

FRANK BATTEN SCHOOL OF LEADERSHIP AND PUBLIC POLICY
PROMOTION GUIDELINES FOR TENURE-LINE FACULTY

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Reason for Policy

This promotion and tenure policy provides clear guidance on the standards for the review, tenure, and promotion of tenure-line faculty at the Batten School. It is grounded in the School's mission to develop leaders and generate new knowledge to solve the world's toughest public policy challenges. This policy is intended to supplement, not replace, the University's overarching policy on the employment of tenure-line faculty (PROV-017).

Timing of Promotions

1. Probationary Period for Tenure-Eligible Faculty

- A. Tenure-eligible faculty members are entitled to consideration for renewal, promotion, and/or tenure. However, there is no presumption of or entitlement to renewal, promotion, or tenure by virtue of being tenure-eligible.
- B. Tenure-eligible faculty members may hold successive term contracts until the end of their probationary period. They are entitled to consideration for contract renewal based on a dossier review by a faculty committee.
 - Faculty members in the probationary period whose appointments are renewed after a pre-tenure review must receive written feedback on their progress toward tenure.
 - Faculty members in the probationary period whose appointments are not renewed should receive notice of non-renewal 12 months in advance of the expiration of the appointment. If notice of non-renewal is received less than 12 months before the expiration of an appointment, the faculty member is entitled to 12 months of employment following the date of that notice.
- C. Except in special circumstances, assistant professors will be reviewed for promotion to associate professor with tenure in their sixth year of service. A faculty member who wishes to be reviewed for promotion earlier than the sixth year should submit a request to the Dean's Office, which will consult with the Executive Committee before reaching a decision. If the review is being undertaken in response to an outside offer, the Dean's Office will consult with the Executive Committee about an expedited schedule for the review.
 - If, following the review process outlined in this policy and PROV-017, tenure is granted, the faculty member is given an appointment without term.
 - If, following the review process outlined in this policy and PROV-017, tenure is not granted, a faculty member is given a terminal year of employment in accordance with the 12-month notice provision.
- D. An assistant professor can decline to be reviewed for promotion by submitting a letter of resignation to the Dean's Office before the start of the review process.
- E. A faculty member will automatically receive one-year extensions to the probationary period upon notification of up to two "qualifying parental leave events," as defined in HRM-038: Faculty Leaves, regardless of whether parental

leave is taken. A faculty member may decline the extension and remain on the original probationary timeline by notifying the Dean's Office in writing no later than one year before the original dossier submission deadline.

- F. A faculty member may request an extension of their probationary period or a stoppage of their tenure clock for the following reasons:
- Serious personal or family health event.
 - Public or university service responsibility. Occasionally, an Assistant Professor may be invited to take on a heavy public or university service responsibility that is clearly of long-term value to the individual and institution, but which imposes time demands that will substantially limit research activity during the period of service.
 - Other extremely unusual barriers to progress in research outside the candidate's control.
- G. Faculty seeking an extension of the probationary period should submit a written request to the Dean's Office as early as possible, and no later than six months before the formal dossier is due, clearly stating the reason for the request.
- H. If the extension requires a School decision, the Executive Committee will review the request and forward a recommendation to the dean. Extensions or stoppages of the tenure clock for reasons other than up to two qualifying parental leave events must also be approved by the Provost, based on the dean's recommendation.

2. Promotion within Tenure

The timing for promotion to Professor should be based on consultation between the candidate and the Dean's Office. A candidate may request to be reviewed for promotion based on the belief that they have attained sustained excellence as Associate Professor to merit a promotion. If the promotion process results in a negative decision, the candidate will remain in the rank of Associate Professor and may reapply. Timing for a subsequent request for promotion should be based on consultation between the candidate and the Dean's Office.

Promotion Criteria

Promotion and tenure are awarded based on a faculty member's overall achievements, with evaluation conducted holistically across all criteria. Extraordinary achievement in one area will not compensate for underachievement in another. Work performed by a faculty member may overlap several criteria. The contribution of such work will be evaluated with respect to multiple criteria.

Tenure Review and Promotion

Appointment as a tenure-line Assistant Professor in the Frank Batten School of Leadership and Public Policy carries no presumption of promotion and tenure. Tenure is earned by excellence in a combination of research on, teaching about, and engagement with the practice of leadership and/or public policy, and administrative service to the school, the university, and the broader profession, each of which must be relevant to the goals of School and the University. Promotion to tenure requires distinction in some area of

research related to leadership and/or public policy and the promise of continued eminence throughout the individual's career.

