

Progress

Instruction manual

Annual Performance Appraisal of Academic Staff

2018



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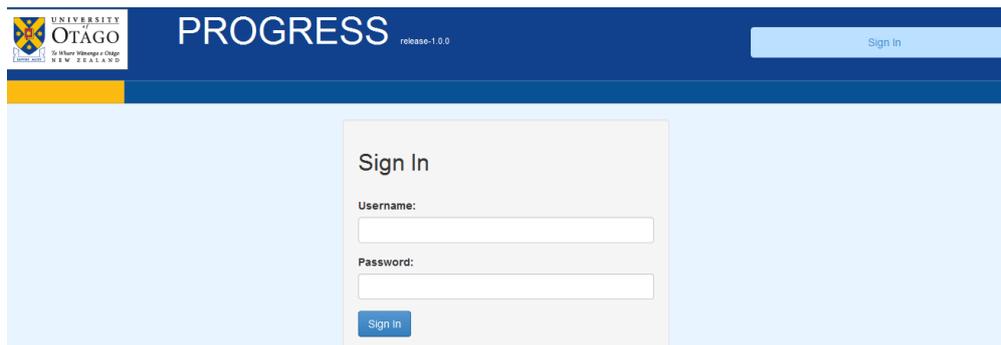
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Section 1 Introduction

The Human Resources Division has developed an on-line system, “Progress”, to facilitate the annual performance appraisal of academic staff.

Section 2 - How do I log in?

Log in via the link: <https://corpapp.otago.ac.nz/progress/sign-in/> with your University username and password.



The screenshot shows the 'PROGRESS' system interface. At the top left is the University of Otago logo with the text 'UNIVERSITY OF OTAGO' and '1848' below it. To the right of the logo, the word 'PROGRESS' is displayed in large white letters on a dark blue background, with 'release-1.0.0' in smaller text below it. Further right, there is a light blue button labeled 'Sign in'. Below the header, the main content area is light blue and contains a white 'Sign In' form. The form has two input fields: 'Username:' and 'Password:'. Below the password field is a blue button labeled 'Sign in'.

For more information on the university username:
<http://www.otago.ac.nz/its/services/help/otago022891.html#staff>

Section 3 - Using Progress as an academic staff member

Logging in

1. Click on the link contained in the email sent to you in October from progress@otago.ac.nz letting you know that the submission period has started for the Annual Performance Appraisal of Academic Staff.
2. Alternatively you can log in to Progress as stated in Section 2 and the “Dashboard” will look like this if this is your first appraisal completed in Progress:

Workflow Title	Year	Department	Status
Annual Performance Appraisal (PBRF) 2015	2015	Preventive and Social Medicine (DSM)	Initiated

3. Staff who have completed a review previously in Progress can see the history on the Dashboard.

Workflow Title	Year	Department	Status
SSE Teah SLR	2016	Preventive and Social Medicine (DSM)	Not Started
SLSRF NA 142016	2016	Preventive and Social Medicine (DSM)	Draft
Senior Lecturer / Senior Research Fellow Review 2016	2016	Preventive and Social Medicine (DSM)	Initiated

Accessing the Review Form

- To access the form click on the required Workflow Title, found under Actions and the form will look like this:

The screenshot shows the 'PROGRESS' review form interface. At the top, it identifies the user as 'Kenny SeeRes' and the submission as 'Submission for Senior Lecturer / Senior Research Fellow Review 2016 01/04/2015'. The form is divided into several sections:

- PERSONAL DETAILS:** A table with fields for Name, Position Title, Dept, Department, School, Division, Review Period Start Date, Recruitment and Retention, and Administration Supplement. Reviewers are listed as Professor Brian Hyland and Professor Vernon Ward.
- APPLICANT STATEMENT:** A text area with a note: "You are required to prepare a statement noting your particular contributions to teaching, research (and/or professional practice), and service to the university and the community, for the review period. The statement covering all areas of your work should not be more than one page."
- TEACHING:** A large text area for describing teaching activities.
- RESEARCH/PROFESSIONAL PRACTICE:** A large text area for describing research or professional practice.
- SERVICE:** A large text area for describing service to the university and community.
- MORE INFORMATION:** A large text area for providing additional information.
- APPLICANT STATEMENT (Leave):** A text area for reporting any leave taken during the review period.
- CV AND SUPPORTING MATERIAL:** A section for uploading supporting documents.
- DECLARATION:** A checkbox for the statement: "The information that I have supplied as part of my submission is true and accurate (please tick)".

