UMassAmherst

Academic Personnel Workflow System

(APWS)

Department Chair & Proxy Job Aid

How to Manage the External & Internal

Solicitation Process

Version 1.0
Spring 2019

CONTENTS

1. **Log-in to APWS** 3
2. **General Navigation** 4
3. **The Candidate's Draft Submission** 6
4. **Identify External Reviewers** 8
5. **Solicit External Reviewers** 10
6. **Take Action on Behalf of External Reviewers, if necessary** 13
7. **Internal Solicitation** 16
7. **Upload Documents into the Candidate's File** 19
8. **Close the Solicitation Period & Start the Internal Review** 20

APWS SUPPORT:

If you have technical questions about the Academic Personnel Workflow System contact:

APWS-Support@provost.umass.edu

When contacting support, please provide your APWS reference number.

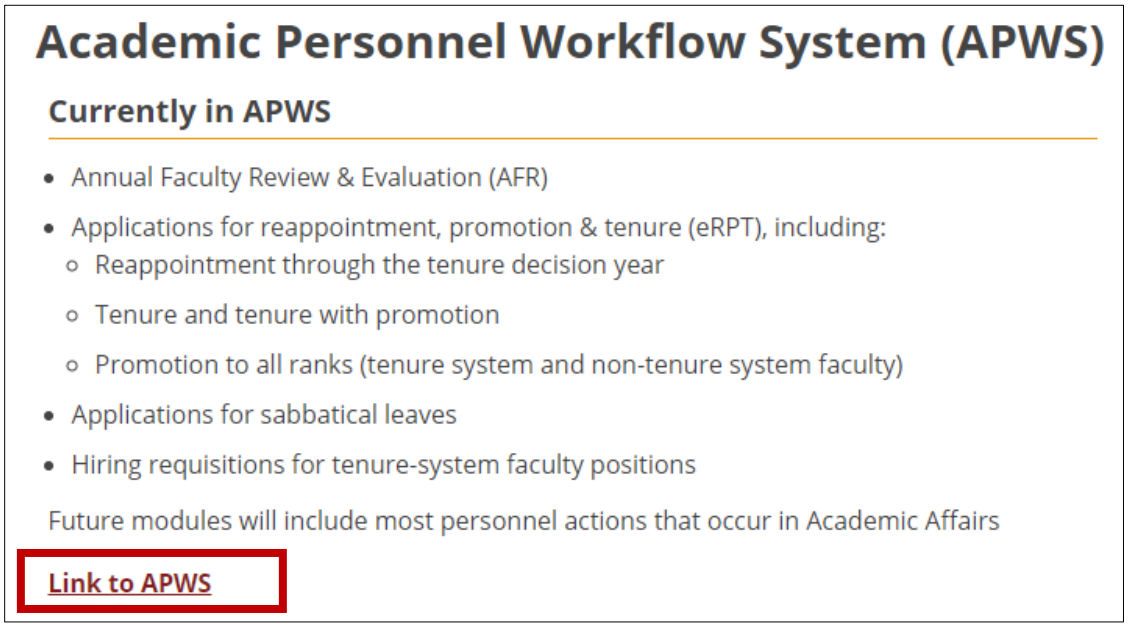
If you have questions about University Policy or recommended practices contact:

Academic.Personnel@umass.edu

1. Log-in to APWS

1.1 APWS is hosted by the Provost's Office Website: https://www.umass.edu/provost/node/199

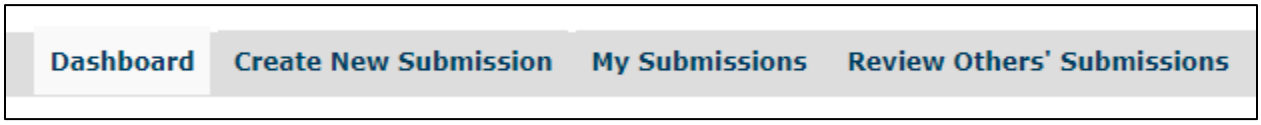
1.2 Click the **Link to APWS**.



1.3 Log-in to APWS using your NetID and password. Your NetID and password are what you use to sign into systems such as Umail and SPIRE.

2. General Navigation

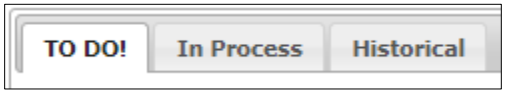
2.1 After you log-in to APWS, notice the tabs at the top of the page:



2.2 The **Dashboard** tab is where you can easily see if you have an item on your To-Do summary. An item will be listed on your **To-Do Summary** if you need to take action on your submission. You can also review any submissions you recently viewed on the bottom of your dashboard.

2.3 The **Create New Submission** tab is where you can create your own APWS submission.

2.4 The **My Submissions** tab is where you will see the status of any of your personal APWS submissions. The **My Submissions** tab has three sub-tabs:

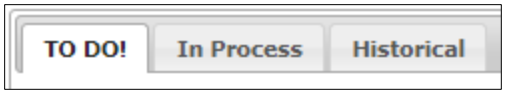


a. The **To-Do!** tab shows <u>your</u> submissions that require your action. This is the same list as the submissions that need your attention the **Dashboard** tab.

b. The **In Process** tab shows <u>your</u> submissions that are currently in the respective workflow that you have or will need to take action on. Here you will see the status of the file, who is currently reviewing the file, and when the file arrived at that workflow step.

c. The **Historica**l tab shows <u>your</u> submissions that have completed the entire workflow and are no longer active.

2.5 The **Review Others' Submissions** tab is where you will see the status of any APWS submissions that you <u>have reviewed or will need to review</u> based on your Department Chair role. The **Review Others' Submission** tab has three sub-tabs:



a. The **To-Do!** tab shows you submissions that you did not submit, but require your action. The **To-Do!** tab is broken into two sections:

Others' Submissions Needing External/Internal Reviewers:

Submission types that require the solicitation of external reviewers
(ex, Tenure with Promotion, Promotion to Full Professor).

AND

Submissions Needing Your Attention:

Submission types that require your review, but do not require
the solicitation of external reviewers (AFRs, etc).

b. The **In Process** tab shows submissions <u>you have or will need to take action on</u> that are currently in the respective workflow. Here you will see the status of the file, who is currently reviewing the file, and when the file arrived at that workflow step.

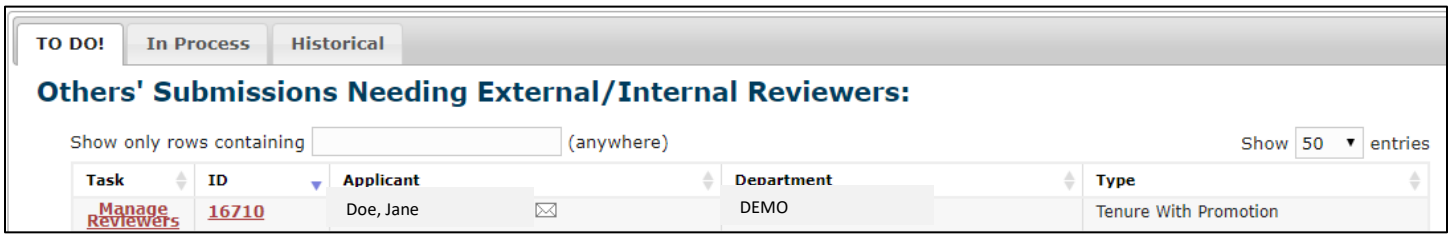
c. The **Historica**l tab shows you submissions <u>that you reviewed</u> that have completed the entire workflow and are no longer active.

3. The Candidate's Draft Submission

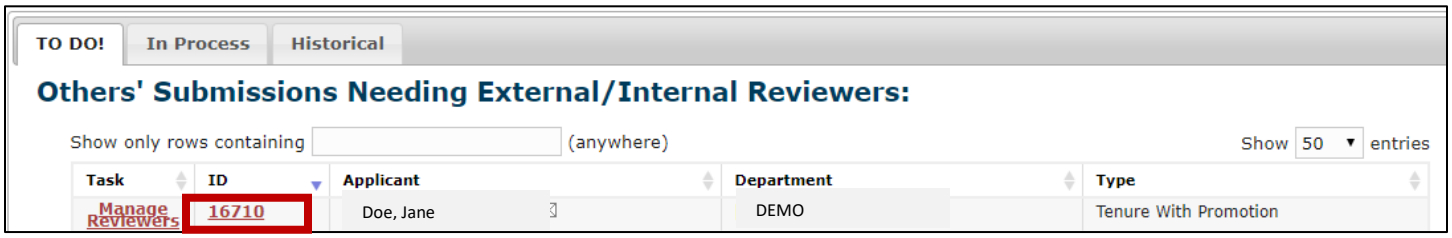
3.1 Prior to the official solicitation process, the faculty member will create a draft APWS submission. The faculty member will select the appropriate submission-type, get an APWS reference number assigned, and start to upload materials into the file.

