

DOCUMENT TITLE: REFERENCE LETTER REQUIREMENT CRITERIA FOR DUKE-NUS (A) FACULTY, (B) PRINCIPAL RESEARCH SCIENTIST / SENIOR PRINCIPAL RESEARCH SCIENTIST AND (C) "NAMED" FACULTY / DISTINGUISHED / EMERITUS PROFESSOR APPOINTMENTS			
Document Category:	Guidelines	Version Number:	1.0
Document Application:	Duke-NUS-Wide		
Document Owner:	Office of Research - Research Affairs Department	Effective Date:	4 September 2023
Endorsed By:	Prof Patrick Tan Senior Vice Dean (Research)	Approved By:	Prof Thomas Coffman Dean
Endorsed Date:	4 September 2023	Approval Date:	4 September 2023

Reference Letter Requirement Criteria for Duke-NUS (A) Faculty, (B) Principal Research Scientist / Senior Principal Research Scientist and (C) “Named” Faculty / Distinguished / Emeritus Professor Appointments

Note:

1. Reference letters (i.e. arm’s length / non-arm’s length) should be solicited from referees who are of the same academic (a) rank and (b) type (i.e. Regular Rank / Adjunct / Clinical) or higher than that for which the candidate is being considered. Exceptions can be granted for the following instances:
 - (i) For candidates who are being nominated for Regular Rank Track II Non-Tenure Track Instructor / Assistant Professor appointments, reference letters from referees who hold Adjunct / Clinical faculty appointments but whose academic rank is higher than that for which the candidate is being proposed, can be counted toward the minimum number of letters required.
 - (ii) Reference letters from referees without academic titles but who (a) hold key leadership positions in any reputable organisation or (b) are highly recognised within the field of their expertise and who are from renowned institutions / organisations, can be counted toward the minimum number of letters required.
2. It is recommended that a reference letter be solicited from Duke University for the following appointment types, even for appointments where such a letter is not considered an arm’s length letter:
 - (i) Tenured Associate Professor / tenured Professor (Track IA / IB / IC)
 - (ii) Professor (Track IA / IB / IC / IIA / IIB / IIC)
 - (iii) Clinical Professor
3. For the appointment of (1) Associate Professor and Professor on Track IA / IB / IC (with the Award of Tenure), (2) Professor on Track IA / IB / IC (Tenure-track), (3) Professor on Track IIA / IIB / IIC (Non-tenure Track), (4) Senior Principal Research Scientist, (5) Faculty Professor, (6) Distinguished Professor and (7) Emeritus Professor, an arm’s length referee is defined as one who:
 - (i) has never collaborated and / or published with the candidate.
 - (ii) has no personal connections with the candidate (e.g. former classmate, personal friend, etc).
 - (iii) has never trained / mentored / supervised the candidate (e.g. former PhD / postdoctoral supervisor / advisor, etc).
 - (iv) has never had an employer-employee reporting relationship with the candidate.
 - (v) has never been colleagues with the candidate in the same institution. [Note: The different institutions within SingHealth are considered as one single institution as they are all under the same SingHealth cluster.]
 - (vi) is not from an institution based in Singapore (e.g. NUS, NTU, SingHealth, National Healthcare Group, A*STAR, Duke-NUS, etc) or from Duke University.
4. For the appointment of (1) Assistant Professor and Associate Professor on Track IA / IB / IC (Tenure-track), (2) Instructor, Assistant Professor and Associate Professor on Track IIA / IIB / IIC (Non-tenure Track), (3) Clinical Professor, (4) Adjunct Professor and (5) Principal Research Scientist, an arm’s length referee is defined as one who:
 - (i) has not collaborated and / or published with the candidate within the last 5 years.

- (ii) has no personal connections with the candidate (e.g. former classmate, personal friend, etc).
- (iii) has never trained / mentored / supervised the candidate (e.g. PhD / postdoctoral supervisor / advisor, etc).
- (iv) has never had an employer-employee reporting relationship with the candidate.
- (v) has never been colleagues in the same department with the candidate.
- (vi) is not from a SingHealth Institution or from Duke-NUS. [Note: The different institutions within SingHealth are considered as one single institution as they are all under the same SingHealth cluster.]

Reference letters from arm’s length referees (as defined in point no. 4 above) from institutions based in Singapore or from Duke University can be counted towards the minimum number of reference letters required.

5. For appointment / promotion at Associate Professor or Full Professor levels (for Regular Rank / Adjunct / Clinical, where applicable), the candidate can suggest names of referees, but the Nomination and Appointment Committee (NAC) makes decision on which referees will be contacted for the solicitation of letters. The candidate should not be aware of the names of the referees who provided letters.