At the bottom, there is a 'Submit Forward' button.

Review Period

5. The start date of the review period, and the reason for the start date, can be found in the PERSONAL DETAILS section at the top of the Submission Review form.

Staff members on confirmation path

6. If you are on confirmation path, there will be a statement to this effect in the SPECIAL INSTRUCTIONS section. Staff members on confirmation path must include as an attachment a copy of their most recent confirmation report instead of the summary of achievements (see the information below “Uploading supporting documents”). Supplementary comments may be required if the report is several months old or is the first report only.

You will need to add a comment to each of the APPLICANT STATEMENT sections “Confirmation path report(s) attached”.

Entering your achievements in Teaching, Research, Professional Practice, Service and Key Objectives

7. Enter details for your teaching, research, professional practice, service and key objectives for the review period by clicking on the arrow at the side of each category. You may include information in the section “More Information” which does not relate to teaching, research and service. Text is compulsory for the first four boxes. If you are in a research position and do not teach, you may state “Not applicable” for the teaching text box. Progress will allow up to 5000 total characters in total for the four sections. If you have further information which will exceed the character limit, you may insert this information into a Word document and upload that document. See the information below “Uploading supporting documents”.

Note: a ‘space’ is one character, a ‘line break’ is 2 characters. The character count is displayed on the Submission Review form.

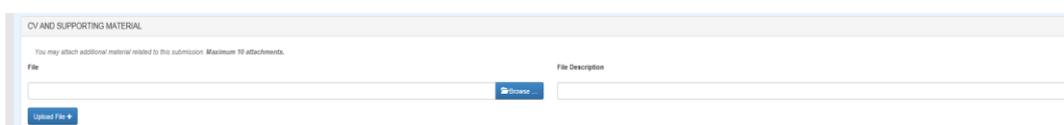
Applicant statement – More information and Leave

8. Please enter if you have been on leave during the review period for a significant amount of time e.g. on sabbatical, on parental leave. If required, you can add any other information here that gives context to your review submission.

APPLICANT STATEMENT
Leave
<small>Enter any relevant information about leave taken during the review period, for instance, “On sabbatical 30 April 2014 to 30 April 2015”.</small>
<input type="text"/>

Uploading supporting documents

9. You may upload documents in the format of doc, docx, xls, xlsx and pdf. The limit of the size of each document is 15MB. Examples of supporting documents could be your CV, teaching evaluations, etc. To upload the documents, click on the arrow on the right hand side of Supporting Materials to expand the section. To attach the documents click “Browse” to locate your documents. When the document appears in the area “File”, click on the “Upload File” button at the bottom left hand corner of the page. You may wish to use the “File Description” box if you wish to change the name of an uploaded document.

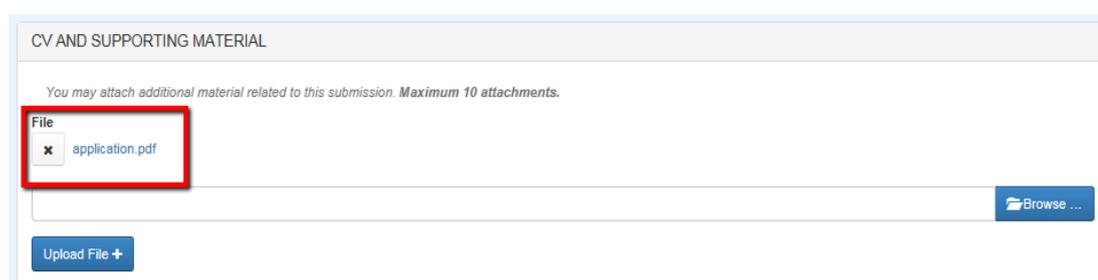


If you are uploading confirmation path reports, you follow the same process.

NB: Once you have submitted your review submission (see below), you are not able to further edit your review and/or attach documents until your Head of Department has returned the submission to you. There are instructions in the Head of Department Section outlining how this is done.