3.2 Once the faculty member creates a draft submission, it will be added on your To Do Summary:

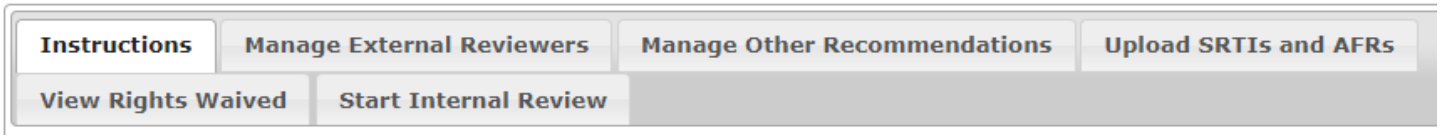
Additionally, you will find it under the **Review Others' Submission** tab under the **To Do!** sub-tab:



3.3 Click into the faculty member's submission by clicking on the APWS reference number:



3.4 Notice the tabs at the top of the candidate's draft submission:



a) **Manage External Reviewers**: This is where you and the candidate will identify external reviewers to be solicited (see Sections 4 and 5).

b) **Manage Other Recommendations**: This is where you will uploaded internally solicited review letters (directly-solicited and those in response to a general announcement).

c) **Upload SRTIs and AFRs:** The Department Chair typically uploads SRTIs and has the ability to upload AFRs on behalf of the candidate.

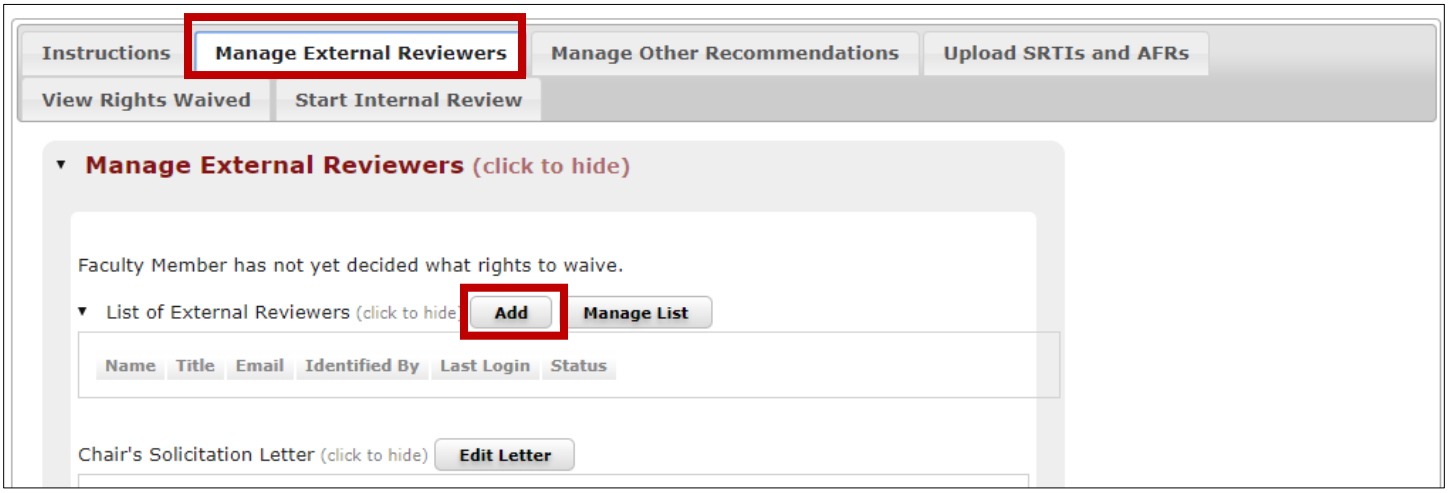
d) **View Rights Waived:** This is where you can see what waiver of rights, if any, the candidate has selected. At the initial stages of the file, it is common for faculty members build their file and identify external reviewers prior to selecting their waiver of rights.

   You cannot being the solicitation process (internal or external) until the faculty member has selected a waiver option.

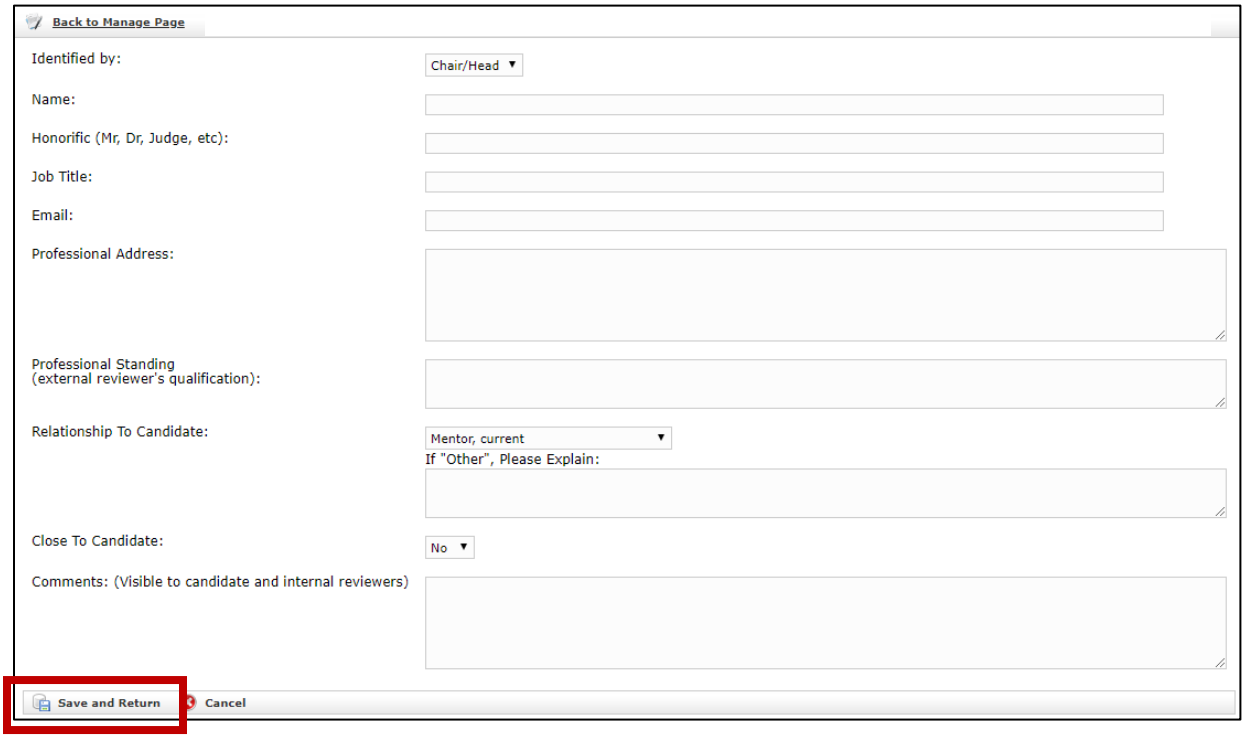
e) **Start Internal Review:** You will not be able to start the internal review until the candidate submits the file.

4. Identify External Reviewers

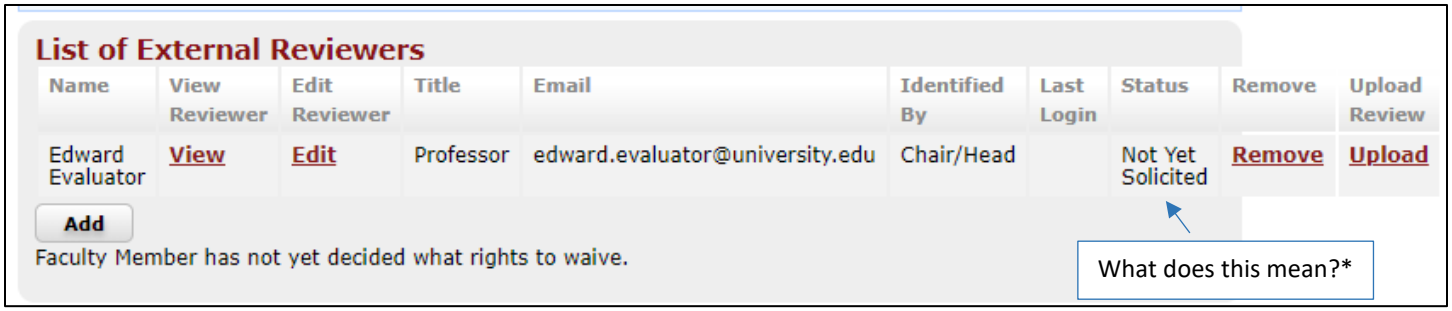
4.1 Navigate to the **Manage External Reviewers** tab and select the Add button.



4.2 **Reviewer's Information Page** - Enter in the information for each external reviewer. Certain fields, like **Name** and **Email**, are required. **Professional Standing** is also an important field because it should explain why the external reviewer is appropriate and qualified to assess the candidate's contributions to his/her field. Once finished, hit Save and Return.



