User Manual

Online tool for annual reports

Classification	interne
État	en cours d'élaboration
Project N°	PRJ0027195
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Author	Lorraine Bierry
Distribution	Entire EDOC community

Version	Date	Modification	Auteur
0.1	10.10.2021	Document initialisation	Lorraine Bierry
0.2	01.11.2021	Update after review by comité spécialisé member	Lorraine Bierry
0.3	16.11.2021	Update with new screenshots from the tool and feedback regarding inclusive language	Lorraine Bierry
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0.7	03.02.2022	Update in chapter 2.1 and new chapter 4	Lorraine Bierry
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Description: The user manual provides all the information the different users need to know to operate the system properly and react correctly in case of problems. All relevant information for the operator is contained in this manual.

Table of contents

Glossary

| Abbreviation/Technical term	Explication
EDOC	Doctoral School
Sciper	6-digit unique EPFL identification number
Gaspar account	Password and authentication manager for users at EPFL
GED	"Gestion électronique des documents". Used to store documents related to the studies of students. In this context it is where the annual report PDF document will be stored.
IS-A	IS-Academia

1 EPFL Doctoral School Organization

Each year, the doctoral students have to submit a report to their thesis directors on the state of progress of their work (art. 10 of the Ordinance on the doctorate). This annual report procedure involves various people in the process.

Here are the various actors taking part of the annual report process within EDOC:

- Doctoral student

- Thesis director

- Thesis co-director (if applicable), who can be external to EPFL

- Program director

- Mentor (who is anonymous with respect to the thesis director)

- Administrative assistant of the doctoral program

2 Annual report process

Below is the workflow of the annual review:
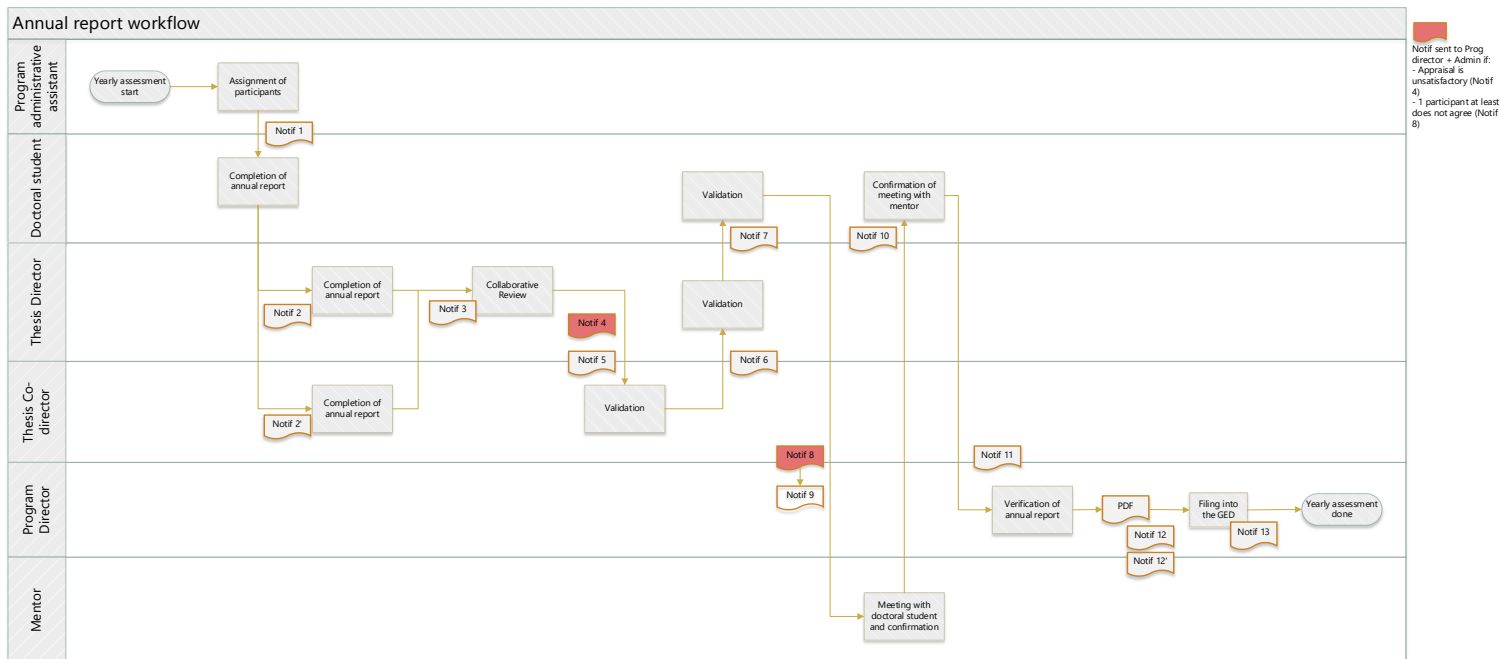
2.1 Start of the process: administrative assistant of the doctoral program

The administrative assistant of the doctoral program can access the tool via the link: https://phd-annual-report.epfl.ch/.

