORGANIZATION AND BUSINESS ADMINISTRATION OF YALE UNIVERSITY ARE CORRELATED UNDER THE NEW PLAN ADOPTED BY THE CORPORATION ON MARCH 17, 1919

Yale University
Table of Organization
1978-79

YALE CORPORATION

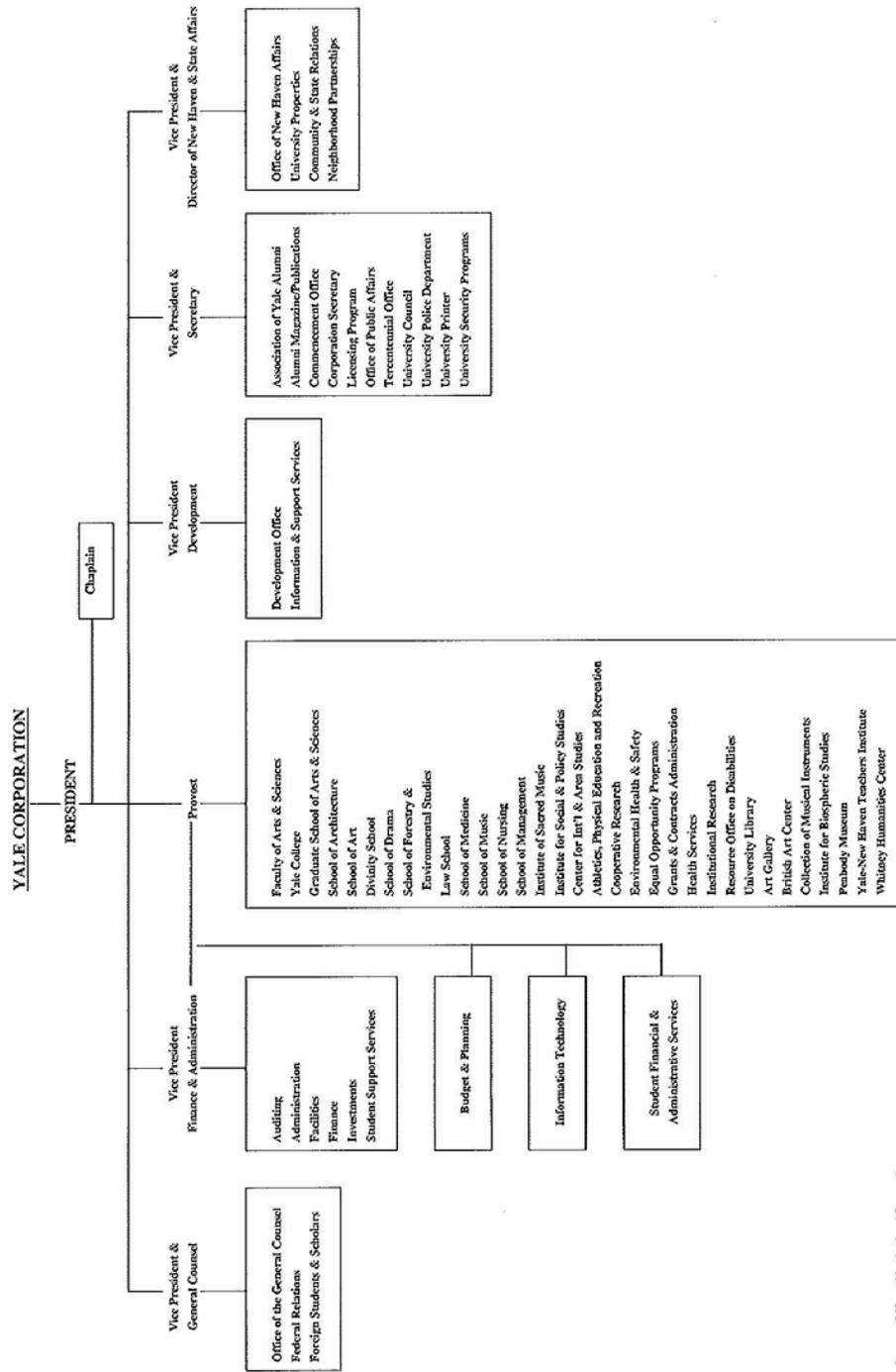
PRESIDENT

Provost



Source: Office of Institutional Research
OIR (12/15/99)
Table G-1.2a

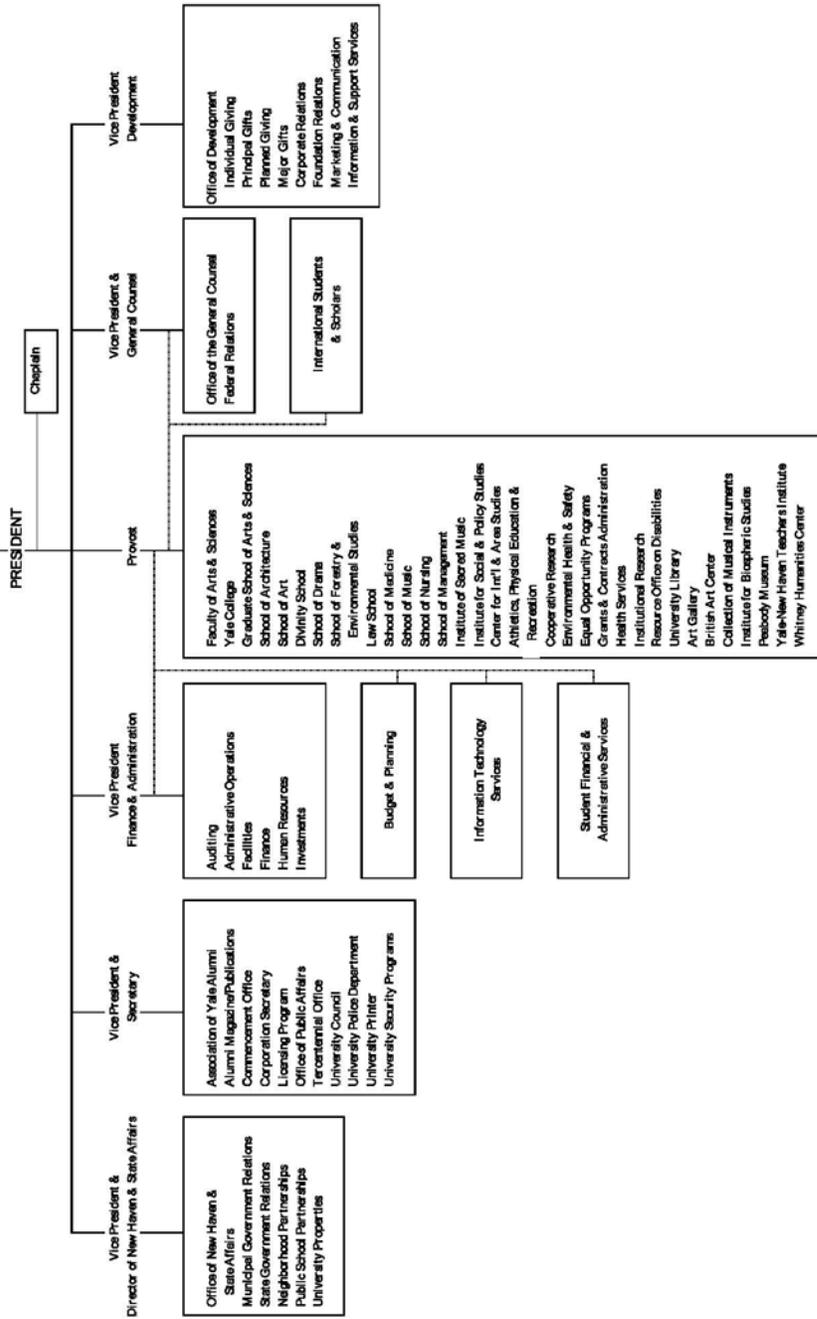
Yale University
Table of Organization
1998/99