4.3 Once you save the reviewer's information, you will be brought to the **Manage Reviewer's** page. You will see the reviewer(s) you added here, along with some of the inputted information. To go back to the reviewer's information page, select the **View** link. To edit the reviewer's information, select the **Edit** link. You can remove the reviewer by selecting the **Remove** link.



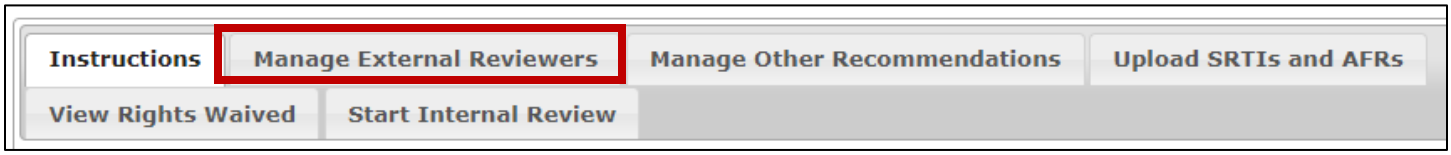
* More on this later, but this **Status** column indicates if the respective reviewer has been solicited. The **Status** column will be an important tool to help you keep track of each external reviewer's interaction with APWS.

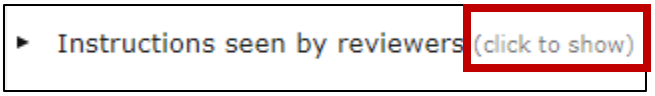
4.4 To add additional external reviewers, click **Add** on the **Manage Reviewers** page and repeat steps 4.1 and 4.2. The candidate also has access to his/her own version of the **Manage Reviewers** tab so he/she will also be adding potential external reviewers.

4.5 You and the candidate will always be able to see the list of external reviewers on this tab, but the candidate will not be able to see who was solicited until the solicitation period is over.

5. Solicit External Reviewers

5.1 Solicitations to external reviewers are completed within APWS by the department chair/head. APWS automatically generates a template email to each external reviewer based on the information provided in Section 4.2. As part of the template email, reviewers will also be provided with log-in information to access the materials the candidate marked for review. The external reviewers will interact with APWS to upload the required documentation, including their review of the candidate. You can see the template solicitation email and the general instructions to external reviewers by navigating to the **Manage External Reviewers** tab and clicking on the appropriate section.





5.2 **OPTIONAL**: You may choose to edit the template solicitation email, but:

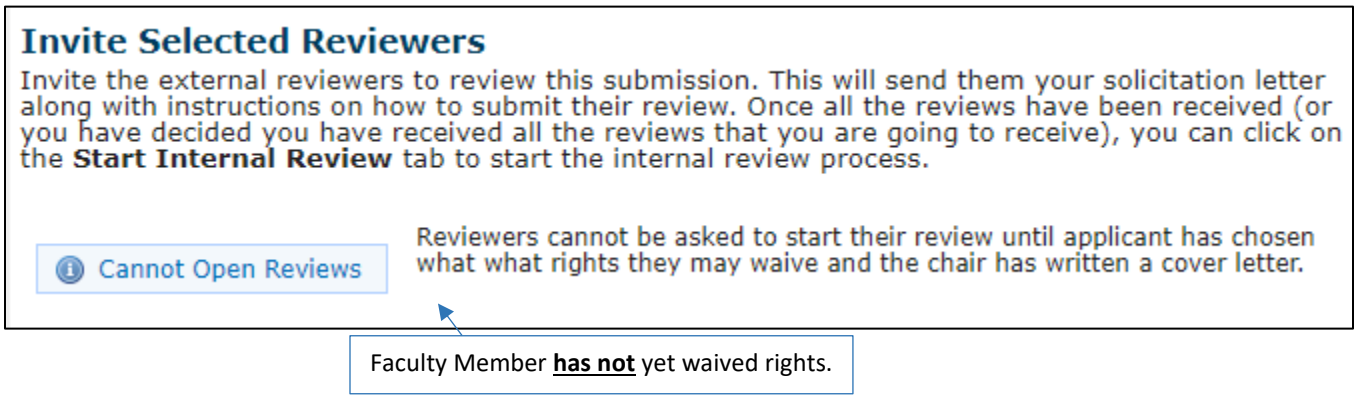
a) you must cover the main points expressed in this template,
b) you may not deviate from the standards set in the contract,
c) you must include the section on confidentiality and the candidate's waiver/non-waiver of rights.

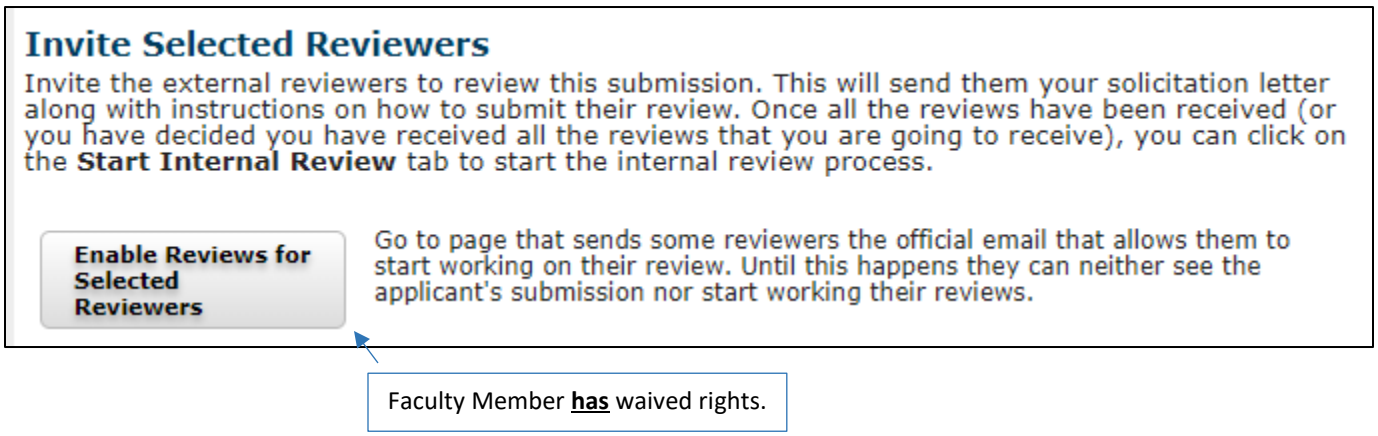
To edit the letter select the **Edit Letter** button.

On the next page you can edit the various elements of the solicitation email including the salutation to the external reviewer. Be sure to hit the **Save** button at the bottom of the page to confirm any changes.

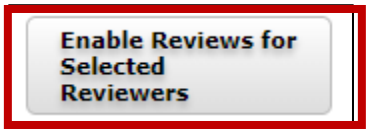
5.3 Navigate to the **Manage External Reviewers** tab to begin the solicitation. Navigate to the bottom of the tab to the **Invite Selected Reviewers** section. You will not be able to begin the solicitation process until the faculty member has selected a waiver option. [1]

[1] If you are unsure if a faculty member has waived rights, navigate to the **View Rights Waived** tab.

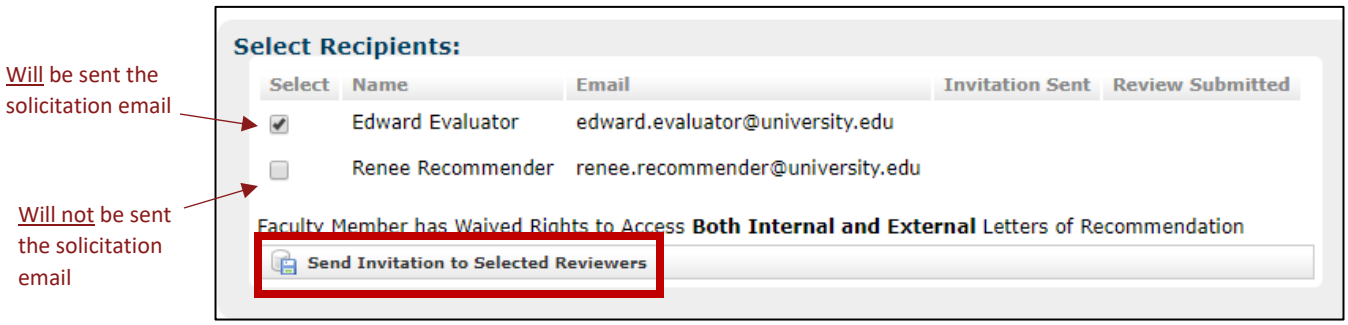




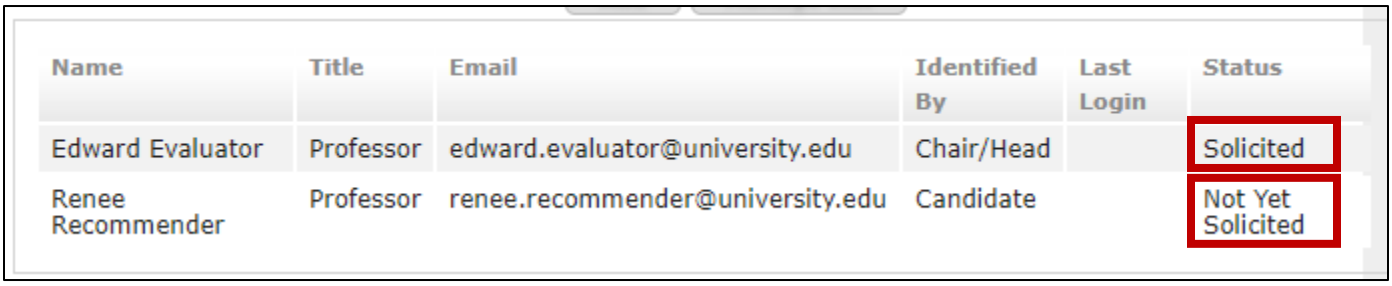
5.4 Once the faculty member has selected a waiver option, you can start the solicitation process. To send the official solicitation email, select the button **Enable Reviews for Selected Reviewers** under the **Invite Selected Reviewers** section:



5.5 You will be brought to the **Invite External Reviewers** page. Select the external reviewers that you would like to send the APWS-generated email to by checking the box next to their name. Select **Send Invitation to Selected Reviewers.**



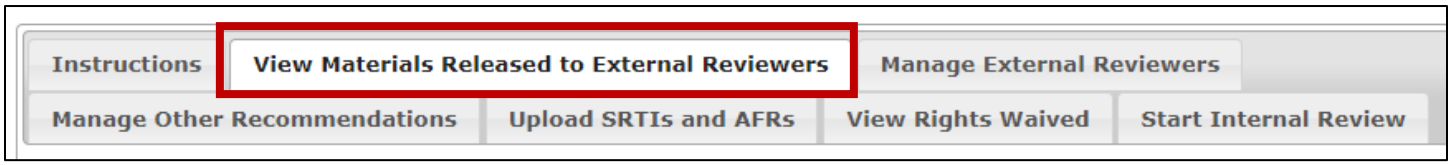
5.6 After you send the solicitation email(s), navigate to the **Manage External Reviewers** tab. Here you'll see that the status column has changed to reflect the status of each reviewer. In this example, you've solicited Edward, but not Renee.



Name	Title	Email	Identified By	Last Login	Status
Edward Evaluator	Professor	edward.evaluator@university.edu	Chair/Head		Solicited
Renee Recommender	Professor	renee.recommender@university.edu	Candidate		Not Yet Solicited

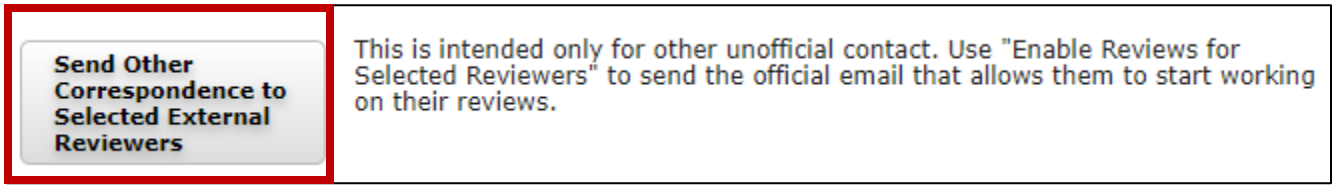
This status will change as the external reviewer interacts with APWS. For example, once a reviewer logs-in to APWS with the log-in information sent as part of the solicitation email, the status will change to "Logged-In."

5.7 Notice that you've also gained access to an additional tab:

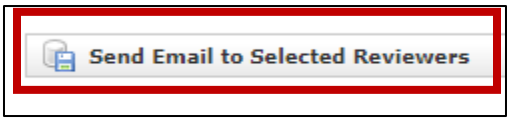


a) **View Materials Released to External Reviewers**: Under this tab you will see only the materials the candidate wants external reviewers to evaluate as part of their review. The faculty member locks-in this set of documents when he/she selects a waiver option and cannot add, revise, or delete any of these documents.[2]

5.8 You can always send follow-up emails to external reviewers by utilizing the second button under the **Manager External Reviewers** tab:



Compose your Message, including the Subject line and Select Recipients by checking the box next to each reviewer's name (see Section 5.5). When you're ready to send, select **Send Email to Selected Reviewers.**



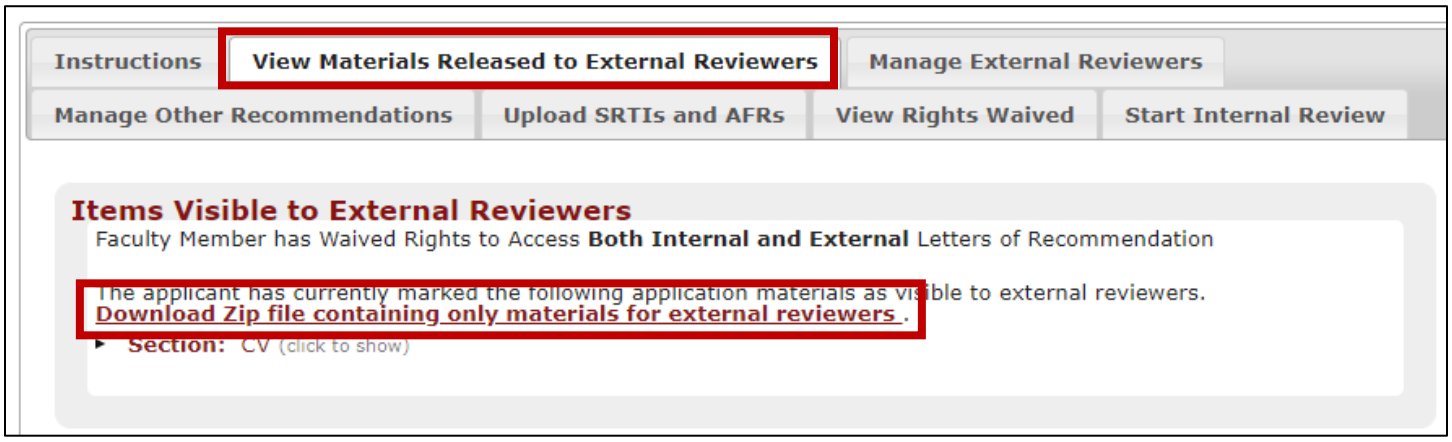
[2] CVs and Personal Statements are the only exceptions.

6. Take Action on Behalf of External Reviewers, if necessary

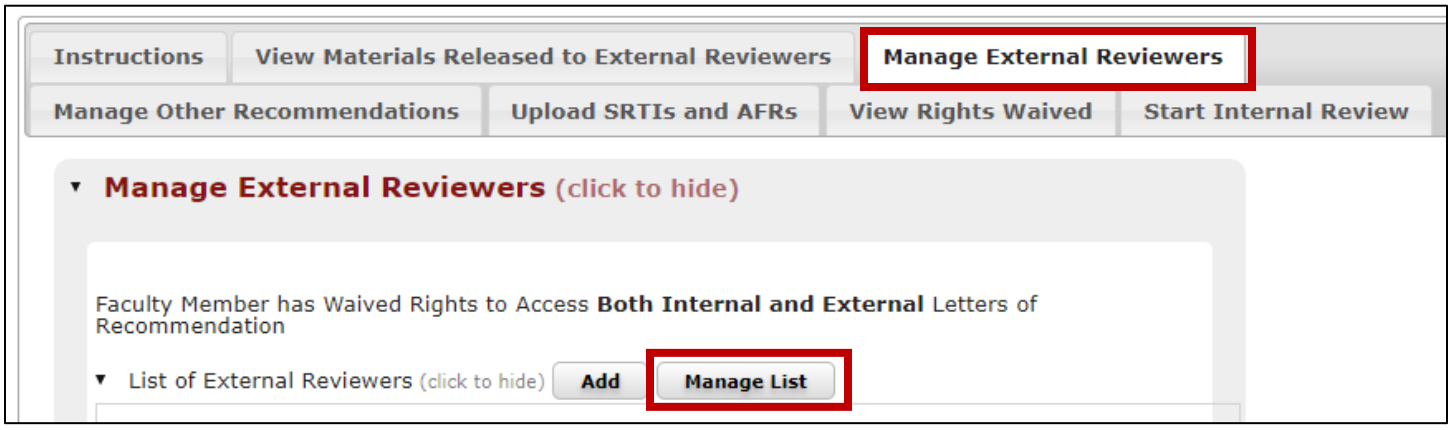
6.1 Upon receipt of the solicitation email, external reviewers must complete four items:

1. UMass External Reviewer Disclosure
2. CV Upload
3. Upload of their Review of the Candidate
4. Submit their documents.

6.2 Some external reviewers prefer not to interact with the APWS system. You may provide the appropriate documents to the reviewers external to the APWS system by navigating to the **View Materials Released to External Reviewers** tab to download and send a zip file of only the materials the candidate marked for external review.