S/he needs to authenticate with his/her Gaspar account, via Tequila.

S/he has two options to initiate an annual report for students:

- Via the button " + *New annual report process* " under the List tab.

- Via the "import scipers" tab.

Here are the descriptions of the two different methods.

2.1.1 New annual report process button

This option can be used to initiate a workflow for a specific student that does not appear under the import scipers list. All the information (scipers, doctoral program name, etc…) have to be entered manually.

- S/he initiates a new workflow for a doctoral student by clicking on the task " + *New annual report process* " under the List tab.
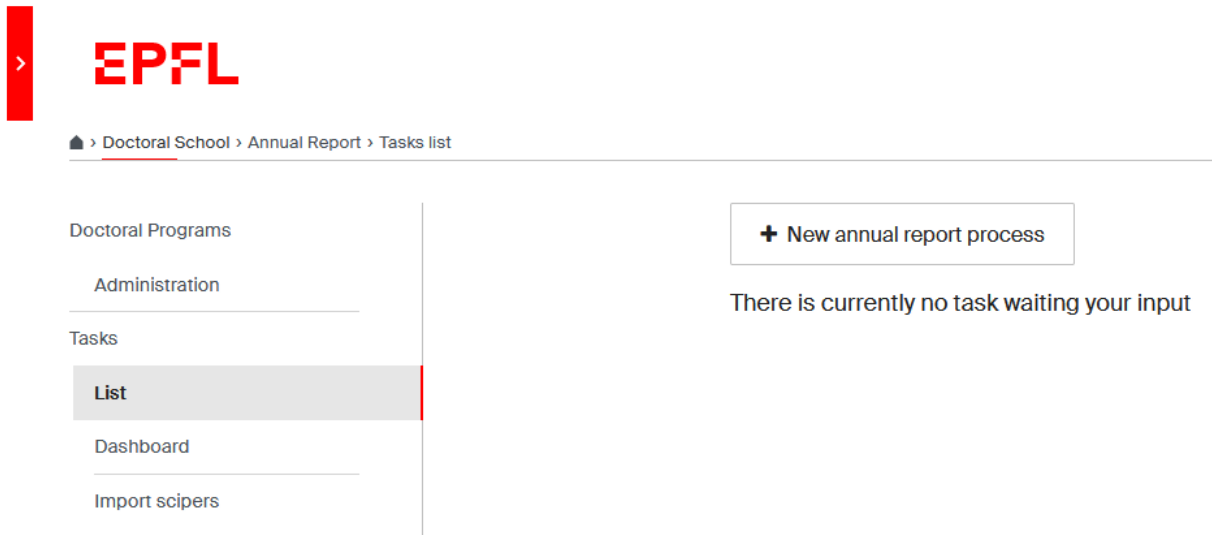
- Then s/he needs to enter the following administrative data:

Program Assistant sciper *

166534

Doctoral program *

ED__

Doctoral program's administrative office email *

@epfl.ch

Link to annual report documentation *

example : https://www.epfl.ch/education/phd/edam-advanced-manufacturing/edam-annual-report/

Doctoral student sciper *

Thesis Director sciper *

Thesis Co-Director Sciper

Program Director sciper *

Mentor sciper *

Credits needed for this program: *

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Submit

- (The sciper of the administrative assistant is automatically filled in)

- Name of doctoral program, starting with ED

- (Email address of the doctoral program's administrative office is automatically filled in based on the name of the doctoral program)

- Link to the annual report documentation: each program has a webpage where the information regarding deadlines and specificities of the annual report are stored.

- Sciper of the doctoral student

- Sciper of the thesis director

- Sciper of the thesis co-director (if applicable)

- Sciper of the program director

- Sciper of the mentor

- Number of credits needed for the program

- Click on Submit


Note: All the fields marked with the red asterisk are mandatory. If one of them is not filled in, the submit button will remain grey

2.1.2 Import scipers tab

The administrative assistant has the option to start one or several annual report processes in a batch.