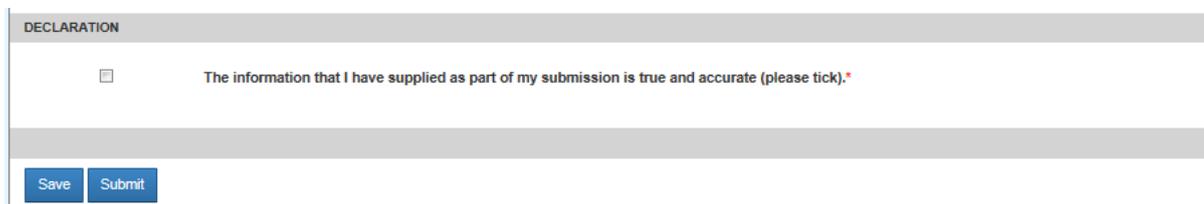
Removing supporting documents

10. If you want to remove a document after you have saved it, click on the “X” button beside the file name in the CV and Supporting Materials area.



Declaring the accuracy of the submission

11. Declare the information supplied is true and accurate in the Declaration area by ticking the box. Then click the “Save” button at the bottom of the page.



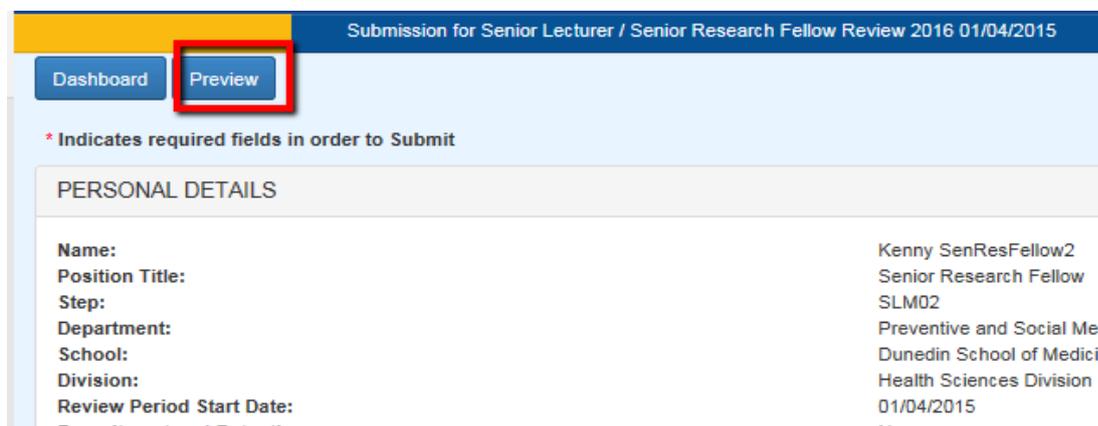
The screenshot shows a section titled "DECLARATION" with a checkbox and the text "The information that I have supplied as part of my submission is true and accurate (please tick).". Below this are two buttons: "Save" and "Submit".

Saving the submission

12. At any time you can save your review form by clicking the “Save” button at the bottom of the page.

Reviewing the submission

13. Before you submit your review to your Reviewer, you may preview the information you have entered by selecting the submission for the current year on your Dashboard as outlined in Accessing the Review Form (section 3, step 3). You must “save” your review prior to being able to preview. Once “saved” click on the **Preview** button at the top left hand corner of the screen



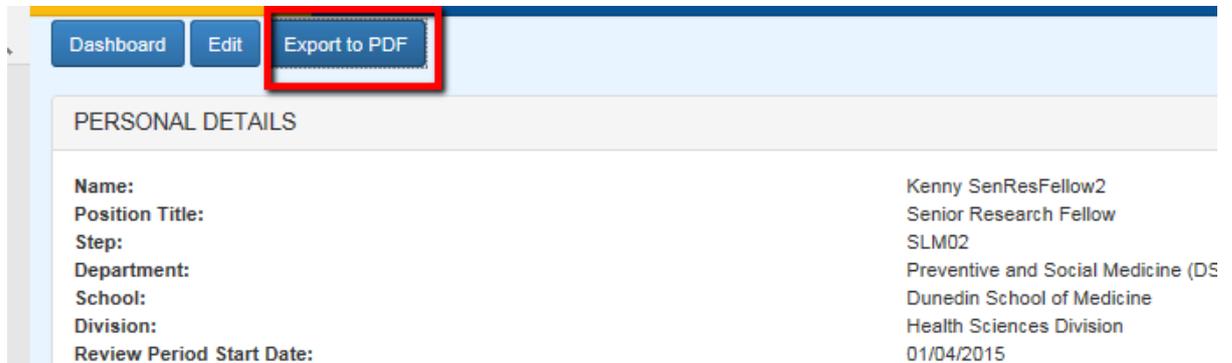
The screenshot shows a navigation bar with "Dashboard" and "Preview" buttons. The "Preview" button is highlighted with a red box. Below the navigation bar is a section titled "PERSONAL DETAILS" with the following information:

Name:	Kenny SenResFellow2
Position Title:	Senior Research Fellow
Step:	SLM02
Department:	Preventive and Social Medi
School:	Dunedin School of Medicine
Division:	Health Sciences Division
Review Period Start Date:	01/04/2015

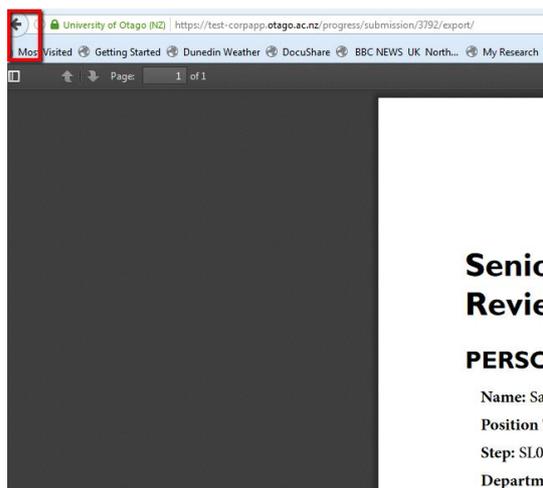
If you make any changes, you will need to reconfirm the information is true and accurate by ticking the “declaration” box (paragraph 11 above).

Exporting your submission to a PDF document

14. When you have clicked the “**Preview**” button you may export your review to a PDF document. The PDF document will not include your CV or any other supporting documents you uploaded.



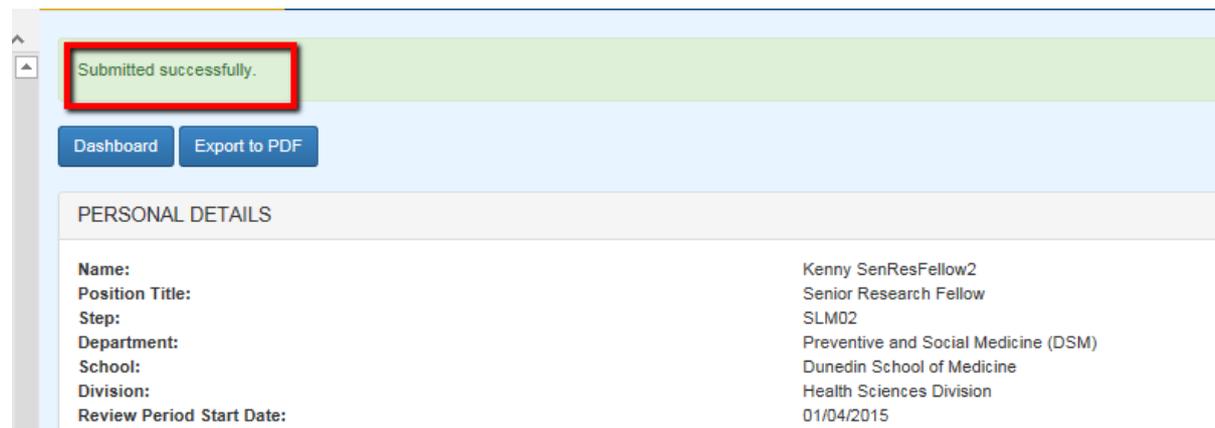
To get back to your review, click on the back button of your browser.



Submitting your review

15. When you are ready to submit your review to your Reviewer, click on the “**Submit Forward**” button found at the bottom of the page.

Once you have submitted your documentation, you will see a message at the top and bottom of the screen “Submitted successfully”. On your Dashboard, the status will change from “Draft” to “First Review”. Your review will be accessible to your reviewer at that point.



Adding documents after you have submitted your review to your Reviewer

16. It is not possible to change your review or upload documents when your review is in any other status apart from Initiated or Draft. However it is possible for your Reviewer to change the status back to Draft. See Section 4 below in **What to do for incomplete submissions**.

Section 4 - Using Progress as a Reviewer

Introduction

Reviewers and appropriate administrators for departments will have access to a Dashboard in “Progress” that enables them to keep track of the status of submissions in their Departments.

