

FACULTY

Fourth-Year Review Instructions

(Revised June 12, 2013, October 26, 2016, June 2017, December 2018)

Deadline. All materials, including the counseling letter draft, need to be received in the Dean's Office by **February 15** of the academic year in which the review is conducted.

Purpose. The fourth-year review is intended to produce recommendations for allocation of the reviewee's effort in preparation for the tenure review and is expected to lead to a final (and three-year) pre-tenure appointment. The review is guided by the following general questions:

- Is the faculty member's research program productive, programmatic, and of the highest quality?
- Is the reviewee on track for achieving a national reputation for excellence and impactfulness of his or her research?
- Is s/he emerging as a highly effective teacher?
- Given the apparent trajectory, does a positive recommendation for tenure seem likely three years hence?
- What should the reviewee do to strengthen his or her record of scholarship prior to the tenure review?
- What should be done to improve his or her teaching performance?
- Is his or her service satisfactory?
- What adjustments (if any) in service activities are advisable?

Basic Requirements. This review requires the following:

- Full departmental review based on the work of a committee of tenured faculty members that oversees the review, assembles documentation, and develops a written recommendation that subsequently is brought to the department's tenured faculty members for discussion and a vote
- Committee review report
- Discussion and double-blind vote by department's tenured faculty (chair does not vote as an independent evaluation and vote occurs later)

- Chair's memorandum, including the results of the double-blind vote (by tenured faculty members), an independent analysis of the strengths *and weaknesses* of the case, and a recommendation regarding reappointment (a three-year term is normal)
- Draft of the chair's counseling letter
- Supporting documentation:
 1. Reviewee's personal statement (no longer than 10 double-spaced pages)
 2. Reviewee's current CV (with date it was produced) including annotations regarding the reviewee's role in coauthored publications
 3. Reviewee's CV submitted for second-year review
 4. Reviewee's second-year counseling letter
 5. Copies of reviewee's publications and manuscripts completed at Vanderbilt since the second-year review (no more than 3)
 6. Reviewee's teaching evaluations, including students' written comments and departmental averages, since the second-year review
 7. Reports from two faculty members who have each observed reviewee's teaching on at least two occasions since the second-year review, not in the same class period
 8. Other evaluation(s) of teaching (optional)
 9. Letters from internal referees (optional)

Confidentiality. Vanderbilt University regulations stipulate that all materials in a fourth-year review file, including the review report, can be seen only by the tenured faculty of the department, the Dean, and the Dean's advisory committee. In particular, the review report may not be shared with the faculty member whose work has been reviewed (the counseling letter provides such feedback at the end of the full process). Staff members who provide clerical support must maintain strict confidentiality.

Review committee. The members of the review committee must be tenured faculty, and the committee must submit a report. While non-tenured faculty and students may not serve on the committee, their input may, of course, be sought.

Copies of publications and manuscripts. These should include items submitted for publication. Include only material published or produced since the second-year review. No more than three to be provided.

Teaching evaluations. For each course taught at Vanderbilt, means and standard deviations of all course evaluation questionnaire items must be reported along with students' written comments. Please use the Excel template (available from Dawn Hale, Dean's assistant) for reporting the quantitative data. The review reports should focus on items 4, 7, and 9 (pre fall 2016) and items 12, 13, and 14 fall 2016 forward. Please

clarify any anomalous results and supplement questionnaire data with appropriate additional information, including department norms and evaluations of the faculty member's syllabi.

Teaching observations. Two different faculty members (who need not be members of the review committee) must observe the reviewee's teaching on at least two independent occasions (i.e., a total of at least four observations). Additional observations should be made if performance appears inconsistent or weak. Each observer's report should be in the form of a memorandum or letter to the review committee.

Internal referees. Optional internal referees might, for example, include persons who have carefully reviewed a manuscript produced by the reviewee, who have collaborated with him/her, or who have experienced him/her as a mentor or teacher. Letters from external referees are not sought for this review because external reviewers are "saved" for the tenure review. Letters from internal referees are *not* required nor are they encouraged.

Review report. The review report should contain the following information:

- Reviewee's terminal degree, year earned, institution, and area(s) of study
- Postdoctoral study/employment history prior to joining the Vanderbilt faculty
- Year and semester of appointment to Vanderbilt faculty
- Details of any leaves (e.g., due to illness) since appointment at Vanderbilt
- Summary of reviewee's scholarly foci
- Evaluation of reviewee's research program with respect to productivity, quality, and the extent to which it is programmatic
- Recommendation of steps that reviewee should take to strengthen his or her record of scholarship prior to the tenure review
- Evaluation of overall quality of reviewee's teaching and whether the level of effectiveness required for tenure has been achieved
- Recommendation of steps reviewee should take to improve his or her teaching
- Reviewee's service so far and recommendations regarding future amount and types of service
- Recommendation regarding reappointment

Summary of discussion by department's tenured faculty. This should include the issues that were raised in the meeting, the strengths and weaknesses of the case that were noted, and suggestions regarding advice that should be given to the reviewee. Attribution of remarks to individual members of the tenured faculty should not be made. A double-blind vote is required.

Counseling letter. The purpose of the chair's counseling letter is to provide realistic and detailed guidance, in an encouraging and supportive framework, to the reviewee regarding his or her progress and actions that may need to be taken to increase the likelihood of a positive tenure review. Recommendations from the review report and the deliberations of the tenured faculty should be incorporated in a form that can help the reviewee redirect his or her effort (if appropriate), better understand productivity expectations, understand specific steps to be taken to obtain help that may be needed to strengthen his or her record of scholarship or improve his or her teaching, and adjust involvement in service activities (if necessary). This counseling letter is reviewed by the Dean and the Provost and additional comments may be included. A sample counseling letter is available from the Dean's Office.

Time line for review. The fourth-year review includes the following steps:

September	Chair of review committee and department chair meets with the Dean.
Fall Semester	<p>Faculty member (reviewee) supplies:</p> <ul style="list-style-type: none">• Reprints of publications and/or manuscripts submitted for publication since the second-year review; no more than 3• Personal statement (no more than 10 double-spaced pages)• Course syllabi• Current CV including annotations regarding reviewee's role in coauthored publications <p>If not previously done, reviewee's teaching is observed by two faculty members on at least two different and independent occasions per observer.</p> <p>Student evaluations of teaching (excluding current semester) are assembled.</p>
January	<p>Review committee drafts review report, taking fall teaching ratings and any additional materials (recent reprints, comments on fall teaching ratings, etc.) from reviewee into account.</p> <p>Tenured departmental faculty members meet, discuss review report and other materials in review file, and vote on reviewee's retention. Chair does not vote then.</p>

By February 15	Department chair uploads review file, including chair's recommendation, review report, and draft of counseling letter to Dean. (Dawn Hale has instructions.)
March	Dean sends recommendation to Provost.
Late in Spring Semester	<p>When Provost's approval of retention has been received, Dean works with department chair to finalize counseling letter.</p> <p>Counseling letter shared with reviewee, who meets with department chair to discuss its contents and signs acknowledgement of receipt and discussion of letter; copy of co-signed letter sent to Dean.</p> <p>Official reappointment letter sent to reviewee from Dean.</p>