- S/he clicks on the import scipers tab

- S/he enters the acronym of his/her doctoral program and clicks on *Get ISA students list*.
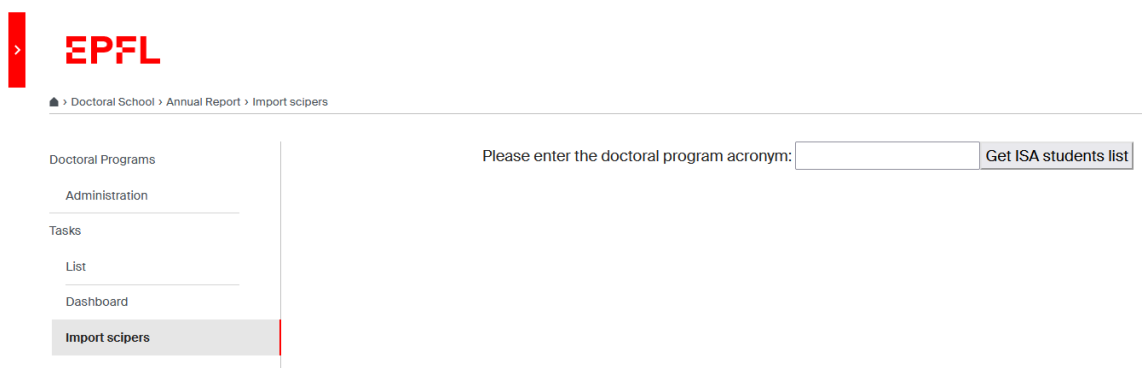
Note: The list of eligible students will be displayed via a webservice calling IS-Academia. The list of eligible students is based on the following criteria: no exmatriculation date, no oral exam date, a date of candidacy exam
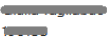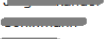
Note: The list is sorted by default by month of the candidacy exam date

Doctoral program: EDEY
Program director: Drazen Dujic (243438)
Credits needed for this program: 12
Annual report documentation : https://www.epfl.ch/education/phd/edey-energy/edey-annual-report/

ISA List fetched at 09.02.2022, 10:35:22

> ℹ️ Please note that as long as you have not clicked on the button "Start PhD assessment", all the information you have added manually in the boxes (such as Gxxxxx) will not be saved if you leave or reload the page.

Start 0 / 53 PhD assessment

	Student Name	Thesis director	Thesis co-director	Mentor	Immatricul. date	Exam candidature	Admin these date
⚠️	Emanuele Piccoli 298268	François Maréchal 140973	Sandra Caroline Galmarini [Gxxxxx] [Set]		01.02.2019	17.02.2020	24.07.2020
	Willem Lambrichts 301094	Mario Paolone 156731			01.10.2020	17.09.2021	28.09.2021
⚠️	Janos Bodi 292398	Konstantin Mikityuk 218030	Alexander Ponomarev [Gxxxxx] [Set]		01.12.2017	16.11.2018	06.12.2018
	Roberto Valenza 326238	Sophia Haussener 207354			01.07.2020	15.06.2021	17.06.2021
ⓘ	**Shuo Liu 308047**	**Sophia Haussener 207354**			**17.02.2020**	**04.02.2021**	**02.03.2021**
	Martin Seydoux 196646	Mario Paolone 156731	Elena Vagnoni 241436		01.04.2020	16.03.2021	18.03.2021
	Ebrar Özkalay 306553	Christophe Ballif 100192	Alessandro Francesco Aldo Virtuani 271354		02.09.2019	29.10.2020	09.11.2020
	Dorsan Alexis A. Lepour 298422	François Maréchal 140973			15.10.2020	29.10.2021	08.11.2021
ⓘ	**Hossein Pourrahmani 292691**	**Jan Van Herle 107971**			**01.09.2019**	**26.11.2020**	**14.12.2020**
	Philippe Aubin 268801	Jan Van Herle 107971			01.11.2018	03.12.2019	18.12.2019
	Chirayu Batra 304251	Konstantin Mikityuk 218030	Carlo Fiorina 254751		05.11.2018	11.10.2019	18.10.2019

- On top of the list, the information displayed (Doctoral program, Program director, Credits needed and Annual report documentation) is coming from the *Administration tab* (ref. to chapter 4). If s/he wants to edit this information please refer to chapter 4.

- Below the list of students is displayed. S/he can select one (or several) checkbox and click on the button "Start PhD assessment". This will start the annual report assessment and the email will be sent to the student informing him/her to fill the annual report.

- Once the process is started, the line is green and is not clickable anymore. An information icon mentions that the annual report is in progress for the student.

- Some checkboxes are not clickable because an information is missing. If s/he hovers the mouse over the warning message, the error message is readable. There are two cases:

    1) Guest sciper account is missing for the co-director. S/he can enter the guest account and click on *Set.* The checkbox will then be clickable.

    2) Mentor information is missing. The administrative assistant needs to go on IS-Academia to enter the sciper number of the mentor, and then re-import the list via the import scipers tab.

Note: Until s/he click on "Start PhD assessment", all the information that you manually added in the boxes will not be saved if you exit or reload the page

Note: If the co-director does not have a valid EPFL email address, the guest sciper number will be required

2.2 Filling in the annual report

2.2.1 Doctoral student

- The doctoral student receives a notification informing him/her to fill in the annual report (Notification 1).

- S/he logs into the tool and s/he can see a task awaiting his/her input.