The Dashboard will be available first to HODs, Deans, PVCs and administrators. There will be a period of one week for HODs and/or administrators to give delegated Progress access to Academic Managers(supervisors) as approved by the HODs to review the staff they supervise. See the timetable in the [Guidelines for the Annual Performance Appraisal of Academic Staff](#). Academic staff required to undertake the review will receive an email to confirm their submission is available for them to complete.

When a staff member submits their review with their supporting documents attached, you will be able to access that staff member’s submission via the dashboard.

You will need to assess whether the performance of staff member is satisfactory and if they should be awarded a salary increase. Please note the default has been set to unsatisfactory performance.

Logging-in

1. Log in via the link: <https://corpapp.otago.ac.nz/progress/sign-in/> with your University username and password.

The screenshot shows the 'PROGRESS' dashboard for Otago University. It includes a navigation bar with 'Annual Performance Appraisal', 'Biennial Review', and 'Senior Lecturer Review' options. Below this are filters for 'Year', 'Department', 'Status', 'Submitter Name', and 'Outcome'. A table of submissions is displayed with columns for Submitter Name, Workflow Title, Year, Department, Status, and Overall Outcome. A legend explains the status colors: green for 'Submission is ready to be submitted', red for 'Submission is not ready to be submitted', blue for 'Submission may be bulk exported or printed', and grey for 'Submission does not have the correct status to submit'.

Submitter Name	Workflow Title	Year	Department	Status	Overall Outcome
Mike SenResFellow1	SBE Test SLR	2016	Preventive and Social Medicine (DSM)	Not Started	—
Kenny SenResFellow2	SBE Test SLR	2016	Preventive and Social Medicine (DSM)	Not Started	—
Kenny SenResFellow2	SUSRF NA 140316	2016	Preventive and Social Medicine (DSM)	Draft	To be reviewed
Mike SenResFellow1	Senior Lecturer / Senior Research Fellow Review 2016	2016	Preventive and Social Medicine (DSM)	Initiated	To be reviewed
Kenny SenResFellow2	Senior Lecturer / Senior Research Fellow Review 2016	2016	Preventive and Social Medicine (DSM)	First Review	To be reviewed

The screenshot shows the 'PROGRESS' dashboard for the University of Otago. At the top, there is a navigation bar with the university logo and the user name 'Fran PharmaCen-SecLead'. Below this, the 'Workflow Type' section has three buttons: 'Annual Performance Appraisal' (highlighted in yellow), 'Biennial Review', and 'Senior Lecturer Review'. The 'Submissions' section contains several filters: 'Year', 'Department', 'Status', 'Submitter Name', and 'Outcome'. Below the filters are 'Filter' and 'Clear' buttons. The 'Actions' section includes buttons for 'Bulk Letter Export', 'Bulk Letter Print', 'Return to Previous', and 'Submit Forward'. A legend explains the status colors: green for 'Submission is ready to be submitted', red for 'Submission is not ready to be submitted. You must edit the submission before submitting.', yellow for 'Submission may be bulk exported or printed.', and grey for 'Submission does not have the correct status to submit.'. A table below shows two submissions:

Submitter Name	Workflow Title	Year	Department	Status	Overall Outcome
John ResearchFellow6	Annual Performance Appraisal (PBRF) 2015	2015	Preventive and Social Medicine (DSM)	First Review	To be reviewed
Paul ResearchFellow5	Annual Performance Appraisal (PBRF) 2015	2015	Preventive and Social Medicine (DSM)	Second Review	Performance Satisfactory - No Progression

3. Select the workflow type “Annual Performance Appraisal”. It will be yellow when it is selected. Ensure that the “User Type” is Reviewer. It will be light blue when it is selected. You will see all of the records from previous reviews. To identify the staff in your Department eligible for a 2016 review, use the filters in the submissions area.
E.g. Year = 2018
Status = First Review

Setting up Delegated Access for Academic Managers (supervisors)

1. HODs and/or administrators have the functionality to give delegated Progress access to Supervisors/Principal Investigators(supervisors) as approved by the HODs to review the staff they supervise. Submissions will be in a status “Started”. When the review is launched the status will move to “initiated” when staff will be emailed to let them know their reviews are open. HODs may forward the reviewer information they receive at the launch of the review to Supervisors/Principal Investigators so that they are aware their access has been set up and given information about the process as well as the guidelines. Alternatively HODs can request that HR sends this information to the Supervisors/Principal Investigators.