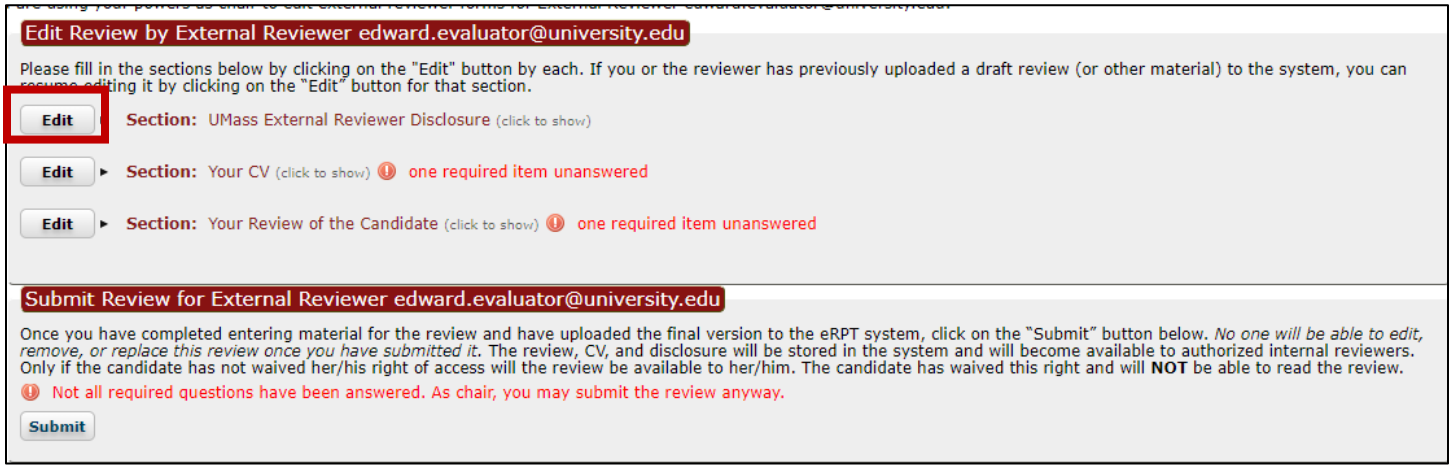
6.3 If an external reviewer would prefer to submit their documents to you directly as opposed to uploading them into APWS, you must upload them into APWS on their behalf so their letters are included in the internal review process. To upload documents on behalf of a reviewer, navigate to the **Manage External Reviewers** tab and select the **Manage List** button.



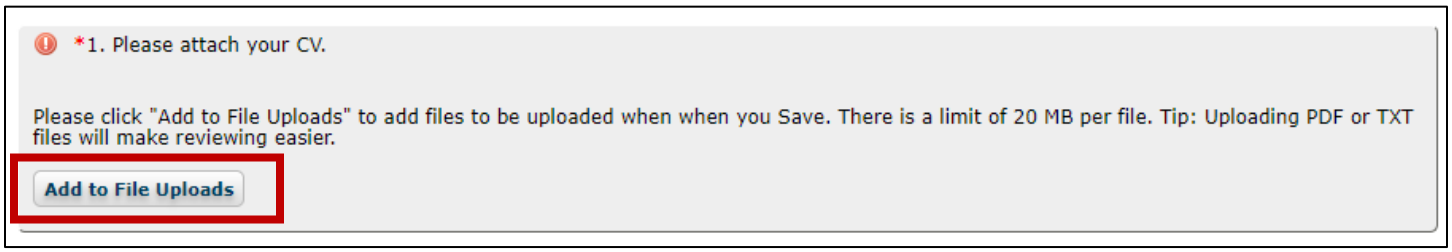
Select the **Upload** link on the right-hand side of the page.

Name	View Reviewer	Edit Reviewer	Title	Email	Identified By	Last Login	Status	Remove	Upload Review
Edward Evaluator	View	Edit	Professor	edward.evaluator@university.edu	Chair/Head		Solicited Resend Invitation	Remove	Upload

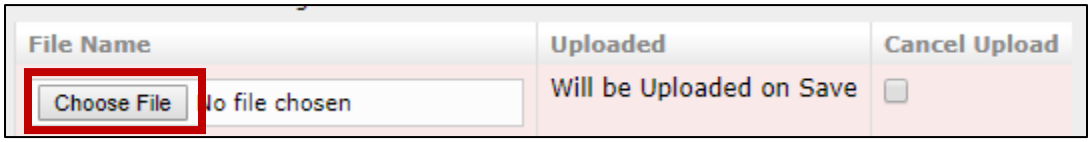
Upload the information provided the external reviewer in the appropriate section by selected the **Edit** button.



Select **Add to File Uploads**.



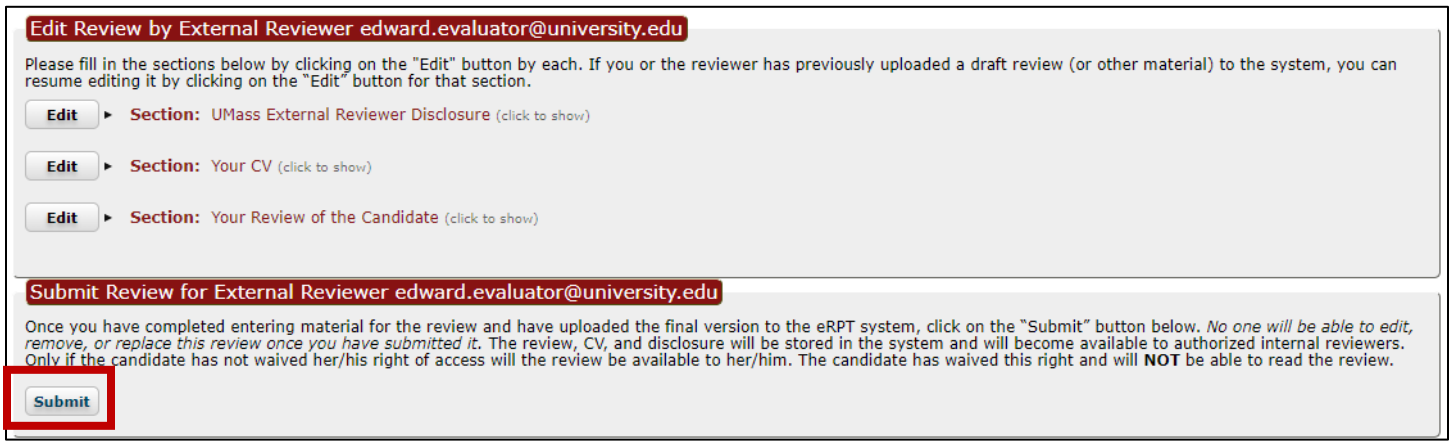
Choose the appropriate file from your computer.[3]



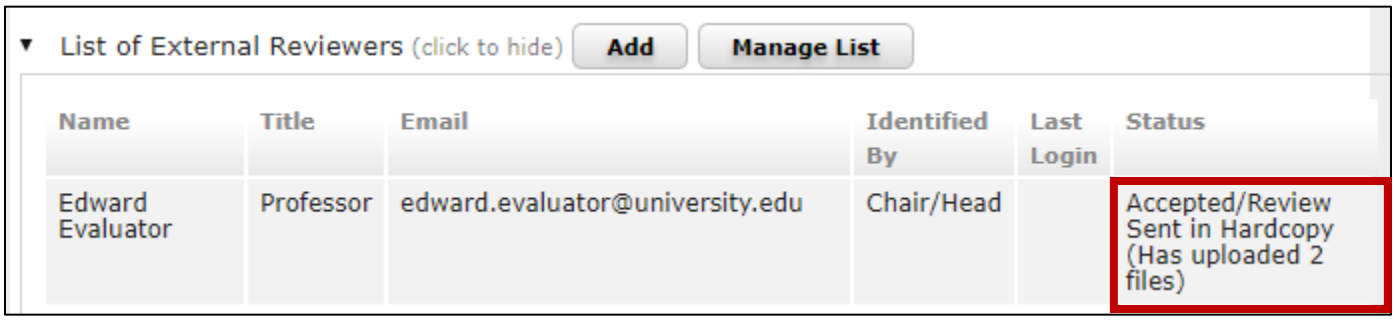
Be sure to select **Save Changes** at the bottom of the page to confirm the upload.

Once you've uploaded the required documentation on behalf of the external reviewer, select the **Submit** button at the to confirm that everything has been submitted.

[3]Uploading documents as pdfs will also help reviewers view the document directly in APWS without having to download a word document to their computers. Pdfs are **always** preferred over word documents.