- S/he clicks on "Proceed".
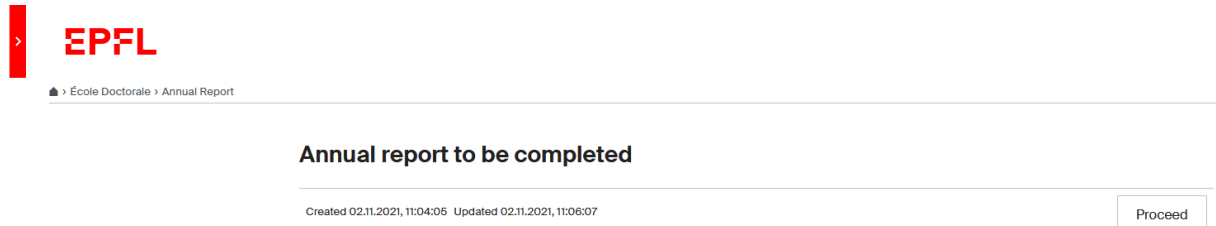
- S/he completes the first part:

- *Date of enrolment*: it is not possible to put a date in the future. There will be an error message.

- *Annual report of*: the current year of study.

- Then s/he fills in the Basic information:

Basic information

Name of candidate:

Lorraine Bierry

Tentative thesis title: *

Thesis director:

Lorraine Bierry

Thesis co-director:

Lorraine PHD Bierry PHD

Date of candidacy exam: *

TA duties: Activities done: *

Estimated hours and/or courses completed, supervision of projet ...

Credits needed for this program: *

10

Total credits obtained: *

Total credits planned:

Note: The obtained credits refer to the obtained credits of the previous year(s)

Note: If the *date of enrolment* and *date of candidacy exam* are automatically filled, this information is coming from IS-Academia (ref. to chapter 2.1.2)

- Then, the research progress:

Note: The research progress is not required for 1st year doctoral students as it is already integrated into the Candidacy exam form; the research progress is mandatory as of the 2nd year

Research progress

To be completed first by the doctoral student and then discussed with the thesis director (and co-director if applicable) during the Annual Report meeting. Future objectives are meant to provide guidance in the project and should thus be as realistic as possible. Achieved and planned objectives should be discussed and agreed upon by the doctoral student and thesis director by approving the Annual Report.

1. What are the overall goals of the thesis? *

2. Research progress during the past year *

(i.e. describe which objectives are completed and elaborate if any difficulties have been encountered since the last annual report)

3. Have the objectives changed in the past year? If so, why and how? *

4. Research objectives for the next year *

5. Timeline of the planned work for the next year *

6. Scientific output *

(Journal and conference papers, patents, software, etc. published, submitted or in preparation)

7. Educational activities *

(Mention oral or poster presentations, outreach and any specific training)

- And finally, the progress assessment:

Note: The progress assessment part will not be visible to the thesis director (and the co-director if applicable) at the next stage; it will only be visible at the time of the collaborative review

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Progress assessment

To be completed independently by the doctoral student and thesis director (and co-director if applicable), then discussed and approved by both during the Annual Report meeting. Progress evaluation is not confidential. During completion you have access only to your comments. At the time of the collaborative review all comments will be visible.

Aims on the doctoral student side:

- to assess how the doctoral student views their own progress and skills

- to identify and communicate to the thesis director in what areas the doctoral student seeks more input or help

Aims on the thesis director (and co-director if applicable) side:

- to ensure that your doctoral student knows how they are performing overall according to you

- to communicate what you think strengths and weaknesses are towards completing a PhD

- to communicate what you think needs to be improved

- to ensure that career issues are discussed at least once per year

Please use the comments box to briefly assess the progress and further elaborate any specific issues.

Discussion topics

1. Student's engagement in the project:
satisfaction, motivation, commitment, initiative, independence, ...

Comment *

2. Thesis director's (and co-director if applicable) supervision:
availability, coaching, support, resources, training and conferences, ...

Comment *

3. Project's progress:
quality of results, critical thinking, vision, timeline, organization, planning, ...

Comment *

Once all the mandatory fields are filled in, s/he clicks on "Submit".

2.2.2 Thesis director

- The thesis director receives a notification informing him/her to fill in the annual report (Notification 2).

- S/he logs into the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Annual report review for the thesis Director

Created 02.11.2021, 11:04:05 Updated 02.11.2021, 12:26:09

Proceed

- S/he can read the basic information and research progress comments from the doctoral student.

- S/he fills in the progress assessment part.

Note: At this stage s/he cannot read the progress assessment comments from the doctoral student nor from the thesis co-director (if applicable)

- S/he clicks on "Submit".

2.2.3 Thesis co-director (if applicable)

- The thesis co-director receives a notification informing him/her to fill in the annual report (Notification 2').

Note: The notifications are sent simultaneously to the thesis director and co-director; they can both fill in the form at the same time

- S/he logs into the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Annual report review for the thesis co-Director

Created 02.11.2021, 11:04:05 Updated 02.11.2021, 12:26:09

Proceed

Note: The thesis co-director can be external to EPFL. To access the tool s/he needs to have a Gaspar account. If s/he doesn't have any accreditation s/he can connect via a Guest account. Here is the link for Guest account creation (sciper starting with Gxxxxx).

- S/he can read the basic information and research progress comments from the doctoral student.

- S/he fills in the progress assessment part.

