

**FRANK BATTEN SCHOOL OF LEADERSHIP AND PUBLIC POLICY  
PROMOTION PROCEDURES FOR ACADEMIC GENERAL FACULTY**

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Clear career advancement opportunities for Academic General Faculty offer stability and clear expectations that help advance the mission of the Frank Batten School of Leadership and Public Policy while also allowing faculty to become more fully invested in the aims of the University of Virginia and its shared governance. These procedures clarify the process and related expectations for general faculty promotion.

General faculty in the Batten School will be appointed to one of three tracks—Teaching, Research, or Practice. Academic General Faculty on the teaching track engage primarily in teaching (typically 60-90% of their effort); those on the research track engage primarily in research (typically 60-100% of their effort); and those on the practice track focus primarily on integrating professional experience with the academic mission of the school. General faculty members in these professorial ranks normally must hold the terminal degree in their discipline, although professors of practice may instead have significant relevant experience in the practice of leadership and/or public policy. The ranks of lecturer, senior lecturer, and distinguished lecturer are used in the Batten School for faculty wage employees (who are not governed by this policy).

The review process will focus on *all areas of contribution* (teaching, research, engagement, and service) agreed upon with the dean in the appointment letter and annual reviews. Prior to review for promotion, the general faculty member's load distribution must be specified in the candidate's dossier and verified by the dean (as appropriate) in relation to the last three years of load distribution as documented in the candidate's annual review. The determination of track *at the time of review* will be based on the area with the greatest percentage of load in the annual reports for the past three years as agreed upon by the dean. The dean's letter must provide sufficient detail on load (since appointment to current rank) to aid in the review.

**Promotion Criteria**

The three ranks of general faculty are Assistant Professor, Associate Professor, and Professor. Appointment as an Assistant or Associate Professor in the Batten School carries no presumption of promotion to the next rank. For purposes of a successful promotion in rank, it is expected that candidates will display the qualities of recognized excellence defined in these guidelines in the primary assignment area and other areas of substantial effort and activity.

Moreover, collegiality and good citizenship are important aspects of teaching, scholarship, and service, with the potential to influence both one's own work and that of others. A professional school is most effective when faculty and staff work cooperatively toward the accomplishment of mutually agreed upon goals and purposes. A candidate's demonstrated ability to work with

other faculty, staff, and students is considered in relation to its impact on the school's overall mission.

The four standard categories of evaluation in the Batten School (teaching, research, engagement, and service) are considered in the promotion process in the following ways:

Teaching: It is expected that candidates evaluated for promotion on the basis of teaching will have established records of excellence in classroom teaching and in other educational activities associated with the degree programs of the school. Excellent educators bring recognition to the school (and the University) and enhance its ability to attract good students and outstanding faculty, which in turn support the overall educational mission of the school. A general faculty member specializing in teaching is expected to have established records of excellence in classroom teaching and in other educational activities associated with the degree programs of the School. A candidate for promotion to Professor will be expected to have exhibited continued excellence in instruction. Teaching contributions beyond the Batten School (e.g., advising PhD students in related fields) and academic activities outside of the classroom may be considered as part of the review.

Research: It is expected that general faculty candidates evaluated for promotion on the basis of research will have established records of excellence in scholarly contributions as recognized through internal and external assessments of the quality of the research, its relevance to leadership and public policy, and its impact. The candidate's broad research portfolio will be considered, including mentorship, contributions to funded research programs and centers, scholarly publications, and other research products. Individual distinction may be demonstrated by the development of, or independent contribution to, a program of research in which the candidate plays a distinctive role, and/or independent work that distinguishes the candidate and the candidate's contribution to the development of scholarly knowledge in an area that can be recognized and evaluated by reviewers. Consistent with university policy RES-003, classified research will not be taken into account, either positively or negatively, in faculty evaluations, including annual reviews or reviews for reappointment or promotion, unless the research has been declassified.

Engagement with the Practice of Leadership and Public Policy: It is expected that general faculty candidates evaluated for promotion on the basis of engagement will have established records of excellence in the practice of leadership and public policy and the integration of professional experience with the academic mission of the school. The candidate's broad engagement portfolio will be considered, especially pertaining to activities that bring recognition to the school (and the University) and enhance its reputation. Such engagement may take a wide variety of forms, including but not limited to: holding of public, elected, or appointed office; service to public, non-profit, and private sector organizations; invited testimony; public speaking engagements; and advancement of ideas through various media.

