

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

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Academic General Faculty Members provide important contributions to the Batten School community, focusing on teaching, research, or the integration of professional practice. Academic General Faculty Members are important participants in school governance as described in school and university policy.

Clear career advancement opportunities for Academic General Faculty Members 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 promotion of Academic General Faculty Members.

Academic General Faculty Members in the Batten School will be appointed to one of three tracks—teaching, research, or practice. Academic General Faculty Members on the teaching track engage primarily in teaching (generally 60-90% of their effort); those on the research track engage primarily in research (generally 60-100% of their effort); and those on the practice track focus on integrating professional experience with the academic mission of the school. Academic 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 Academic General Faculty ranks of lecturer, senior lecturer, and distinguished lecturer are not used in the Batten School.

The promotion review process will focus on *all areas of contribution* (teaching, research, engagement with the practice of leadership and public policy, and service) agreed upon with the dean in the appointment letter and annual reviews. Prior to review for promotion, the Academic 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. Track is determined by contractual arrangement and approved by the Board of Visitors

Promotion Criteria

The three ranks of Academic General Faculty Members are assistant professor, associate professor, and professor. Formal faculty titles must be used when presenting faculty actions for approval to the University's Board of Visitors and in all school communications related to a faculty member's employment (including appointment letters, performance evaluations, recommendations for promotion, etc.). 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 promotion decisions.

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 Academic General Faculty Member candidates evaluated for promotion on the basis of teaching will have established records of excellence in classroom teaching. Excellence in other educational activities associated with the degree and non-degree programs of the school will also be considered. Excellence will be measured by review of syllabi, assessments, rubrics, and other course materials; peer evaluations (e.g., observations); external reviews by superior educators; student evaluations and feedback; and/or other metrics. Excellent educators bring recognition to the school (and the University) and enhance its ability to attract good students and outstanding faculty, which in turn supports the overall educational mission of the school. To be promoted to associate professor on the basis of teaching, an Academic General Faculty Member is expected to have an established record of excellence in classroom teaching, and (if relevant) in other educational activities associated with the degree and non-degree programs of the school, and an established local or regional reputation as a superior educator. A candidate for promotion to professor will be expected to have exhibited continued and sustained excellence in instruction and have an established regional, national, or international reputation as a superior educator. Teaching and mentorship 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 Academic General Faculty Member 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. To be promoted to associate professor on the basis of research, an Academic General Faculty Member is expected to have a substantial record of scholarship appropriate to their responsibilities and demonstrate leadership in local, regional, or national discipline-related affairs. Promotion to professor requires a sustained record of independent research or research support and national or international recognition for contributions to the field. Consistent with university policy RES-003, classified research will not be taken into account, either positively or negatively, in Academic General Faculty Member 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 Academic General Faculty Member 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 contribute to the development of leaders and policymakers or to policy change and in so doing 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: service to public, non-profit, and private sector organizations; invited testimony; public speaking engagements; advancement of ideas through various media; and holding of public, elected, or appointed office. To be promoted to associate professor on the basis of engagement, an Academic General Faculty Member is expected to have earned regional, national, or international recognition for contributions to the profession. A candidate for promotion to professor will be expected to have exhibited continued and sustained excellence in integrating professional experience with the academic mission of the school and further recognition for regional, national, or international achievements in the profession.

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. Faculty at all levels are expected to perform service which supports the mission of the school. Service will be assessed on the quantity and impact of service towards the school's mission.

Promotion from assistant professor to associate professor will be based on evidence of 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 business, beginning in the fourth year in the rank of assistant professor, the Batten School will include feedback and guidance on progress towards promotion in their annual evaluation of Academic General Faculty Members. In the normal course of business, beginning in the fifth year at the rank of associate professor, the Batten School will include feedback and guidance on progress towards promotion in their annual evaluation of Academic General Faculty Members. In addition, Academic General Faculty Members may request more comprehensive feedback outside of the Annual Review process from the dean and associate dean, with input from the Batten School faculty Executive Committee, regarding their progress toward satisfying criteria for promotion. The associate dean will provide the candidate with a brief summary of the conversation.

Academic General Faculty Members will be considered for promotion within seven years in an assistant rank unless they choose to postpone or forego promotion review by opting out in writing in a letter addressed to the dean and associate dean for academic affairs. Choosing to postpone or forego promotion review does not preclude renewal. In consultation with the dean, an Academic General Faculty Member in an assistant rank may request to be reviewed for promotion early based on exceptional performance or prior experience. The timing for promotion to the rank of professor should be based on consultation between the candidate and the dean. A candidate may request to be reviewed for promotion to the rank of professor based on the belief that they have met the promotion criteria outlined elsewhere in this

policy. The final decision regarding the timing of formal consideration of promotion to professor rests with the dean.

In all cases, for promotion to either associate professor or professor, time served in rank does not guarantee promotion. A candidate not receiving a successful promotion may continue at the candidate's current rank under the terms of the last reappointment letter. Subsequent reappointment following an unsuccessful promotion review will be for three-year terms unless the dean receives written approval from the provost's office.

Academic General Faculty Members who are denied a promotion will not be considered for promotion again in the academic year immediately following the denial. 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 regarding future attempts at promotion 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 four members of the Batten School governing faculty who are at a rank equal to or beyond that being sought by the candidate. Two committee members will be senior Academic General Faculty Members of the Batten School governing faculty and two committee members will be tenured members of the Batten School governing faculty. The committee chair will be a senior Academic 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, they 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 (current or former 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, they 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 nomination letter will offer no evaluation of the merits of the case. The dean's nomination 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 total 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 within 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. For candidates with 0% effort devoted towards research, the statement of research may simply be a one sentence acknowledgment of 0% effort.
 - 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:
 - Teaching
 - List of courses taught (in the Batten School and elsewhere), including term taught and enrollment.
 - Course syllabi, assessment materials, rubrics, 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.

- 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. Provided the candidate is teaching during the promotion review period, one or more members of the committee will conduct at least one formal peer review of the candidate's teaching for an assessment of teaching quality and trajectory. Committee observation will be complete by October 15.
 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. A copy of the report (with identifying information redacted and without the final page containing the recommendation) will be given to the candidate, who may submit a written response within 10 days of receiving it.
 15. The report, dossier, and review letters will be made available to members of the governing faculty at the appropriate rank at least 10 days 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.
 16. 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 resume and a closed vote will be taken. All faculty members in the relevant group of the governing faculty present at the second meeting are eligible to vote. Relevant faculty members of the governing faculty not present at the second meeting will be permitted to vote by proxy only if they attended the first meeting.
 17. The dean will inform the candidate of the decision as soon as possible after the faculty meeting. In the event of a negative recommendation, the dean will notify the Academic General Faculty Member in writing with copy to the provost. The Academic General Faculty Member will have 30

days to submit a written appeal to the provost. The appeal will be accompanied by adequate documentation and a statement of reasons as to why the recommendation is believed to be inappropriate.

18. All cases for promotion are then sent to the provost's office for review, following relevant university policies including PROV-004.

In the cases of initial faculty offers in the Batten School, expedited promotion review may be conducted for Academic General Faculty Members. 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, the report will not be shared with the candidate for written response, and the discussion of the case and relevant faculty vote will be conducted at a single meeting. All relevant governing faculty are expected to attend all promotion meetings. In circumstances where it is absolutely necessary for a governing faculty member to miss the single meeting for expedited cases, faculty must indicate in advance their inability to attend in writing to the associate dean. In circumstances where attendance is not possible, relevant governing faculty may vote by proxy.

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