Source: Office of Institutional Research
OIR (12/15/99)
Table G-1.2c

Yale University
Table of Organization
2000/2001

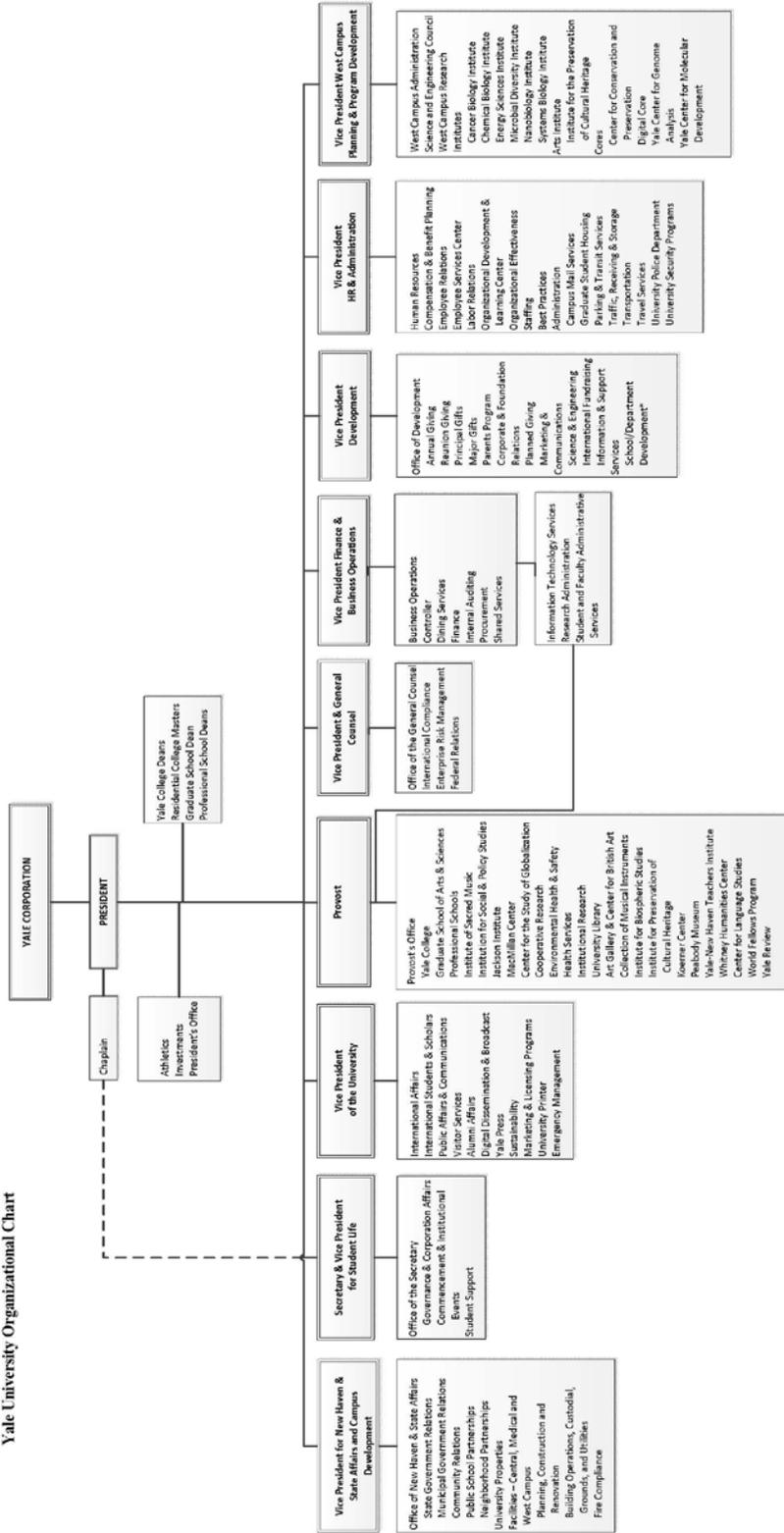
YALE CORPORATION



Note: Dashes indicate joint reporting

OIR.LB 03/19/2001

Yale University Organizational Chart



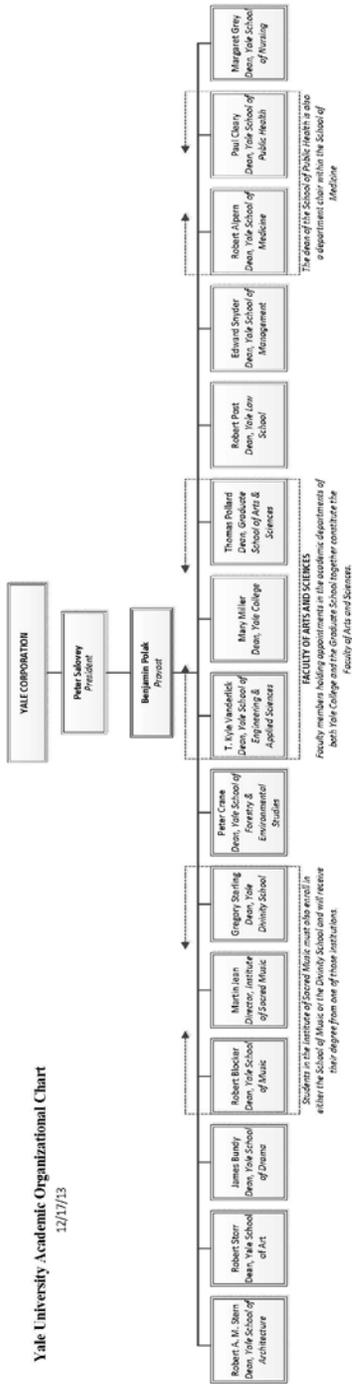
Note: Dashed lines indicate joint reporting

*Most school/department development units have a dual reporting relationship to the dean/director of the unit and to the Vice President for Development

Source: Office of the Secretary
W102, Yale University Organizational Chart
Last Updated: 08-23-2012

Yale University Academic Organizational Chart

12/1/13



W103_Org_Chart

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

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 start-up 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 leadership 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.