Research: A candidate for promotion to a tenured position in the Batten School will be expected to have achieved national recognition among leaders in their field(s) for scholarly contributions to the literature. Scholarly contributions will be assessed by the candidate's distinct and original intellectual work and its impact on the relevant field(s). In evaluating interdisciplinary work, consideration will be given to its capacity to advance understanding of complex questions that extend beyond the scope of any single discipline. In evaluating community-based work, consideration will be given to the context of collaborative research with community partners that address pressing social, environmental, or public challenges. The potential of a candidate's body of work to shape the field, particularly with respect to the communities they engage, must be demonstrated in a manner consistent with the values of the discipline. Evidence of the candidate's distinct intellectual contributions is required. A judgment concerning a candidate's research excellence will rest most heavily on internal and external assessments of the quality of the research, its relevance to leadership and public policy, and its publication in peer-reviewed journals and/or in books from top-ranked presses. In addition, competitive grants, citations, scholarly honors, and awards may provide evidence of research excellence.

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, or tenure, unless the research has been declassified.

A candidate's research record and plans for future research must provide grounds for an expectation of continued significant scholarly productivity.

Teaching: It is expected that candidates for tenure will have established records of teaching excellence in classroom teaching and/or in other educational activities associated with the academic programs of the School. The quality of the candidate's teaching effectiveness and investment in the education and intellectual development of their students will be given significant consideration in a decision to recommend promotion. For this purpose, the term 'students' may also encompass other trainees whose education and development are guided by the candidate's academic expertise. Evidence of a candidate's teaching effectiveness may include, but is not limited to, peer observations, institutionally-administered Student Experience of Teaching reports, or other school-sanctioned student experience surveys, instructional materials, teaching awards, mentoring, and evidence of student success. Teaching contributions beyond the Batten School may also be considered as part of the review.

Engagement with the Practice of Leadership and Public Policy: Although the School does not expect assistant professors to compile extensive records of engagement with the practice of leadership and public policy, it is strongly interested in encouraging its faculty, particularly the tenured faculty, to have such involvement. Hence, evidence that a

candidate for promotion has an interest in engagement with the policy world and is likely to develop these activities more fully as a tenured faculty member will receive positive weight in a promotion decision. Engagement activities will be guided by frameworks such as their alignment with the School's mission, grounding in expertise and research, intended impact in informing practice and contributing to societal good, and the durability of ongoing impact.

Service: It is expected that assistant professors will engage in a variety of service activities within the School, the University, and the broader profession.

Moreover, collegiality and good citizenship are important aspects of scholarship, teaching, engagement, 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 ability to work with other faculty, staff, and students is considered in relation to its impact on the School's overall mission.

Post-Tenure Promotion:

The Associate Professor rank in the Batten School carries no presumption of promotion to Professor. Such promotion is earned by further sustained excellence in a combination of research on, teaching about, and engagement with the practice of leadership and/or public policy, and administrative service to the school, the university, and the broader profession, each of which must be relevant to the goals of the School and University.

Promotion to Professor builds upon the criteria for promotion to tenure at the Associate Professor level. While tenure recognizes excellence across research, teaching, engagement, and service, promotion to Professor requires evidence of continued productivity and enhanced quality and impact that extend well beyond the record attained when promoted (or appointed) to Associate Professor.

Promotion within tenure is evaluated using the methods outlined above for tenure and the criteria described below. If the promotion process results in a negative decision, the candidate will remain in the rank of Associate Professor and may reapply. Timing for a subsequent request for promotion should be based on consultation between the candidate and the Dean's Office.

Research: Candidates are expected to demonstrate sustained national and emerging international recognition for their scholarly contributions, with a record that reflects continued productivity and influence in the field.

Teaching: Candidates must exhibit ongoing excellence in instruction, including effectiveness in classroom teaching and/or in other educational activities associated with the academic programs of the School, and demonstrate meaningful contributions to the intellectual development of students.

Engagement: Candidates are expected to have widely recognized and impactful engagement with the practice of leadership and public policy. Evidence of such engagement will be assessed based on its alignment with the School's mission, grounding in expertise and research, intended and realized impact in informing practice and contributing to societal good, and the durability of ongoing impact. Such engagement, however, will not substitute for the School's expectations concerning research accomplishments.

Service: Candidates should have developed a record of distinguished service to the School, the University, and the broader profession.