Note: at this stage s/he cannot read the progress assessment comments from the doctoral student nor from the thesis director.

- S/he clicks on "Submit".

2.3   Collaborative review

- The thesis director receives a notification (with the comments of the annual report attached), copying the student and the co-director if applicable, informing him/her to schedule a meeting with the doctoral student and the co-director if applicable (Notification 3).

- S/he logs in the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Collaborative review to be organized

Created 02.11.2021, 15:38:53 Updated 02.11.2021, 15:49:50   [Proceed]

- During the meeting, the thesis director, the co-director if applicable, and the doctoral student review the basic information, research progress and progress assessment comments. The thesis director is responsible for writing a common comment in the progress assessment chapter (s/he can copy paste comments from his/her peers).

Discussion topics

1. Student's engagement in the project:
satisfaction, motivation, commitment, initiative, independence, ...

Doctoral student Comment *

> Doctoral student comment 1

Thesis Director Comment *

> Thesis director comment 1

Thesis Co-Director Comment *

> Thesis co-director comment 1

Common Comment *

Note: The form is editable for the Basic information and Research progress meaning that the thesis director can change the content of the fields during the meeting. **This is the last stage where information can be modified**. Later in the process it will no longer be possible to change the information in the basic information, research progress and progress assessment

At this stage, the thesis director, the co-director if applicable, and the doctoral student also do the appraisal of the student by ticking one of the 4 checkboxes (exceeds expectations, meets expectations, needs some improvement or unsatisfactory).

General appraisal of the progress *

○ exceeds expectations
○ meets expectations
○ needs some improvement
● unsatisfactory

In case the annual report is unsatisfactory, the program director is informed and will seek a meeting with the doctoral student and the thesis director, to set goals and appropriate timelines for completion.

Submit

Cancel

- S/he clicks on "Submit".

Note: In case the report is unsatisfactory, a notification (Notification 4) is sent to the program director with a copy to the doctoral program's administrative office email for information, with the comments of the annual report attached. The workflow is not stopped nor blocked

2.4   Validations

2.4.1   Thesis co-director (if applicable)

- The thesis co-director receives a notification informing him/her to validate the annual report (Notification 5).

- S/he accesses the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Thesis co-Director's validation of the annual report

Created 09.11.2021, 16:42:18 Updated 09.11.2021, 16:43:48   Proceed

- S/he needs to confirm whether s/he agrees or does not agree with the content of the annual report by ticking one of the 2 checkboxes (I agree, I do not agree). If "I do not agree" is checked, a comment is mandatory.

General appraisal of the progress *

○ exceeds expectations
○ meets expectations
◉ needs some improvement
○ unsatisfactory

Thesis co-director date of review: *

26.01.2022

Thesis co-director review *

○ I agree
○ I do not agree

Thesis co-director comment

- S/he clicks on "Submit".

2.4.2   Thesis director

- The thesis director receives a notification informing him/her to validate the annual report (Notification 6).

- S/he accesses the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Thesis Director's validation of the annual report

Created 02.11.2021, 15:38:53 Updated 02.11.2021, 15:54:34   [Proceed]

- S/he needs to confirm whether s/he agrees or does not agree with the content of the annual report by ticking one of the 2 checkboxes (I agree, I do not agree). If "I do not agree" is checked, a comment is mandatory.

Thesis Director review *
○ I agree
○ I do not agree

Thesis Director date of review: *

02.11.2021   📅

Thesis Director comment

- S/he clicks on "Submit".

2.4.3   Doctoral student

- The doctoral student receives a notification informing him/her to sign the annual report (Notification 7).

- S/he accesses the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Doctoral student's validation of the annual report

Created 09.11.2021, 16:42:18 Updated 09.11.2021, 16:43:48   [Proceed]

- S/he needs to confirm whether s/he agrees or does not agree with the content of the annual report by ticking one of the 2 checkboxes (I agree, I do not agree). If "I do not agree" is checked, a comment is mandatory.

Doctoral student date of review: *

08.10.2021

Doctoral student review *

⦿ I agree
○ I do not agree

Doctoral student comment

Submit

Cancel

- S/he clicks on "Submit".

Note: If at least one of the participants has ticked the box "I do not agree", a notification (Notification 8) is sent to the program director with a copy to the doctoral program's administrative office email for information, with the comments of the annual report attached. The workflow is not stopped nor blocked

2.5 Meeting with the mentor

2.5.1 Mentor

- The mentor receives a notification informing that s/he needs to meet with the doctoral student (Notification 9).

- S/he logs into the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Mentor's confirmation of the Mentor-doctoral student meeting

Created 09.11.2021, 16:42:18 Updated 09.11.2021, 16:50:17   Proceed

- For his/her information, s/he can access all the details of the annual report (including the appraisal and the signatures).

- S/he meets and discusses with the doctoral student.

- S/he confirms having met with the student by ticking the box "Yes we have met". The date is the date they have met.

- S/he clicks on "Submit".