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.

<http://www.yale.edu/yale300/collectiblesandpublications/specialdocuments/Governance/governance1993.pdf>

APPENDIX D: FACULTY AND NON-FACULTY ADMINISTRATORS (YALE AND NON-YALE) INTERVIEWED

Julia Adams, Professor of Sociology and International & Area Studies; Division Director, Social Sciences; Deputy Provost, Social Sciences

Bob Alpern, Dean of the Yale School of Medicine

Thomas Appelquist, Higgins Professor of Physics; Yale Graduate School Dean 1993-1998

Donna Cable, Associate Vice President, Human Resources, Academic Units

Emily Bakemeier, Deputy Provost for Arts & Humanities

Jonathan Ellman, Higgins Professor of Chemistry; Division Director, Physical Sciences

Don Engelman, Higgins Professor of Biochemistry; Division Director, Biological Sciences

Joe Gordon, Deputy Dean of Yale College

Andy Hamilton, Yale Provost 2004-2008

Todd F. Heatherton, Lincoln Filene Professor of Human Relations, and Norris Cotton Cancer Center Investigator, Dartmouth College

Susan Hockfield, Yale Graduate School Dean 1998-2002; Yale Provost 2003-2005

Penny Laurans, Special Assistant to the President; Master of Jonathan Edwards College

Jonathan Levin, Professor and Chair, Department of Economics, Stanford University

George Levesque, Assistant Dean of Academic Affairs, Yale College

Linda Lorimer, Vice President for Global and Strategic Initiatives

Larry Manley, William R. Kenan Jr. Professor of English; Division Director, Humanities

Mary Miller, Dean of Yale College

Stephen Morris, Professor of Economics and Director of Graduate Studies, Department of Economics, Princeton University

Ben Polak, Provost

Tom Pollard, Yale Graduate School Dean

Philip J. Reny, the William C. Norby Professor in Economics and the College, and Chair, Department of Economics, University of Chicago

Alison Richard, Yale Provost 1994-2002

Frances Rosenbluth, Deputy Provost for Social Sciences & Faculty Development

Peter Salovey, Yale Graduate School Dean 2002-2004; Yale College Dean 2004-2008; Provost 2008-2012; President

Ian Shapiro, Sterling Professor of Political Science and Henry R. Luce Director of the MacMillan Center

Ted Snyder, Dean of the Yale School of Management

Claude Steele, James Quillen Dean, Graduate School of Education, Stanford University

Scott Strobel, Henry Ford II Professor of Molecular Biophysics and Biochemistry; Professor of Chemistry; Vice President for West Campus

Kyle Vanderlick, Thomas E. Golden, Jr. Professor of Chemical & Environmental Engineering; Dean of the Yale School of Engineering and Applied Science

APPENDIX E: SENIOR FAS OFFICERS OF YALE UNIVERSITY: 1983 –2013

AY	President	Provost	Yale College Dean	Graduate School Dean
1983-84	A. Bartlett Giamatti	William C. Brainard	Howard R. Lamar	Charles K. Bockelman (Acting)
1984-85	A. Bartlett Giamatti	William C. Brainard	Howard R. Lamar	Charles K. Bockelman (Acting)
1985-86	A. Bartlett Giamatti	William C. Brainard	Sidney Altman	Keith S. Thomson
1986-87	Benno C. Schmidt, Jr.	William D. Nordhaus	Sidney Altman	Jerome J. Pollitt
1987-88	Benno C. Schmidt, Jr.	William D. Nordhaus	Sidney Altman	Jerome J. Pollitt
1988-89	Benno C. Schmidt, Jr.	Frank M. Turner	Sidney Altman	Jerome J. Pollitt
1989-90	Benno C. Schmidt, Jr.	Frank M. Turner	Donald Kagan	Jerome J. Pollitt
1990-91	Benno C. Schmidt, Jr.	Frank M. Turner	Donald Kagan	Jerome J. Pollitt
1991-92	Benno C. Schmidt, Jr.	Frank M. Turner	Donald Kagan	Judith Rodin
1992-93	Howard R. Lamar (Acting)	Judith Rodin	Donald M. Engleman	Richard C. Levin
1993-94	Richard C. Levin	Judith Rodin	Richard Brodhead	Thomas Appelquist
1994-95	Richard C. Levin	Alison F. Richard	Richard Brodhead	Thomas Appelquist
1995-96	Richard C. Levin	Alison F. Richard	Richard Brodhead	Thomas Appelquist
1996-97	Richard C. Levin	Alison F. Richard	Richard Brodhead	Thomas Appelquist
1997-98	Richard C. Levin	Alison F. Richard	Richard Brodhead	Thomas Appelquist
1998-99	Richard C. Levin	Alison F. Richard	Richard Brodhead	Susan Hockfield
1999-00	Richard C. Levin	Alison F. Richard	Richard Brodhead	Susan Hockfield
2000-01	Richard C. Levin	Alison F. Richard	Richard Brodhead	Susan Hockfield
2001-02	Richard C. Levin	Alison F. Richard	Richard Brodhead	Susan Hockfield
2002-03	Richard C. Levin	Alison F. Richard	Richard Brodhead	Peter Salovey
2003-04	Richard C. Levin	Susan Hockfield	Richard Brodhead	Peter Salovey