Promotion Procedure

1. In April of each year, the Dean's Office and the Executive Committee will determine who will be reviewed the following academic year.
2. By April 15, the Dean's Office and Executive Committee will appoint an ad hoc promotion committee for each candidate for promotion. The committee will consist of three tenured members of the Batten School Governing Faculty at or above the rank sought by the candidate, one of whom the Dean's Office will designate as chair. Committee membership should reflect both the candidate's disciplinary field and the broad interdisciplinary research community of the School. The identities of the committee members will be revealed to the candidate.
 - A. Faculty members with school-level administrative appointments at Batten (e.g., associate dean) may not serve as committee members without prior approval from the provost.
 - B. If there is no faculty member in residence to represent the candidate's discipline, or where broader expertise is needed to support a comprehensive assessment, the Dean's Office may identify UVA faculty at or above the candidate's rank in the candidate's discipline from other UVA schools to act as additional committee members.
 - C. If the candidate believes there are individuals whose service on the committee would be inappropriate, they should provide the Dean's Office with this information in writing by April 10, indicating briefly but clearly the nature of the reasons. The Dean's Office and the Executive Committee will give serious weight to this information in appointing the promotion committee.
3. By April 15, the candidate should provide the Dean's Office with three lists:
 - A. A list of six individuals not at the University of Virginia who might be asked to write external and arm's length letters evaluating the candidate's scholarship and standing in the field. The list should consist of individuals who are not likely, and not perceived to be likely, to have a preexisting positive or negative bias toward the candidate. Letters from individuals with only incidental relationships with the candidate, such as serving together on editorial boards or professional committees, may still be considered arm's-length.
 - If the candidate believes there are individuals from whom it would not be possible to get a fair and balanced external evaluation, they should provide the Dean's Office with this information, indicating briefly but clearly the nature of the reasons. The Dean's Office and the Executive Committee will

give serious weight to this information in constructing the list of external reviewers.

- B. A list of their co-authors, dissertation advisors, and mentors to support the promotion committee in generating its list of potential external reviewers.
 - C. A list of up to five former students (for candidates who have taught at Batten, at least a portion of these should be Batten School students) who are particularly well-positioned to comment on the candidate's contribution to their education. These students may be contacted to comment on the candidate's contributions to their education and intellectual development.
4. The promotion committee will also assemble a list of potential external reviewers. In consultation with the Executive Committee, the members of the promotion committee, and any other units joining in the review, the Dean's Office will select the names of prospective external 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 finalized by May 15. The goal will be to receive evaluations from at least six external reviewers.
 5. By July 1, a candidate for review will submit the following materials to the Dean's Office for use in the review:
 - A. A current curriculum vita
 - B. The candidate's statements (suggested total length: 10-15 single-spaced pages)
 - A statement describing the candidate's scholarship in the current rank and indicating how it contributes to a coherent field (or fields) of inquiry and describing future research agendas. This statement should provide the committee and external reviewers with an overview of the candidate's research and an evaluative framework for reading and understanding the work. The statement should indicate the candidate's distinct intellectual contributions to their field(s) of inquiry and outline their specific contributions to collaborative efforts.
 - A statement describing the candidate's teaching philosophy, experience, future teaching plans, and reflections on their investment in student education and intellectual development.
 - A statement describing the candidate's engagement activities — such as published work and professional contributions — including the candidate's own assessment of the significance and impact of these contributions, and addressing: (1) alignment with the School's mission; (2) grounding in expertise and research; (3) intended and/or realized impact; and (4) the durability of ongoing impact.
 - A statement describing the candidate's service activities within the Batten School, other UVA units, the University, and to their profession, and how the candidate's activities have contributed to these environments
 - C. Supporting materials (focused on activities within current rank)
 - Research
 - Representative body of published and unpublished work.
 - Reviews of published work (if available)
 - 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 (which will be uploaded by the Dean's Office)
 - Information on other teaching activities (advising, exam service, dissertation service, curricular development, etc.) within the Batten School and in other units at UVA or beyond
 - Materials documenting engagement with the practice of leadership and public policy
 - Materials documenting the candidate's service activities
6. By July 15, these materials will be distributed by the Batten School to the promotion committee.
 7. By July 15, the curriculum vitae, statements concerning the candidate's research and engagement with the practice of leadership and public policy, and the candidate's research publications will be sent to external reviewers, along with Batten School's criteria for promotion. External reviewers should be asked to submit their letters by October 15.
 8. By July 15, the Dean's Office 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 they wish the Batten School to take into account in its evaluation of the candidate. The Dean's Office will request that these memos be submitted by October 15.
 9. The candidate will have the opportunity to submit additional research publications, engagement activities, and an updated curriculum vitae by the end of the first week of classes in the Fall term. These publications will be distributed to the promotion committee and the external reviewers by September 15.
 10. By October 15, and 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. B
 11. By the end of October, the promotion committee will submit its report to the Dean's Office. The report may include minority views. The committee shall include a final section in the report indicating its recommendation concerning promotion.
 12. The report (with identifying information and strictly evaluative comments redacted and without the final section containing the recommendation) will be given to the candidate, who may submit a written response within ten days of receiving it.
 13. The report, the candidate's response to the report (if any), and the candidate's dossier will be distributed 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, the candidate's published research, and the external letters prior to the meeting.
 14. In typical situations, the Dean's Office will schedule well in advance two meetings of the tenured professors of the Governing Faculty at or above the rank sought by the candidate, scheduled for approximately one week apart (see the Expedited Review