Mentor date of confirmation: *

09.11.2021

☑ Yes we have met *

Submit

Cancel

Note: No possibility to add comments as the discussion remains confidential

2.5.2 Doctoral student

- The doctoral student receives a notification informing that s/he needs to confirm that s/he met with the mentor (Notification 10).

- S/he accesses the tool and can see a task awaiting his/her input.

- S/he clicks on "Proceed".

Doctoral student's confirmation of the Mentor-doctoral student meeting

Created 09.11.2021, 16:42:18 Updated 09.11.2021, 16:50:17   Proceed

- S/he confirms s/he met his/her mentor by ticking the box "Yes we have met". The date is the date they have met.

Doctoral student date: *

08.10.2021

☑ Yes we have met *

Submit

Cancel

- S/he clicks on "Submit"

Note: Notifications 9 & 10 are sent simultaneously to the mentor and the doctoral student. They can both check the box at the same time

2.6 Program director's verification of the annual report

- The program director receives a notification, with the administrative assistant of the doctoral program in copy, asking him/her to confirm s/he checked the annual report (Notification 11).

Verification of the annual report by the doctoral program Director

Created 09.11.2021, 16:42:18 Updated 09.11.2021, 16:57:12   Proceed

- S/he logs into the tool and can see a task awaiting his/her input.
- S/he clicks on "Proceed".
- S/he needs to confirm that s/he checked the annual report by ticking the box "I have checked the annual report".
- S/he clicks on "Submit".

Program director date: *

08.10.2021

☑ I have checked the annual report *

Submit

Cancel

Note: The right to check the box can be delegated to the administrative assistant of the doctoral program. Both can access the task "Verification of the annual report by the doctoral program Director", check the box and submit

2.7   Sending of the annual report

- The annual report is sent as a PDF file to all the members involved in the workflow. A notification is sent to the doctoral student, the thesis director, the thesis co-director (if applicable) and in hidden copy the mentor (Notification 12).

- It is also sent to the program director and doctoral program's administrative office email (Notification 12').

2.8   Filing into the GED

- The annual report of the doctoral student is stored in the student's GED file, in the "cursus" folder. The PDF file is automatically sent to the GED file via a webservice.
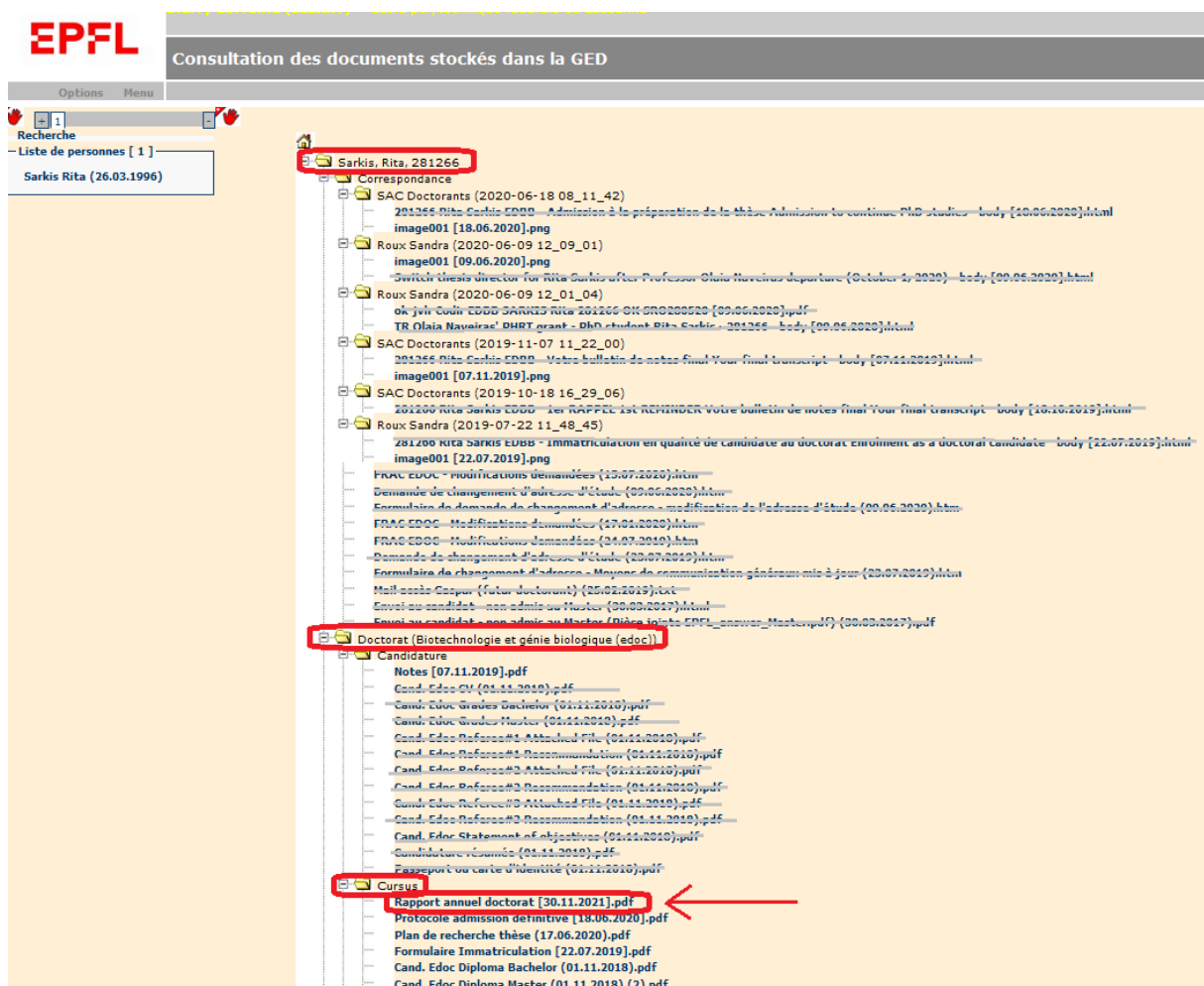
- If the application is not able to file the PDF document into the right folder of the student in the GED, a notification is sent to the administrative assistant of the doctoral program asking him/her to upload it manually (Notification 13).

