EPFL

User manual for the first version of the PhD annual report tool
Reports started before December 1, 2023

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Glossary

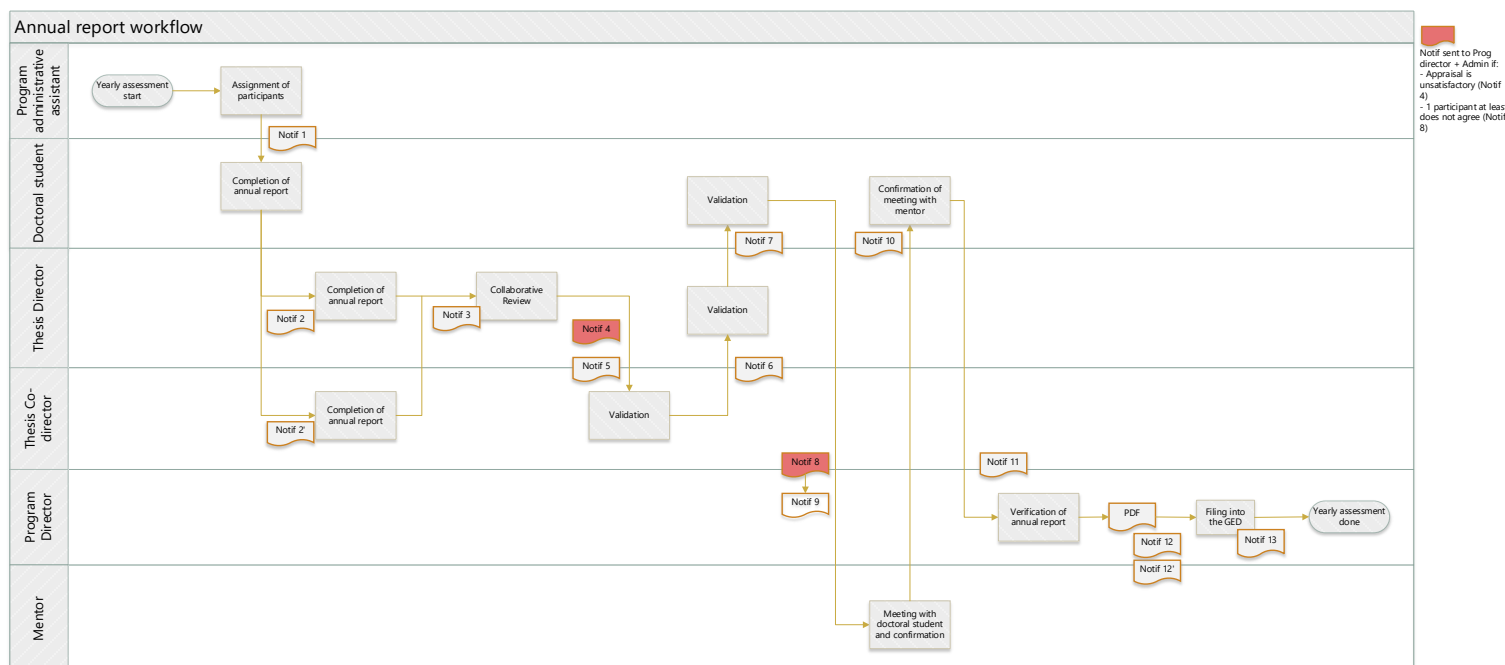| Abbreviation/Technical term	Explication
EDOC	Doctoral School
Sciper	6-digit unique EPFL identification number
Gaspar account	Password and authentication manager for users at EPFL
GED	"Gestion électronique des documents". Used to store documents related to the studies of students. In this context it 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)
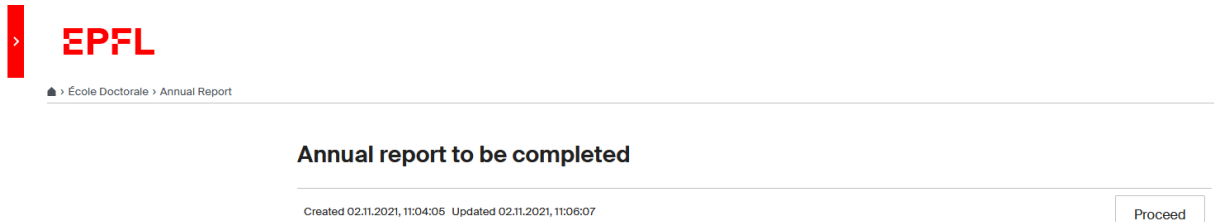- Administrative assistant of the doctoral program