Delegated access can be set up for Supervisors/Principal Investigators to their staffs' submissions by the following steps:

- i. Locate the record in [Progress](#) of the staff member being reviewed by their Academic Manager/Supervisor.
- ii. Click on the blue text to access their submission. Click on the button **Edit Special Reviewers** above Personal Details:

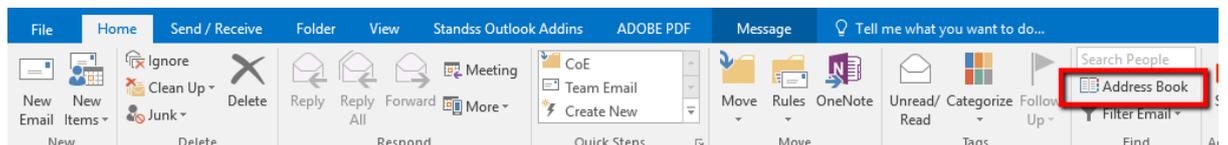
For further information...
Phone – (03) 479 9263
Email – hr.academicreviews@otago.ac.nz

iii. This page details the reviewers already set up:

The screenshot shows the 'PROGRESS' system interface for 'Special Reviews for Carolle Acheson (4745)'. It features several sections:

- REVIEWERS:** A table with columns 'Reviewer Position' and 'Special Condition'. It lists three entries with positions 0, 1, and 1, and conditions H3 and H3.
- READ ONLY REVIEWERS:** A table with columns 'Name' and 'User'. It lists 'Lara Stewart' with user 'stela'.
- SPECIAL REVIEWERS:** A section with a note: 'Enter any Special Reviewers for Carolle Acheson (4745) here. Note: only choose reviewer positions that are For instance, if there are default reviewers for positions 1 and 3, then you may only choose First Reviewer'. It contains four rows of dropdown menus for 'Reviewer Position', text boxes for 'Username', and a 'Name' column.
- ASSIGN REVIEWERS:** A section with dropdown menus for 'First' (set to 'Clinton Golding') and 'Second'. Below are buttons for 'Save', 'Back to Participant', and 'Back to Submission'.

iv. In the Special Reviewers area, using the drop down menu select the Reviewer Position to enter the special reviewer level e.g. First Reviewer, Second Reviewer, etc. Next enter the Username. This can be obtained using the Global Address Book using Outlook. In the Outlook Home menu ribbon select Address Book.



- v. Type in the name in the search area

Select Names: UoO Global Address List

Search: Name only More columns **Address Book**

Name	Title	Business Phone	Location	Department	E-mail Address
Ann-Marie Haddon	HR Advisor	+64 3 479 9263		Promotions & R...	ann-marie.haddon@otago.ac.nz
Anoob Antony					anoob.antony@otago.ac.nz
Anoop Chandrasekhar					anoop.chandrasekhar@otago.ac.nz
..... First				 first@.....

- vi. Scroll to the right of the box and it's under the column "Alias"

ment	E-mail Address	Company	Alias
ons & R...	ann-marie.haddon@otago.ac.nz		kelan01p
	anoob.antony@otago.ac.nz		antant37p
 chandrasekhar@otago.ac.nz	01p

- vii. Using the Alias insert this into the Username area. Click the blue **Save** button at the bottom left hand side of the page. The Special Reviewer name will now be visible in the Special Reviewers area.



PROGRESS

Special Reviewers for Carole Acheson (4745)

REVIEWERS

Reviewer Position	Special Condition
0	
0	
1	
1	H3
1	H3

READ ONLY REVIEWERS

Name	Username
Lara Stewart	stela55p

SPECIAL REVIEWERS

Enter any Special Reviewers for Carole Acheson (4745) here. Note: only choose reviewer positions that are listed above. For instance, if there are default reviewers for positions 1 and 3, then you may only choose First Reviewer or Third Reviewer from th

Reviewer Position*	Username*	Name
<input type="text" value="First Reviewer"/>	<input type="text" value="kelan01p"/>	Ann-Marie Haddon
<input type="text" value="—"/>	<input type="text"/>	
<input type="text" value="—"/>	<input type="text"/>	
<input type="text" value="—"/>	<input type="text"/>	

ASSIGN REVIEWERS

<p>First</p> <input type="text" value="Clinton Golding"/>	<p>Second</p> <input type="text" value="—"/>
--	---

- viii. In the Assign Reviewers area go to the appropriate reviewer First for First Reviewer, Second for Second Reviewer and click on the drop down arrow to access the Special Reviewer. Select their name and then click the blue **Save** button. Click the blue Back to Submission button to check that the Special Reviewer is now appearing in the appropriate Reviewer field of the Personal Details section of the submission.
- ix. Special Reviewers can be deleted by ticking the delete box in the Special Reviewer area and click the blue **Save** button at the bottom left of the screen.

