

Complete Policy Title:  
**Procedures for Selection of and  
Communication with External and  
Internal Referees (except those for  
Clinician Educators)**

Policy Number (if applicable):  
**SPS B5**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

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**September 27, 1993**

Supersedes/Amends Policy dated:  
**February 25, 2002 (SPS 12)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

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## I Number of Referee Letters

1. In all cases for tenure and promotion of tenure-stream faculty, the department must obtain written judgments on the quality of the candidate's scholarly work from at least three referees external to the University. The referees must be scholars who have respected national and/or international reputations and can assess whether the candidate is known widely on the basis of scholarship, however that may be defined in the discipline in question.
2. In the case of teaching-stream appointments, letters of reference from external sources are **not** required as part of the process for granting permanence.
3. Promotion of teaching-stream faculty to the rank of Associate Professor requires at least two referees external to the Department or Program in which the candidate is employed, at least one of whom must be external to the University. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy.
4. Promotion of teaching-stream faculty to the rank of Professor requires letters from at least three referees external to the University. The referees must be experts with regard to teaching and learning who can assess

whether the candidate is known widely on the basis of contributions to pedagogy.

5. Although a minimum number of referees must be consulted, additional referees may be used.
6. All letters solicited from referees in accordance with SPS B5 must be made part of the file.
7. *Written* responses must be obtained from the appropriate number of referees in time for all deadlines to be met. Chairs should be aware that a certain number of external referees either do not reply, or have replied in vague and unsatisfactory ways to requests for appraisal. It is therefore highly desirable that the initial solicitation for external appraisals begin early enough to allow for those special cases where additional letters must be sought.

## **II Generation of the List of Potential Referees**

1. To avoid a possible conflict of interest, referees should not:
  - a. have been a research supervisor or graduate student of the candidate within the past ten year(s);
  - b. have collaborated with the candidate within the past ten years or have plans to collaborate in the immediate future;
  - c. be an employee of a non-academic organization with which the candidate has had collaboration within the past ten years; or
  - d. be in any other potential conflict of interest (e.g., personal, financial).
2. Except in unusual circumstances, a referee must already hold at least the rank or its equivalent for which the candidate is being considered.
3. In the case of tenure and promotion of tenure-stream faculty, the Department Chair, in consultation with senior colleagues, draws up a list of at least six possible referees known for their work in the relevant field.
4. In the case of promotion of teaching-stream faculty to the rank of Associate Professor, the Department Chair, in consultation with senior colleagues, draws up a list of at least four possible referees known for their work in the field of teaching and learning.
5. In the case of promotion of teaching-stream faculty to the rank of Professor, the Department Chair, in consultation with senior colleagues, draws up a list of at least six possible referees known for their work in the field of teaching and learning.

6. In all cases, advice from the candidate may be sought, but the candidate should not simply be asked to draw up the list of potential referees.
7. In the case of a faculty member who participates in a Program<sup>1</sup>, the Director of the Program should be consulted.

### **III Approval Process for the List of Potential Referees**

1. The list of potential referees should be approved by the Dean prior to showing it to the candidate, who has the right to object and give reasons for objecting, to any person or persons on it. The candidate also has the right to suggest appropriate additions to the list, with reasons.
2. The candidate must confirm in writing to the Chair that she or he has seen the list of referees and has had an opportunity to register any objections. In such circumstances, the Department Tenure and Promotion Committee must consider any such objection(s), but retains the right to select the referee(s) in question, and must inform the Faculty Tenure and Promotion Committee of the objection(s) and its decision(s) concerning the referee(s).

### **IV Material Sent to Referees**

1. an up-to-date curriculum vitae(prepared in accordance with SPS B11) which includes a complete list of the candidate's publications.
  - The candidate may indicate which papers are to be sent to the referee (no limit) and the Department chair may send additional publications but, when doing so, must inform the candidate.
2. in the case of tenure and/or promotion considerations for tenure-stream faculty, a statement by the candidate on his/her research, such statement not to exceed two pages in length (see item 3 a), SPS B12).
3. in the case of promotion considerations for teaching-stream faculty, a statement by the candidate on his/her pedagogical research/scholarship, such statement not to exceed two pages in length (see item 3 b), SPS B12).
4. the "Policy for Referees" (SPS B7, or B8 as appropriate).

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<sup>1</sup> "Program" means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.

5. Referees must be informed by the Chair if a candidate has had the timing of his or her tenure, permanence and/or promotion review changed for legitimate cause; the referees will be informed of the timing change, but not of the reasons.