Navigate to the **Manage External Reviewers** tab and note that the status changed for the reviewer. A status of "Accepted" indicates that the reviewer (or you working on the reviewer's behalf) uploaded the required documents and submitted the review.



7. Internal Solicitation

7.1 Unlike the external solicitation process, internal solicitations are handled external to APWS. That is, individuals who are directly-solicited or solicited through a general announcement will not interact with APWS directly. Rather, you must upload their review letters into the appropriate section in APWS to ensure the letters are included in the candidate's file.

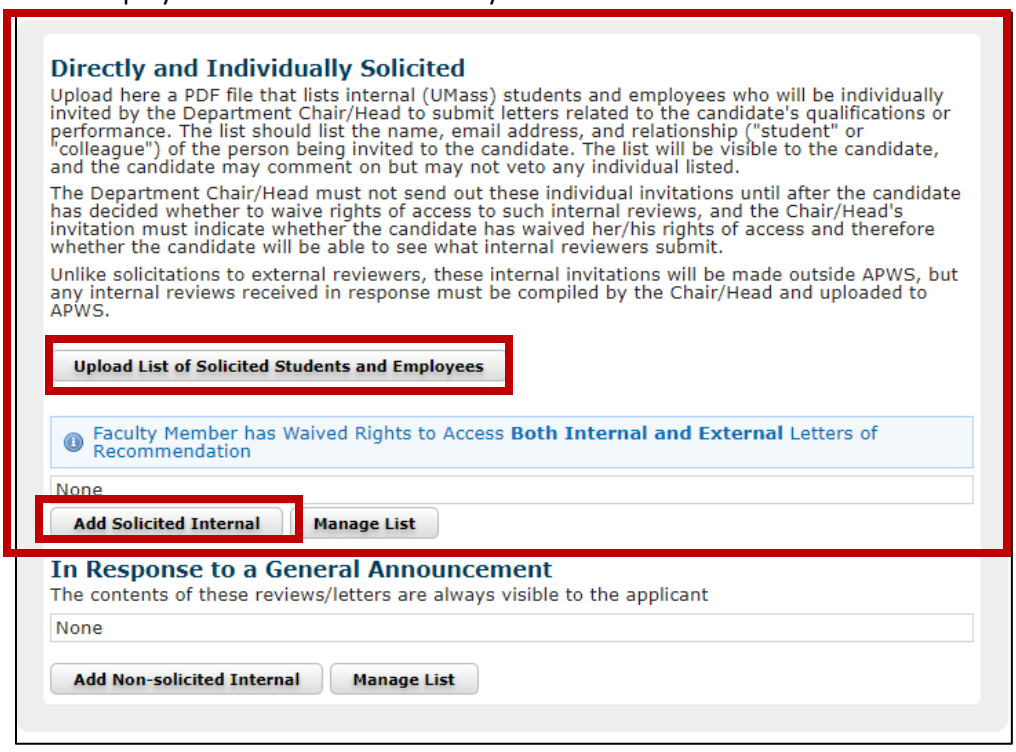
7.2 Internal solicitations fall into two buckets:

Directly-Solicited Internal: UMass students and employee who will be individually invited to submit letters. Directly-solicited letters are subject to the waiver of rights options selected by the candidate. For this reason, you must remember that you cannot begin the solicitation process until the faculty member has selected a waiver of rights option.

In Response to a General Announcement: The candidate will always have access to letters provided in response to a general, internal announcement.

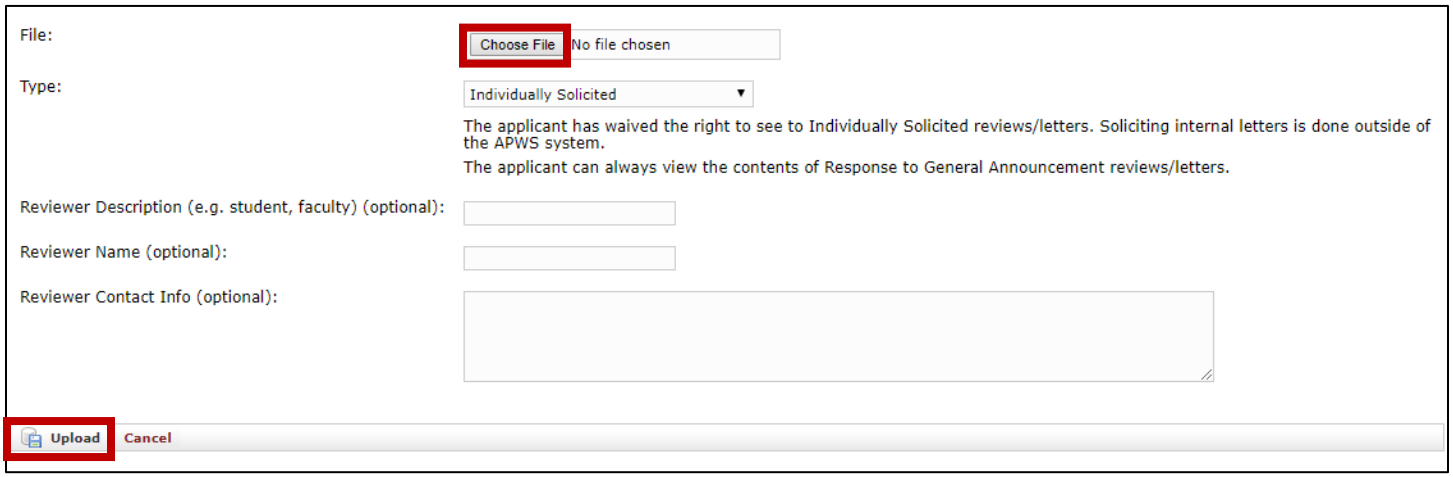
7.3 Both types of letters must be uploaded into APWS. To upload the letters, navigate to the **Manage Other Recommendations** tab.

a) For Directly-Solicited Internal letters, you must upload a pdf file that lists internal (UMass) students and employees who will be individually invited to submit letters.

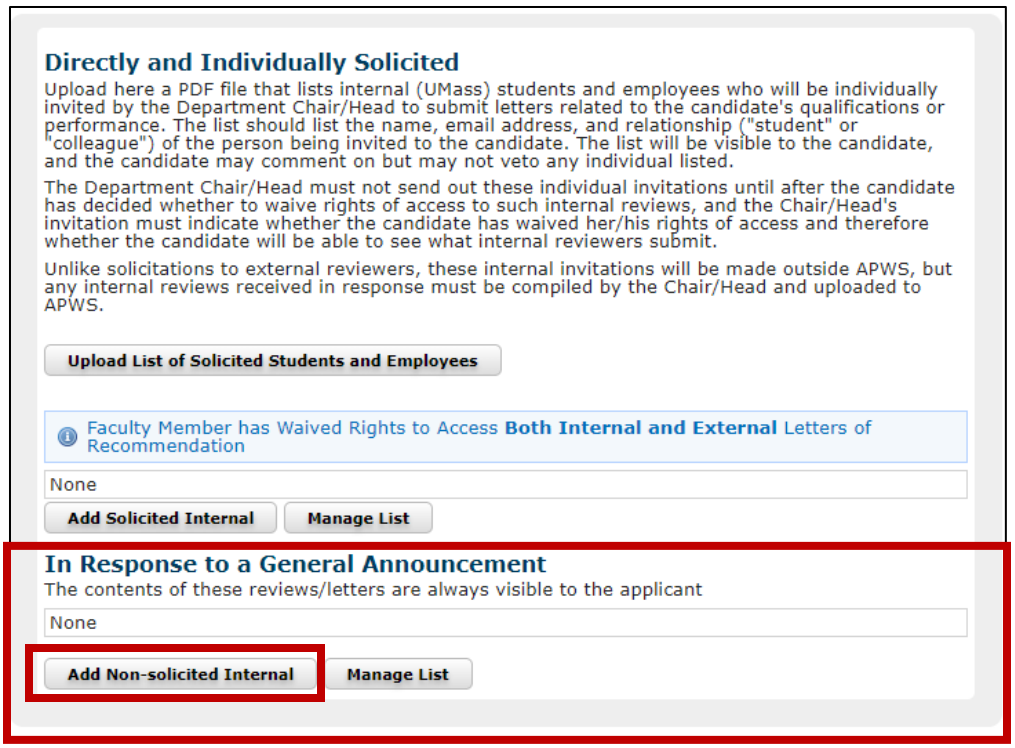


To upload letters that were individually solicited (and therefore subject to the candidate's waiver of rights option), select the **Add Solicited Internal** button.