Reviewer Position*	Username*	Name	Override Email Address	Delete
First Reviewer	keelan01p	Ann-Marie Haddon		<input checked="" type="checkbox"/>
---				<input type="checkbox"/>

Accessing a staff members review form

- To access the staff members review, click on their name highlighted in blue. The information will look like this:

The screenshot shows the 'PROGRESS' system interface for a staff member's review. The header includes the University of Otago logo and the title 'PROGRESS'. Below the header, there are navigation tabs for 'Dashboard', 'Review', and 'Final by PIP'. The main content area is divided into several sections:

- PERSONAL DETAILS:** A table with fields for Name, Position Title, Dept, Department, School, Division, Review Period Start Date, Recommendation and Refutation, and Administrative Supportment. The values are: Name: Mirini Staff/Patricia C, Position Title: Senior Research Fellow, Dept: SLMS, Department: Preventive and Social Medicine (DSM), School: Dunedin School of Medicine, Division: Health Sciences Division, Review Period Start Date: 01/01/2019, Recommendation and Refutation: None, Administrative Supportment: None.
- APPLICANT STATEMENT (submitted 10/04/2019):** A section with sub-sections for Teaching, Research/Professional Position, Service, and More Information, each with a 'View' link.
- CV AND SUPPORTING MATERIAL:** A section with a right-pointing arrow.
- FIRST REVIEW COMMENTS:** A section with a large text area for comments. Below the text area are fields for 'Interview Date', 'Satisfactory Performance?' (radio buttons for Yes and No), and 'Recommended Progression?' (radio buttons for Yes and No).
- REVIEWER SUPPORTING MATERIAL:** A section with a right-pointing arrow.

Reviewer Comments

- The First Reviewer can write comments in the text box in regards to the staff member's performance. Enter the date of the meeting to discuss the review. The default is "No" to the two questions apart from the last question if the staff member is at the top of the scale. Enter the date of the meeting to discuss the review.

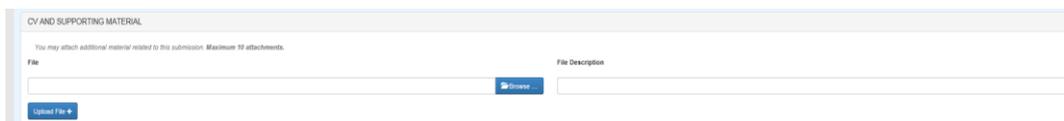
This is a close-up view of the 'FIRST REVIEW COMMENTS' section. It features a large text area for entering comments. Below the text area, there are three fields:

- Interview Date:** A text input field.
- Satisfactory Performance?:** Radio buttons for 'Yes' and 'No', with 'No' selected.
- Recommend Progression?:** Radio buttons for 'Yes' and 'No', with 'No' selected.

The staff member will be able to read the comments if they log into Progress after the final decision has been notified by Human Resources (the Review status will change to 'Decision Notified' at this stage).

Reviewer Supporting Material

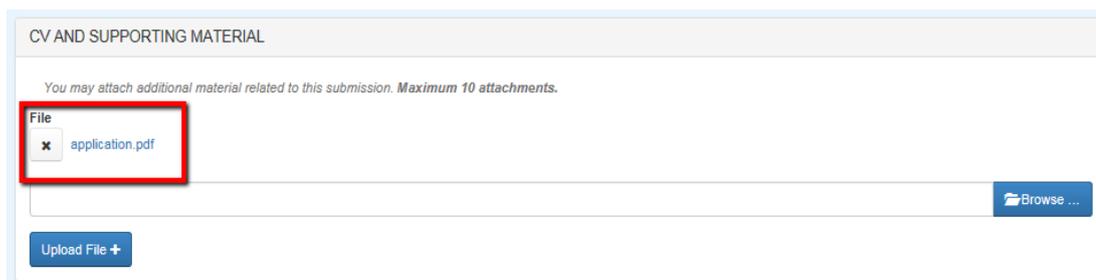
4. You may upload supporting documents in the format of doc, docx, xls, xlsx and pdf. The limit of the size of each document is 15MB. Examples of supporting documents could be your CV, teaching evaluations, etc. To upload the documents, click on the arrow on the right hand side of Supporting Materials to expand the section. To attach the documents, click “Browse” to locate your documents. When the document appears in the area “File”, click on the “Upload File” button at the bottom left hand corner of the page.