AY	President	Provost	Yale College Dean	Graduate School Dean
2004-05	Richard C. Levin	Susan Hockfield	Peter Salovey	Jon Butler
2005-06	Richard C. Levin	Andrew Hamilton	Peter Salovey	Jon Butler
2006-07	Richard C. Levin	Andrew Hamilton	Peter Salovey	Jon Butler
2007-08	Richard C. Levin	Andrew Hamilton	Peter Salovey	Jon Butler
2008-09	Richard C. Levin	Peter Salovey	Mary Miller	Jon Butler
2009-10	Richard C. Levin	Peter Salovey	Mary Miller	Jon Butler
2010-11	Richard C. Levin	Peter Salovey	Mary Miller	Thomas D. Pollard
2011-12	Richard C. Levin	Peter Salovey	Mary Miller	Thomas D. Pollard
2012-13	Richard C. Levin	Peter Salovey/ Benjamin Polak	Mary Miller	Thomas D. Pollard
2013-14	Peter Salovey	Benjamin Polak	Mary Miller	Thomas D. Pollard

Sources:

Facts About Yale, 1983/84-1993/94

The Provost of Yale University A History of the Office 1919-1994

Yale College Programs of Study, 1983/84 - 2013/14

Graduate School of Arts & Sciences Programs and Policies, 1983/84 - 2013/14

APPENDIX F: STUDENT ENROLLMENT FALL 2013

Fall 2013 Enrollment

Division	Male	Female	Total
Yale College	2,738	2,671	5,409
Special (Degree & Non-Degree)	15	6	21
Graduate School of Arts & Sciences	1,520	1,340	2,860
Professional Schools Programs:			
Architecture	119	81	200
Art	60	66	126
Divinity	183	156	339
Drama	105	105	210
Forestry & Environmental Studies	119	182	301
Institute of Sacred Music	40	22	62
Law	385	312	697
Management	390	225	615
M.D.	238	208	446
Music	111	76	187
Nursing	32	283	315
Physician Associate	32	68	100
Public Health	61	160	221
Professional School Programs Subtotal	1,875	1,944	3,819
Total University	6,148	5,961	12,109

Source: <http://oir.yale.edu/yale-factsheet#FallEnrollment>

APPENDIX G: FACULTY HEADCOUNTS FALL 2013

Faculty (Headcounts) Fall, 2013*

Yale Schools	Tenured	Term	Non-Ladder	Research	Total
Arts & Sciences	459	220	290	186	1,155
Architecture	7	3	56	0	66
Art	4	5	45	0	54
Divinity	16	9	28	4	57
Drama	0	0	81	0	81
Forestry & Environmental Studies	19	6	26	15	66
ISM	4	2	12	1	19
Law	47	5	63	25	140
Management	32	31	21	1	85
Medicine	466	833	386	629	2,314
Music	1	0	56	0	57
Nursing	11	15	46	5	77
Total	1,086	1,228	1,110	866	4,290

155 tenured and term faculty are members of the national academies, Nobel Laureates, and/or winners of other prestigious prizes and awards.

93% of all full-time teaching faculty have doctoral degrees, first professional degrees, and/or appropriate degrees in their fields.

*In the Schools of Music and Drama, adjunct professors provide the core of the schools' regular faculty. As a result, the distinction among the categories of tenured/term/non-ladder is less relevant in those schools.

In the School of Medicine, the tenured category also includes appointments made on a continuing basis without term.

Faculty in the School of Public Health are considered part of the School of Medicine and counted there.

Faculty in the School of Engineering and Applied Science are counted in the Arts and Sciences.

Source: <http://oir.yale.edu/yale-factsheet#Faculty>