Service: It is expected that all faculty (regardless of track and rank) will engage in a variety of service activities within the school, the University, and their profession.

Promotion from Assistant Professor to Associate Professor will be based on evidence of sustained excellence in the categories above, relevant to the candidate's areas of contribution, with significant promise of continued success at the higher rank. Successful candidates will show clear and convincing evidence of emerging stature as an authority in their area of expertise. Promotion from Associate Professor to Professor will be based on evidence of further sustained excellence that goes well beyond the record attained when promoted (or appointed) to Associate Professor. Continued growth in the stature of the candidate should be evident, commensurate with others at the rank of Professor. Recognized effectiveness and impact as detailed in letters of evaluation will be valuable in these assessments.

### **Timing of Promotions**

In the normal course of events, assistant professors among the general faculty will be reviewed for promotion to associate professor in their sixth year of service, and associate professors will be reviewed for promotion to full professor in their sixth year of service as an associate professor. However, in consultation with the dean, a faculty member may request to be reviewed for promotion earlier or later than the sixth year. The dean will discuss such requests with the Executive Committee before reaching a decision.

A candidate not receiving a successful promotion based on this review process may be invited to remain a faculty member in the Batten School at the candidate's current rank, as specified below. In such a circumstance, an agreement will be made between the candidate and the dean regarding the timeframe for a future attempt at promotion. The dean will consult the Executive Committee prior to making any such agreement.

### **Promotion Procedure**

1. In April of each year, the dean and the Executive Committee will determine who will be reviewed during the following academic year.
2. By April 15, the dean and Executive Committee will appoint an ad hoc promotion committee for each candidate for promotion. The committee will consist of three members of the Batten School Governing Faculty who are at a rank equal to or beyond that being sought by the candidate, one of whom the dean will designate as chair. Two of the committee members will be tenured members of the Batten School Governing Faculty and one will be a senior general faculty member of the Batten School Governing Faculty.
3. If the candidate believes there are individuals whose service on the committee would be inappropriate, s/he should provide the dean with this information, indicating briefly but clearly the nature of the reasons. The dean and the Executive Committee will give serious weight to this information in appointing the promotion committee.
4. The candidate for promotion will be invited to submit a list of five individuals capable of serving as reviewers of their performance in the areas determined by their track (Teaching, Research, or Practice) and other major areas of effort and activity. This list should not include individuals with whom the candidate has a close professional relationship (adviser, mentor, coauthor, etc.). The list should include explanations of why these individuals would

be appropriate reviewers. The candidate may also be invited to submit a list with the names of up to five former students (at least some of them Batten School students) who are particularly well positioned to comment on the candidate's contribution to their education. These lists will be due by April 15.

5. If the candidate believes there are individuals (reviewers or former students) from whom it would not be possible to get a fair and balanced evaluation, s/he should provide the dean with this information, indicating briefly but clearly the nature of the reasons. The dean and the Executive Committee will give serious weight to this information in constructing the list of reviewers. This information will be due by April 15.
6. The promotion committee will also assemble a list of potential reviewers appropriate to assess the quality of the candidate's performance. In some cases, a combination of letters from external evaluators and from individuals at the University of Virginia (but outside the Batten School) may provide the best assessment of the strength of the case for promotion. In consultation with the Executive Committee, the members of the promotion committee, and any other relevant units in the University, the dean will select the names of prospective reviewers from the candidate's list and the list constructed by the Executive Committee and contact them in writing to ascertain their availability to participate in the review. This should be accomplished by May 15. The goal will be to receive evaluations from at least five reviewers, at least three of whom will be external to the University of Virginia.
7. By July 1, a candidate for review will submit one copy of the following materials to the dean for use in the review. These materials will be accompanied by a nomination letter by the dean, specifying the load distribution across the past three years, as documented in the candidate's annual reviews. The dean's letter will offer no evaluation of the merits of the case. The dean's letter and the following materials submitted by the candidate shall comprise the candidate's "dossier."
  - A. A current curriculum vita
  - B. The candidate's statements (suggested length: 10-15 single-spaced pages), indicating contributions in all relevant areas of assessment from among the following:
    - Teaching: A statement describing the candidate's teaching philosophy, experience, achievements, and future teaching plans
    - Research: A statement describing the candidate's scholarship during the time in his or her current rank, indicating how it contributes to a coherent field (or fields) of inquiry and describing future research agendas. This statement should provide the committee and reviewers with an overview of the candidate's research and an evaluative framework for reading and understanding the work
    - Engagement: A statement describing the ways in which the candidate's published work and professional activities have contributed broadly to the practice of leadership and/or public policy
    - Service: A statement describing the candidate's service activities within the Batten School, other UVA units, the University, and beyond the University, and how the candidate's activities have contributed to these environments
  - C. Supporting materials (one copy of each)
    - Teaching