The screenshot shows a web interface titled "CV AND SUPPORTING MATERIAL". Below the title, there is a sub-header "File" and a "File Description" field. A "Browse" button is located to the right of the "File" input field. At the bottom left, there is an "Upload File" button with a plus sign.

Removing supporting documents

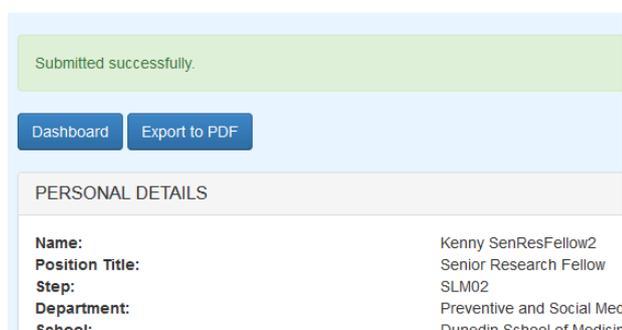
5. If you want to remove a document after you have saved it, click on the “X” button beside the file name in the Reviewer Supporting Materials area.



The screenshot shows the same "CV AND SUPPORTING MATERIAL" interface. A file named "application.pdf" is now listed in the "File" field. A red box highlights a small "X" icon to the left of the file name, which is used to remove the document. The "Browse" and "Upload File" buttons are still visible.

Submitting the Review

6. When you have selected the options (two if the staff member is at the top of the scale), click the “Submit Forward” button at the bottom left hand corner of the screen. This will forward the submission to the next Reviewer or HR if there is only one Reviewer. You will see a submitted successfully message at the top right of the screen.



The screenshot shows a confirmation message "Submitted successfully." at the top. Below it are two buttons: "Dashboard" and "Export to PDF". Underneath is a section titled "PERSONAL DETAILS" with the following information:

Name:	Kenny SenResFellow2
Position Title:	Senior Research Fellow
Step:	SLM02
Department:	Preventive and Social Med
School:	Dunedin School of Medicine

What to do for incomplete submissions

7. HODs/Departmental Administrators can send the submission back to the staff member if the staff member needs to add further information. This can be done from the Dashboard within the Perform Actions area. Select “Return to Draft” in the Action drop down menu and click the “Submit” button. The HOD/Reviewer will need to let the staff member know that they have sent the submission back to them and the reason for this.

Actions

You may make bulk decisions or individual decisions by selecting some or all records.

[Bulk Letter Export](#) [Bulk Letter Print](#) [← Return to Previous](#) [Submit Forward →](#)

Legend

- *Submission is ready to be submitted.*
- *Submission is not ready to be submitted. You must edit the su*
- *Submission may be bulk exported or printed.*
- *Submission does not have the correct status to submit.*

<input type="checkbox"/>	Submitter Name	Workflow Title	Year	Department
<input checked="" type="checkbox"/>	Ralph Lecturer1	Annual Performance Appraisal (PBRF) 2015	2015	Marketing
<input type="checkbox"/>	Donald ProfPracFellow1	Annual Performance Appraisal (PBRF) 2015	2015	Marketing

2 submissions

Section 5 – Human Resources’ role

When all of the Reviewers have completed their review for each staff member, the HR Remuneration team will process submissions. Notification emails will be sent to each staff member by HR from the email account progress@otago.ac.nz. At this stage the status in the Dashboard will be “Decision notified”. The staff member will then have access to view the Reviewer/s comments.

Section 6 – Accessing the outcome of the review

When a staff member's review is in the status Decision Notified, an email has been sent to them confirming the outcome of their review.

APPENDIX

Meanings of the various status of reviews

Initiated	The review information has been emailed to the staff member and their reviewers
Draft	The staff member is working on their review but has not completed it and sent to their reviewer
First Review	The HOD and/or delegated First Reviewer can now access the staff member's review and make their recommendation
Second Review	The PVC/Dean can access the staff member's review as well as the First Reviewer's comments and make the final decision
HR Review	All reviewers have completed their assessment and the information is with HR to check
Decision Notified	HR has checked the outcome and has made the review available to the staff member to see the reviewers' comments. An email has been sent to the staff member confirming the outcome of the review.
Exported	Payroll have been notified of staff who will receive an increment on the following 1 February.