section for exceptions). 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 tenured professors on the Governing Faculty at or above the rank sought by the candidate present at the second meeting are eligible to vote. Those not present at the second meeting will be permitted to vote by proxy only if they attended the first meeting. The number of faculty voting yes, no, abstaining, absent, or recused due to a conflict of interest will be counted and documented. The final decision to recommend promotion rests with the dean.

15. The dean will inform the candidate of the faculty's recommendation and school-level decision as soon as possible after the faculty meeting.

Joint Appointments

Tenure-line faculty members may hold joint appointments that are either tenured or with term. Faculty members may only hold one rank across all appointments at the institution.

New tenure-eligible faculty members hired into joint appointments across multiple schools must have a designated primary appointment in the unit that serves as their sole tenure home, as well as a specified termed appointment in other secondary units. For tenure-eligible faculty members, the tenure home is the only unit in which the faculty member is initially eligible for tenure.

A. Batten as the Primary Appointment

1. Per university policy (PROV-017), if a tenure-line faculty member with a primary appointment in the Batten School is being considered for promotion—regardless of whether the case includes a concurrent tenure review—the secondary unit must conduct a review for promotion in rank, with or without tenure review, as appropriate to the specific circumstances.
2. If the tenure-line faculty member is promoted in rank in the Batten School but not in the secondary unit, the secondary appointment must be terminated by the time the promotion in Batten takes effect.
3. Promotion and tenure review procedures and criteria at the Batten School follow the processes outlined in this policy. In evaluating a faculty member's productivity and contributions, careful consideration must be given to the amount and nature of effort devoted to each unit, based on the agreed-upon effort allocations between the two units and communicated to the faculty member.

B. Batten as a Secondary Appointment

1. Full-time tenure-line faculty members with a formal, multi-year termed secondary appointment in the Batten School—where at least one-third of their long-term effort is allocated to Batten—will be considered governing faculty, as defined in the School's bylaws. Secondary appointments in Batten will have renewable terms

of up to five years and must be held at the same rank as the primary appointment. The reappointment process is outlined in Batten Policy FAC-007.

2. Promotion reviews for tenure-line faculty members holding a termed secondary appointment in the Batten School will follow the processes outlined in this policy; however, external letters will not be required. In evaluating a faculty member's productivity and contributions, careful consideration must be given to the amount and nature of effort devoted to each unit, based on the agreed-upon effort allocations between the two units and communicated to the faculty member.
3. Faculty members with a termed secondary appointment who have been promoted, or who have been reappointed at least once at the rank of associate professor or professor in the Batten School, will subsequently be reappointed for the same length of their original renewable term without undergoing the process described in FAC-007—conditional on a successful annual review and a continued need for their expertise.
4. When a tenure-eligible faculty member with a termed secondary appointment in the Batten School is reviewed for promotion in their primary unit, how their work at Batten will be considered in the promotion and tenure decision as originally agreed upon between the two units and communicated to the faculty member.
5. At any time after earning tenure in their primary unit, a faculty member with a termed secondary appointment may be considered for tenure in the Batten School, at the invitation of the dean and in consultation with the Provost. This policy also applies to faculty members who are hired with tenure; in such cases, the invitation to be considered for tenure in the Batten School may be included in the faculty member's offer letter.
6. Tenure review procedures and criteria follow the processes outlined in this policy. If the faculty member is granted tenure in the Batten School, they are afforded all rights and responsibilities of a tenured faculty member in the Batten School. If tenure is not granted, the faculty member may continue to hold a termed secondary appointment in the Batten School.

C. Tenure across multiple units

1. If a faculty member is tenured in multiple units, they must be considered for subsequent promotions simultaneously in all units where they hold tenure.

Expedited Review

In the cases of initial faculty offers in the Batten School or retention of current faculty, expedited promotion and review may be conducted for tenure-line faculty. Although the same standards 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 external reviews; 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 promotion policies of the Batten School will be consistent with those established by the University of Virginia.