- List of courses taught (in the Batten School and elsewhere), including term taught and enrollment
  - Course syllabi and other course materials that provide insight into the faculty member's teaching in the Batten School and in other units
  - Course evaluations
  - Information on other teaching activities (advising, exam service, dissertation service, curricular development, etc.) in the Batten School and other units
  - Research
    - Copies of all published and unpublished work and other products of the candidate's research work produced within the current rank
    - Reviews of published work and research products (if available)
  - Materials documenting engagement with the practice of leadership and/or public policy
  - Materials documenting the candidate's service activities
8. These materials will be distributed by the Batten School to the promotion committee and reviewers by July 15, along with a copy of the Batten School's criteria for promotion. Reviewers should be asked to submit their letters by October 15.
  9. The candidate will have the opportunity to submit additional materials related to recent research and engagement accomplishments and an updated curriculum vita by the end of the first week of classes in Fall term. These materials will be distributed to the promotion committee and the reviewers by September 15.
  10. The dean will invite the heads of other units with which the candidate is affiliated to submit a memo providing whatever information about the candidate's participation in the unit that it wishes the Batten School to take into account in its evaluation of the candidate. The dean will request that these memos be submitted by October 15.
  11. The committee may contact Batten School students who have first-hand knowledge of the candidate's teaching quality and invite comments concerning the candidate's contributions to their education.
  12. The committee may contact Batten School faculty who have engaged in a formal peer review of the candidate's teaching for an assessment of teaching quality and trajectory.
  13. The promotion committee will submit its report to the dean by the last workday in October. The report may include minority views. The committee shall attach a final page to the report indicating its recommendation concerning promotion.
  14. The report, dossier, and review letters will be made available to members of the Governing Faculty at the appropriate rank at least two weeks prior to the meeting at which the Governing Faculty will discuss the case. Faculty will be expected to read these documents and the review letters prior to the meeting.
  15. The dean will schedule well in advance two meetings of the relevant members of the Governing Faculty, scheduled approximately one week apart. At the beginning of each meeting the dean will remind the faculty that discussions at these meetings are strictly confidential and that any breaches of confidentiality will be regarded as unprofessional conduct. At the first meeting, the chair of the promotion committee will summarize the committee's recommendation and reasoning and will facilitate the discussion. No vote will be taken at this meeting. At the second meeting, the discussion will be resumed and a vote

- will be taken. All professors in the relevant group of the Governing Faculty present at the second meeting are eligible to vote. Relevant professors of the Governing Faculty not present at the second meeting will be permitted to vote by proxy only if they attended the first meeting. A simple majority of those casting a vote must vote to recommend promotion in order for the dean to proceed to a consideration of promotion. Absent such a majority, a second vote (again by simple majority) will determine if the candidate may be offered a continued appointment at the current rank. Upon a supportive vote, the final decision to recommend promotion or retain the faculty member at the current rank rests with the dean.
16. The dean will inform the candidate of the decision as soon as possible after the faculty meeting.
  17. All cases for promotion are then sent to the Provost's office for review, following relevant university policies.

In the cases of initial faculty offers in the Batten School, expedited promotion and review may be conducted for general faculty. Although the same standard will apply to such faculty, the review process itself may be streamlined. In particular, the relevant ad hoc committee (in consultation with the Executive Committee) can expedite the process of generating review letters, and the discussion of the case and relevant faculty vote will be conducted at a single meeting.

All promotion policies of the Batten School will be consistent with those established by the University of Virginia.