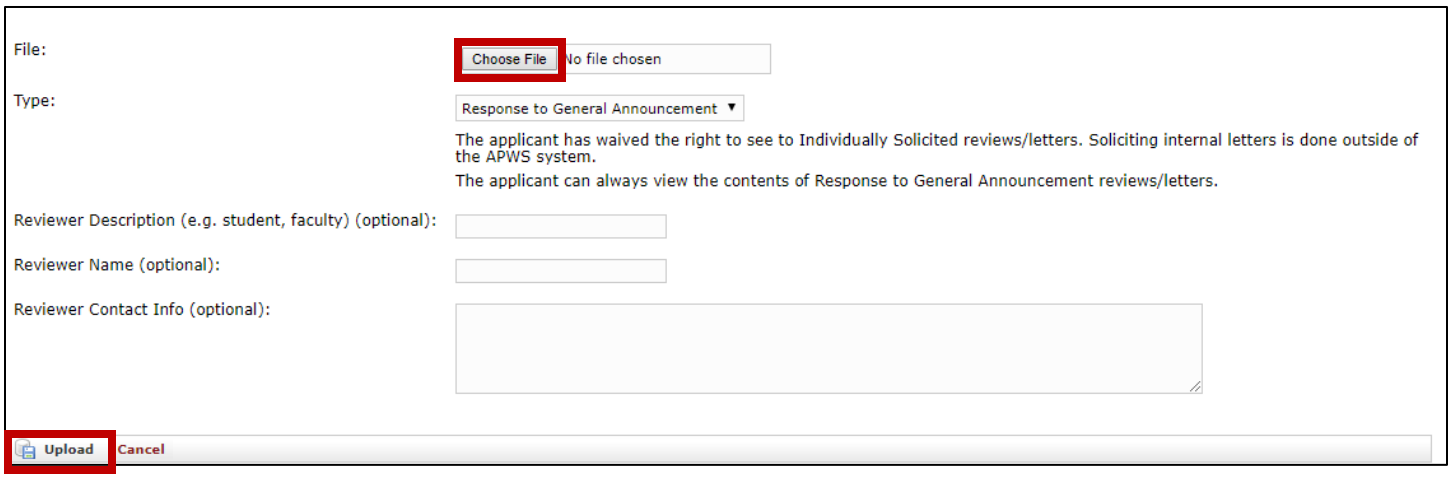
Upload the file by selecting the **Choose File** button. Fill out the required fields and select the **Upload** button at the bottom of the page to confirm the upload.



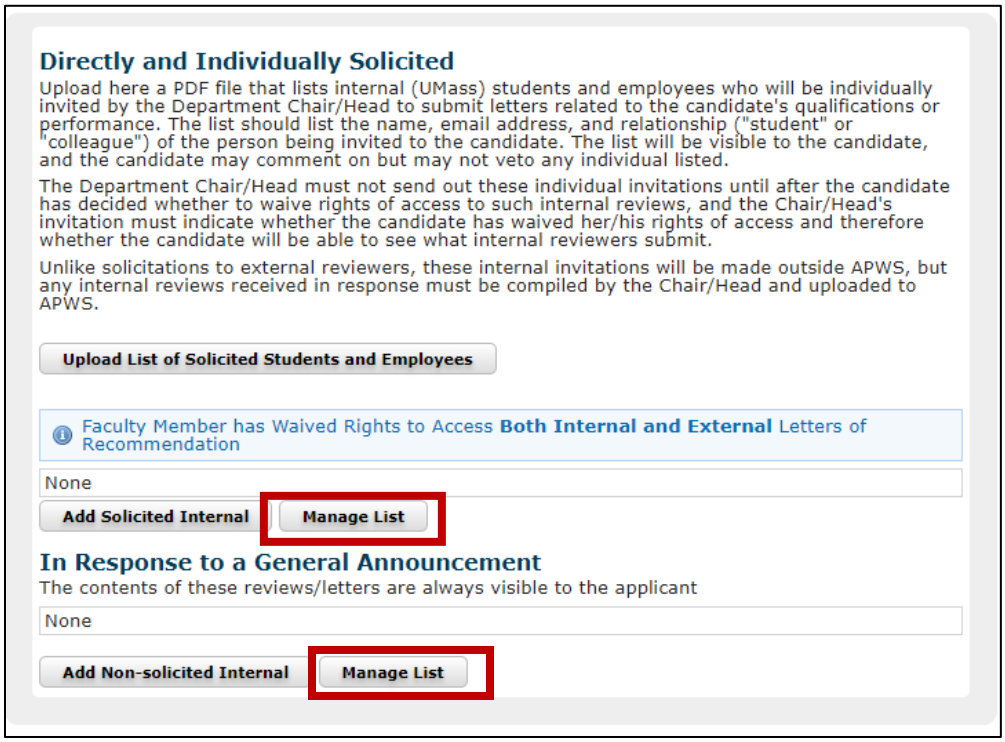
b) For letters in response to a general announcement, you must upload the individual letters in the appropriate section of APWS.



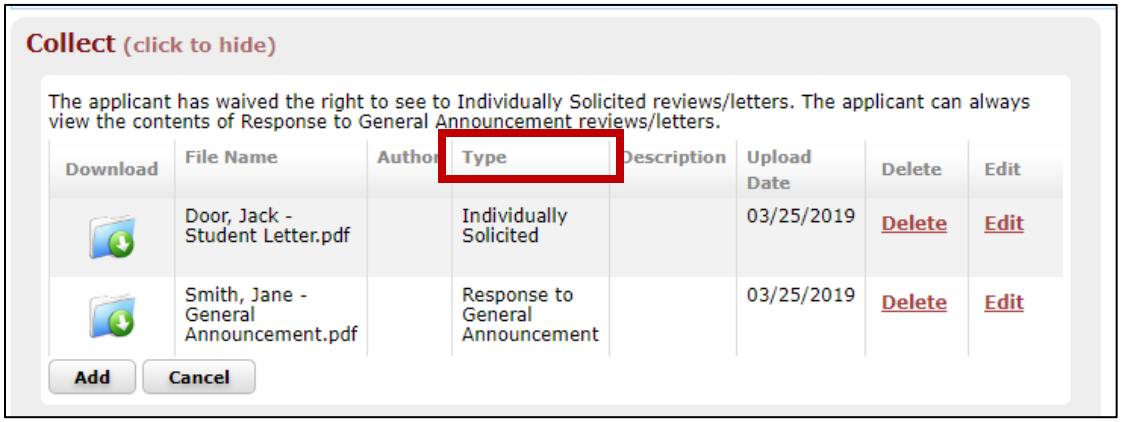
Upload the file by selecting the **Choose File** button. Fill out the required fields and select the **Upload** button at the bottom of the page to confirm the upload.



7.4 To view both types of internally solicited letters, select the **Manage List** button under either of the sections.

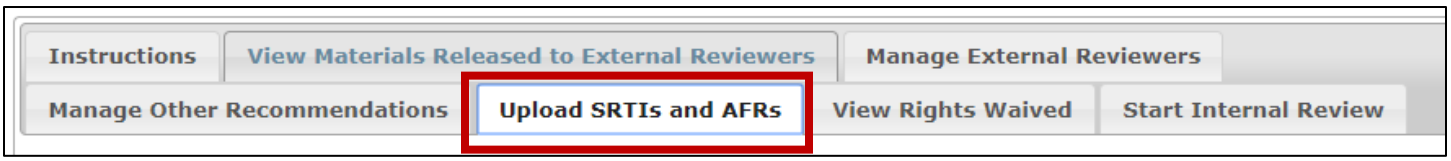


Here you'll see the full listing of letters that you've uploaded as well as their respective type.

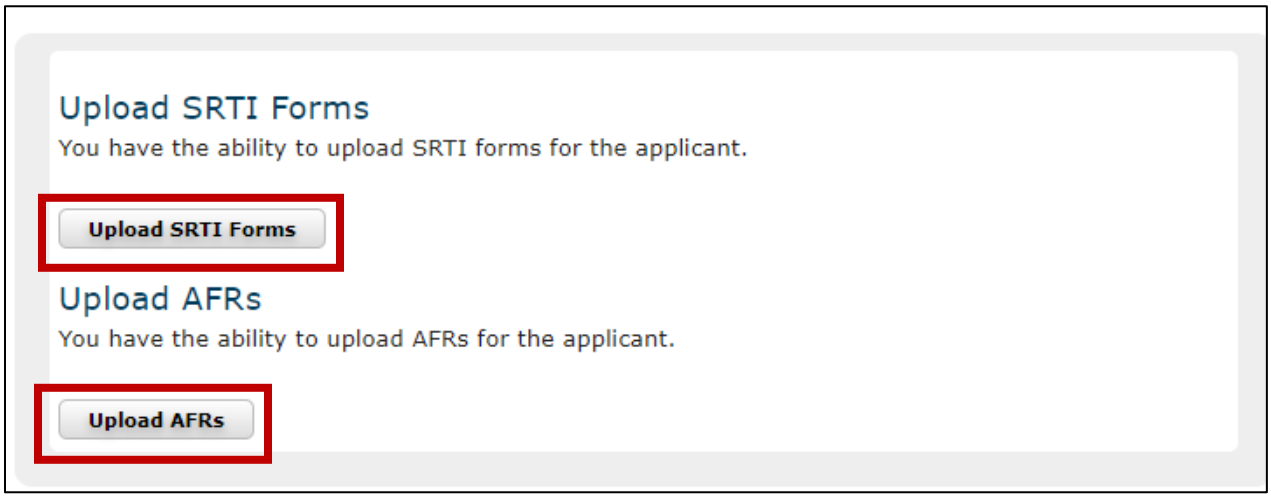


7. Upload Documents into the Candidate's File

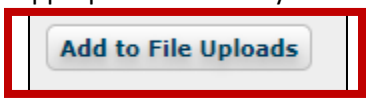
7.1 Typically, Department Chairs upload the Student Response to Instruction (SRTI). Department Chairs also have the ability to upload Annual Faculty Reviews (AFRs) for the candidate. To upload either, navigate to the **Upload SRTIs and AFRS** tab.