3 Dashboard

A dashboard is available to the administrative assistant of the doctoral programs. It can be accessed via the menu on the left, by clicking on "Dashboard".
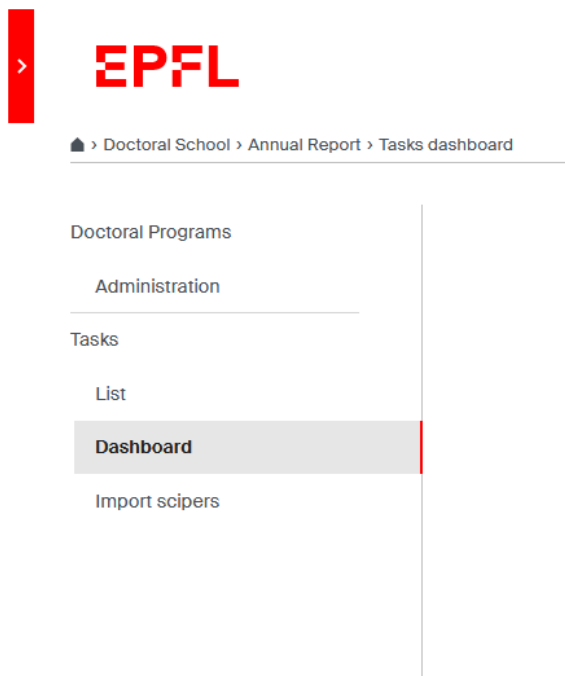
On this page the administrative assistant of the doctoral program will be able to see the progress of the workflow for each student. The name is the name of the doctoral student.

Name	Program	Phd fills annual report	Co-Dir fills annual report	Thesis Dir fills annual report	Collaborative review	Co-Dir signature	Thesis Dir signature	PhD signature	Mentor signature	PhD signature after mentor	Program Director signature
Marta Bellone	EDIC	🟧									
Luc Venries	EDXX	🟩	🟩	🟧							
Lorraine Bierry	ED11	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟧
Juliane Kuntschen	EDXX	🟩	🟩	🟩	🟧						

- Tasks in green are the completed tasks.

- Tasks in orange are the ongoing tasks: if you hover your mouse over the task you can see the latest update of the task.

  Example: *Juliane Kuntschen (154518), Last updated: 10.11.2021, 09:20:20.* It means that the task has had the status *Collaborative review* since November 10th.

