

APT Dossier Checklist
For Candidates for appointment/promotion to
Associate Professor and Professor Ranks on all Tracks

1.	<p>Intellectual Statement¹.</p> <ul style="list-style-type: none"> a. The intellectual statement should ideally be no more than 4 pages (single-spaced, 12 font). b. One additional page that lists the citations of any publications referred to in the intellectual statement may be appended to the statement (see separate Guidelines for Intellectual Statements for more detailed information). 	
2.	<p>CV in the Duke format. Every effort should be made to ensure all information in the CV, particularly, publication citations, grants, memberships, etc., is accurate and up to date (see separate Instructions page for detailed information on preparing the CV).</p>	
3.	<p>List of 10 -15 potential external reviewers¹ (include name, title/rank, institution, and email information for each)</p> <ul style="list-style-type: none"> a. These individuals are external to Duke and are asked to evaluate the dossier in light of DUSON’s APT criteria. b. They should not have a recent (within the last 7 yrs), personal or professional relationship with the faculty member. Collaborators, co-authors, supervisors, and present or former departmental colleagues are considered to be too closely connected to candidates to serve as an external reviewer. c. Evaluators must hold a faculty appointment of equal or higher rank than that for which the candidate is being reviewed. d. You may note anyone you do not wish to be contacted as a reviewer. 	
4.	<p>List of 3-5 potential internal reviewers¹ (include name, title/rank, institution, and email information for each).</p> <ul style="list-style-type: none"> a. Internal reviewers should have a professional relationship with the faculty member and are asked to evaluate the dossier in light of DUSON’s APT criteria. b. For new faculty appointments, you may choose to provide names of individuals at Duke for internal letters of support should you have an established professional relationship with them prior to the appointment at Duke. c. DUSON faculty members are excluded. d. Internal reviewers/letters are optional for Track I APT reviews. 	
5.	<p>List of 3-5 students to be contacted¹ include name, title, address, and email information.</p> <ul style="list-style-type: none"> a. These should be graduates/former students with whom the faculty member has had a mentoring relationship (e.g., advised formally or informally, co-published with) b. Former students are asked comment on the faculty member’s mentoring and teaching c. students from a faculty member’s former institution are also acceptable. 	
6.	<p>Annotated list of most significant publications and reprints</p> <ul style="list-style-type: none"> a. Publications included should be those that the faculty member feels are most representative and are the most significant of his/her published work (first authored publications are preferred) <u>over the past 7 years.</u> b. Include a full citation for each work (author, publication year, title of article, journal name, volume and pages) and annotate with a brief paragraph stating the contribution/significance/impact of each publication. c. Candidates for appointment/promotion to the professor rank are to provide a list of 10 publications and reprints, and candidates for appointment/promotion to the associate professor rank are to provide 5 publications and reprints. 	
7.	<p>Summary of teaching evaluations</p> <ul style="list-style-type: none"> a. Use DUSON’s teaching evaluations worksheet 	

	b. Teaching evaluation scores from the faculty member’s time at Duke should be included. Teaching evaluations from a prior institution can be included in initial appointment dossiers.	
8.	Innovative Teaching Materials and Other Materials relevant to the promotion, if applicable.	

¹ *Heading on these documents should include:*

- *Faculty Member’s Name, credentials*
- *Candidate for Appointment/Promotion from (current rank) to (review rank)*
- *Title (e.g., “External Reviewers”, “Ten Most Significant Publications”)*

Please provide an electronic copy of materials in Word format (rather than PDFs). PDFs of the publication reprints are acceptable. The complete set of the dossier materials should be emailed to the Director, Faculty Affairs along with the division chair checklist signed by the Division Chair.

Effective in 2015, a promotion review request letter to the dean is no longer needed.