7.2 Select the appropriate button under the type of document you want to upload:



Select **Add to File Uploads** to select the appropriate file from your computer. Add a short description to the file.



Be sure to select **Save** to confirm the upload.

8. Close the Solicitation Period & Start the Internal Review

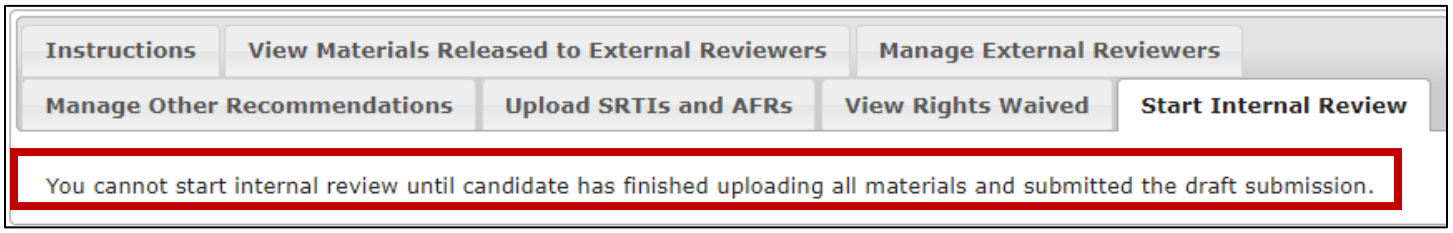
8.1 In order for the file to move to the next step in the workflow (typically the Department Personnel Committee or "DPC" review), two things must happen:

a) The faculty member must submit their file (confirm that their file is ready for internal review), and;
b) The Department Chair must start the internal review and close the solicitation period. Note that this step does not represent the Department Chair's evaluation of the tenure file.

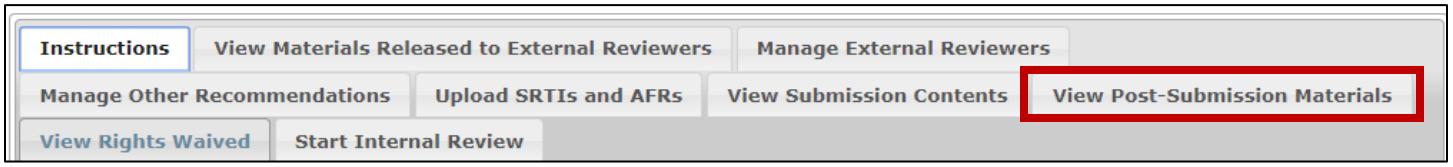
8.2 Refer to the **Manage External Reviewers** tab and the **Status column** to confirm that all the intended external reviewers have uploaded and submitted their reviews. Refer to section 6 of this guide if you need to take action on behalf of an external reviewer (like submitting the review on his or her behalf).

8.3 Refer to the **Manage Other Recommendations** tab to confirm that you have uploaded all the necessary internally-solicited review letters (either directly-solicited or in response to a general announcement).

8.4 You will not be able to start the internal review until the Faculty member submits their file (see 8.1.a.). If the faculty member has not yet submitted their file, you will see the following under this tab:

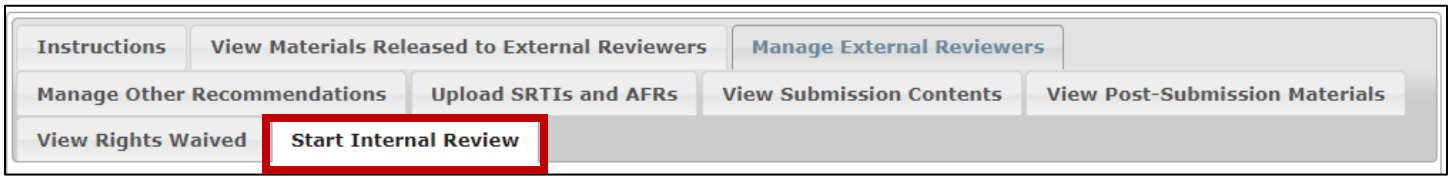


8.5 If the faculty member has submitted their file, your tabs will look as follows:

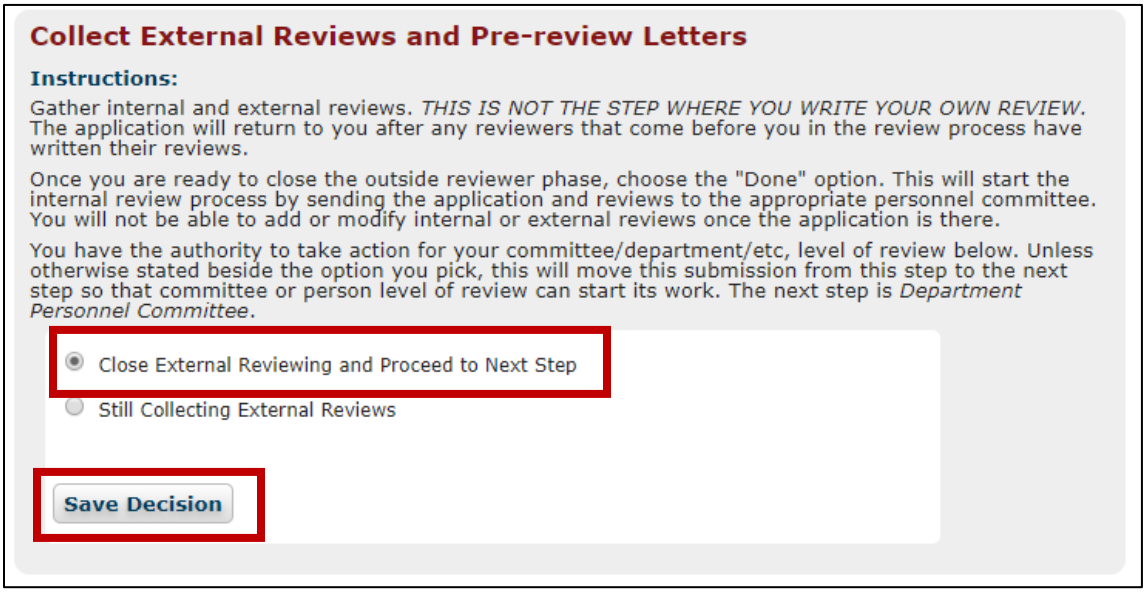


Note that you now have a **View Post-Submission Materials** tab. This tab is where candidates will upload materials after they submit their file.

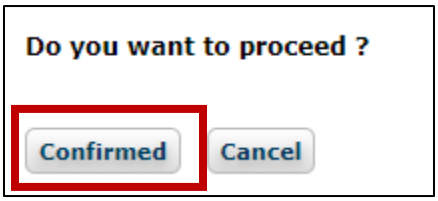
8.6 To close the solicitation period and push the file to the next step in the workflow (typically the DPC review), navigate to the **Start Internal Review** tab:



Select **Close External Reviewing and Proceed to Next Step** and then **Save Decision:**

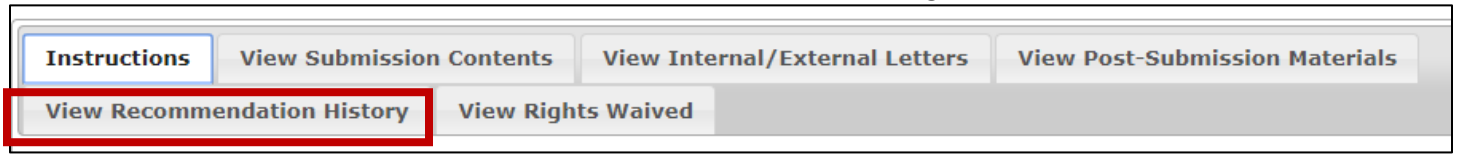


You will need to confirm that you want to proceed on the following webpage.



<u>Congratulations! You have successfully closed the solicitation period and the file is now at the next level of review.</u>

8.7 Note that the tabs have changed:

a) New **View Recommendation History** tab: See the workflow of the file and the current step.

b) **Manage External Reviewers, Manage Other Recommendations, Upload SRTIs and AFRs, and View Materials Released to External Reviewer** tabs are no longer accessible.