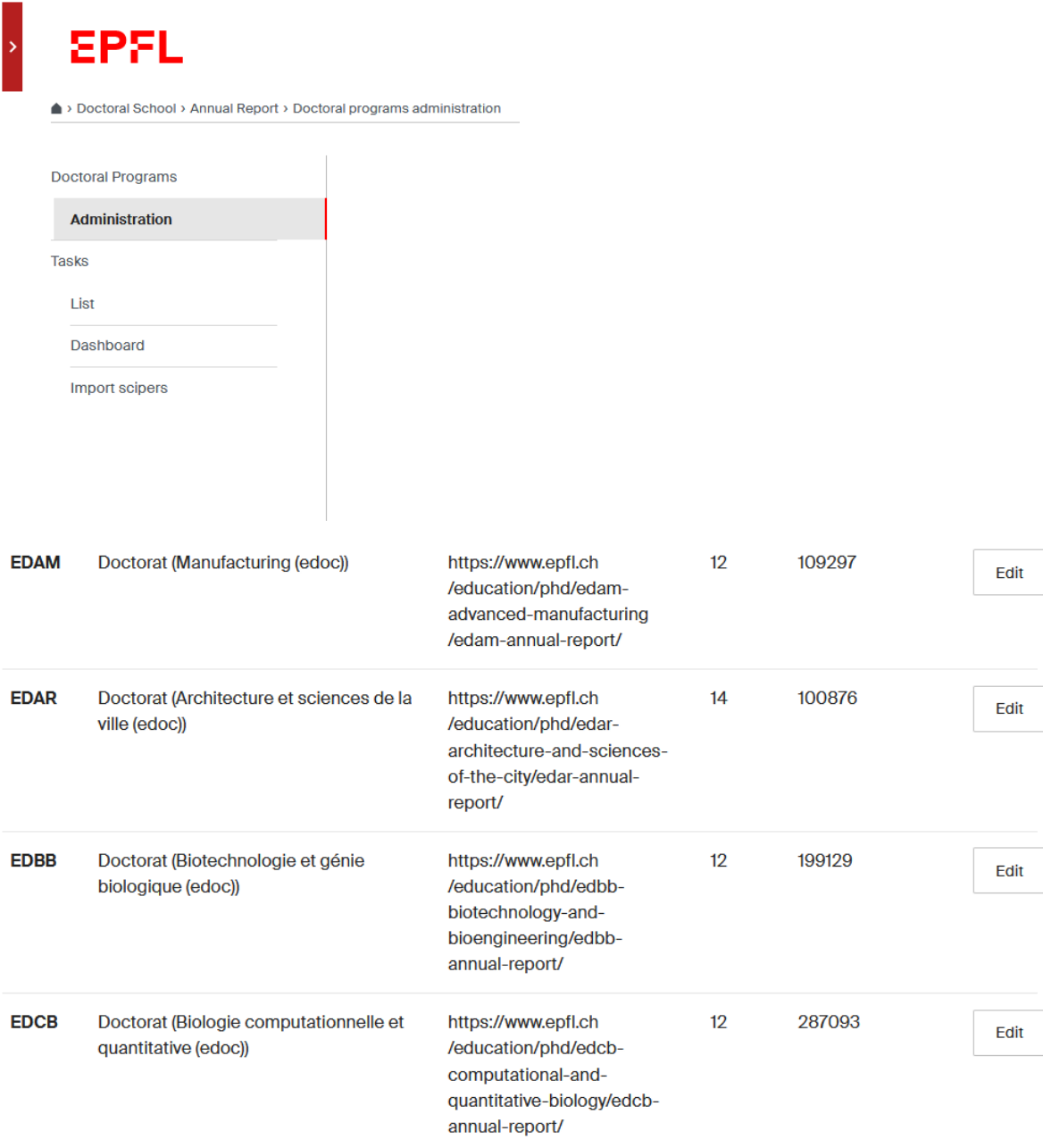- Tasks in white are upcoming tasks.

The students' names are in order of the workflow creation date. The ones on the top are the oldest and the ones below are the most recent.

Note: The tasks are only viewable by the creator (the administrative assistant of the doctoral program)

Note: The dashboard is only visible to the administrative assistants of the doctoral programs. They belong to a specific group of the application groups.epfl.ch. This group has access to the following functionalities: the "Start new annual report" button, the dashboard, the "import scipers" tab and "administration" tab

4 Administration tab

The administration tab is available to the administrative assistants of the doctoral programs. It can be accessed via the menu on the left, by clicking on "Administration".

EDAM	Doctorat (Manufacturing (edoc))	https://www.epfl.ch/education/phd/edam-advanced-manufacturing/edam-annual-report/	12	109297	Edit
EDAR	Doctorat (Architecture et sciences de la ville (edoc))	https://www.epfl.ch/education/phd/edar-architecture-and-sciences-of-the-city/edar-annual-report/	14	100876	Edit
EDBB	Doctorat (Biotechnologie et génie biologique (edoc))	https://www.epfl.ch/education/phd/edbb-biotechnology-and-bioengineering/edbb-annual-report/	12	199129	Edit
EDCB	Doctorat (Biologie computationnelle et quantitative (edoc))	https://www.epfl.ch/education/phd/edcb-computational-and-quantitative-biology/edcb-annual-report/	12	287093	Edit

On this page, you can find the following information per doctoral program:

- The acronym of the doctoral program (not editable)

- The label (not editable)

- The link to the annual report documentation (editable)

- The credits needed per program (editable)

- The sciper number of the program director (editable)

The administrative assistant of the doctoral program has the right to "edit" some information regarding his/her program. S/he can edit the link to the annual report documentation, the number of credits needed and/or the sciper number of the program director (e.g., if there is a change of program director, s/he needs to update the information on this page).

All the fields are used for the annual report process for each student. This is important to keep this information up to date. It is used in the notifications that are sent to the different people involved in the process, and also for the final step, the automatic archive in the GED.

5   Support Organization

5.1   Support process

There are 3 levels of support.

In case of a bug or an enhancement request please open a ticket to 1234: 1234@epfl.ch

Support level 2 is managed by the service manager, Michel Naguib.

Support level 3 is managed by the IDEV FSD development team.