(A) Faculty Appointments

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm’s Length Reference Letters, where applicable)	Minimum No. of <u>Arm’s Length</u> Reference Letters Required	Notes
1	Regular Rank	Track IA / IB / IC	Tenure-Track Appt	Asst Prof	3	Suggest 1	<ul style="list-style-type: none"> • The candidate or the SRP / ACP / OoE can solicit the reference letters. • The candidate can either forward the letters received from the referees to the SRP / ACP Director / OoE HOO, or have the referees send the letters directly to the Director / HOO.
				Assoc Prof	4	Minimum 4	<ul style="list-style-type: none"> • The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of Arm's Length Reference Letters Required	Notes
				Prof	6	Minimum 6	<p>circumstances should there be contact between the candidate and the referees regarding the candidate's appointment, promotion and / or tenure application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment, promotion and / or tenure, the circumstances and nature of the communication must be included in the candidate's dossier.</p> <ul style="list-style-type: none"> • Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate. • For tenured appointments / promotions at Assoc Prof or Prof level, please refer to the "Referee Requirements" section in the document on "Summary Guidelines for Preparation of Duke-NUS Faculty Dossiers for Review by University Promotion and Tenure Committee (UPTC)".
			Tenured Appt (i.e. with tenure)	Assoc Prof	6	Minimum 6	
				Prof	6	Minimum 6	
2	Regular Rank	Track IIA / IIB	Non-Tenure Track Appt	Instructor / Asst Prof	3	No Restriction	<ul style="list-style-type: none"> • Reference letters from referees who hold Adjunct / Clinical faculty appointments but whose academic rank is higher than that for which the candidate is being nominated, can be counted toward the minimum no. of letters required. • The candidate or the SRP / ACP / OoE can solicit the reference letters. • The candidate can either forward the letters received from the referees to the SRP / ACP Director / OoE HOO, or have the referees send the letters directly to the Director / HOO.

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
				Assoc Prof	4	Minimum 3	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier. Up to 3 of the referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.
				Prof	6	Minimum 5	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier.

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of Arm's Length Reference Letters Required	Notes
							<ul style="list-style-type: none"> Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.
3	Regular Rank	Track IIC – Practice Track	Non-Tenure Track Appt	Assoc Prof	4	Minimum 3	<ul style="list-style-type: none"> The SRP / ACP / SDGHI / Centre / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier. Up to 3 of the referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / SDGHI / Centre / OoE independent of the candidate.
				Prof	6	Minimum 5	<ul style="list-style-type: none"> The SRP / ACP / SDGHI / Centre / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the
4	Clinical	-	-	Prof	4	Minimum 2	<ul style="list-style-type: none"> The SRP / ACP / SDGHI / Centre / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
							<p>evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier.</p> <ul style="list-style-type: none"> Up to half of the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / SDGHI / Centre / OoE independent of the candidate.
				Instructor / Asst Prof / Assoc Prof	Not Required	N.A.	
5	Adjunct	-	-	Prof	2	Minimum 1	<ul style="list-style-type: none"> The SRP / ACP / SDGHI / Centre / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier. Up to half of the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / SDGHI / Centre / OoE independent of the candidate.

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
				Instructor / Asst Prof / Assoc Prof	Not Required	N.A.	

(B) Principal Research Scientist / Senior Principal Research Scientist Appointments

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
1	Research Scheme of Service	-	Non-Tenure Track Appt	Principal Research Scientist	4	Minimum 2	<ul style="list-style-type: none"> The P.I. and / or SRP / ACP / SDGHI / Centre Director solicit(s) the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
							<p>referees regarding the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier.</p> <ul style="list-style-type: none"> • Up to 3 of the referees can be suggested by the candidate. The rest of the referees should be chosen by the P.I. and / or SRP / ACP / SDGHI / Centre Director independent of the candidate. • The AP cover letter from the P.I. and SRP / ACP / SDGHI / Centre Director supporting the candidate for appointment / promotion to Principal Research Scientist / Senior Principal Research Scientist can be counted as a reference letter.
				Senior Principal Research Scientist	6	Minimum 4	<ul style="list-style-type: none"> • The P.I. and / or SRP / ACP / SDGHI / Centre Director solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding

S/N	Appt Type	Academic Track	Type of Tenure Appt	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
							<p>the candidate's appointment or promotion application. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment or promotion, the circumstances and nature of the communication must be included in the candidate's dossier.</p> <ul style="list-style-type: none"> • Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the P.I. and / or SRP / ACP / SDGHI / Centre Director independent of the candidate. • The AP cover letter from the P.I. and SRP / ACP / SDGHI / Centre Director supporting the candidate for appointment / promotion to Senior Principal Research Scientist can be counted as a reference letter.

(C) "Named" Faculty / Distinguished / Emeritus Professor Appointments

S/N	Appt Type	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
1	Faculty Professorship <i>*Duke-NUS Faculty Professorships are Named Professorships in NUS context.</i>	Assistant Professor	3	No Restriction	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment, the circumstances and nature of the communication must be included in the candidate's dossier. Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.
		Associate Professor	4	Minimum 3	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment. In the event that there

S/N	Appt Type	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
					<p>had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment, the circumstances and nature of the communication must be included in the candidate's dossier.</p> <ul style="list-style-type: none"> Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.
2	Distinguished Professorship <i>*Duke-NUS Distinguished Professorships are Named Professorships in NUS context.</i>	Associate Professor / Professor	4	Minimum 2	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment, the circumstances and nature of the communication must be included in the candidate's dossier.

S/N	Appt Type	Academic Rank	Minimum No. of Reference Letters Required (including Arm's Length Reference Letters, where applicable)	Minimum No. of <u>Arm's Length</u> Reference Letters Required	Notes
					<ul style="list-style-type: none"> Up to half the no. of referees can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.
3	Emeritus Professorship	Professor	3	Minimum 2	<ul style="list-style-type: none"> The SRP / ACP / OoE solicits the letters independently of the candidate. The candidate should not be aware of the final list of referees from whom the letters were solicited. Under no circumstances should there be contact between the candidate and the referees regarding the candidate's appointment. In the event that there had been communication between the candidate and his / her referees at any point during the evaluation period regarding the candidate's current application for appointment, the circumstances and nature of the communication must be included in the candidate's dossier. One referee can be suggested by the candidate. The rest of the referees should be chosen by the SRP / ACP / OoE independent of the candidate.