2 Annual report process

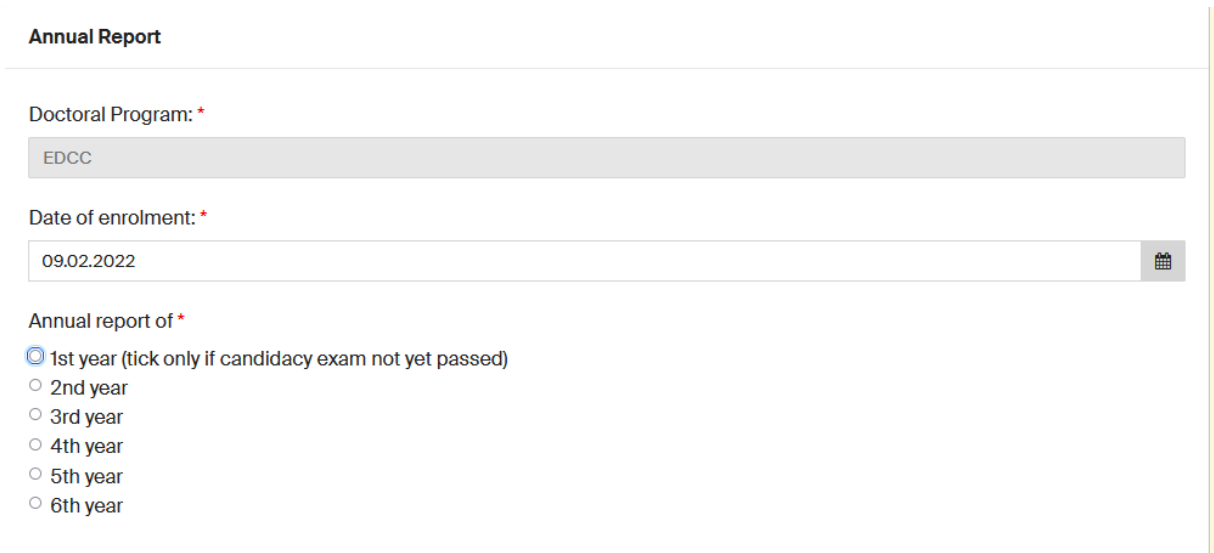Below is the workflow of the annual review:

2.1.1 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".

EPFL

🏠 › École Doctorale › Annual Report

Annual report to be completed

Created 02.11.2021, 11:04:05 Updated 02.11.2021, 11:06:07   Proceed

- S/he completes the first part:

Annual Report

Doctoral Program: *

EDCC

Date of enrolment: *

09.02.2022

Annual report of *

- ⦾ 1st year (tick only if candidacy exam not yet passed)
- ○ 2nd year
- ○ 3rd year
- ○ 4th year
- ○ 5th year
- ○ 6th year

- *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

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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".

2.1.2 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".

2.1.3 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".

2.2   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

2.3   Validations

2.3.1   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".

2.3.2 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".

2.3.3 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

2.3.4   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

2.3.5 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

2.4 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

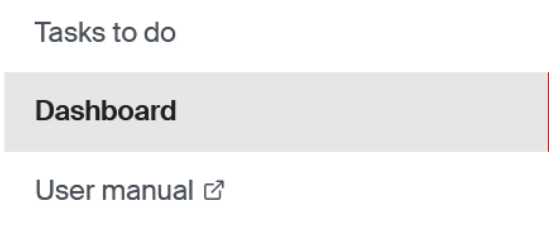☑ I have checked the annual report *

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

2.5   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').

- 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.

3   Dashboard

A dashboard is available. It can be accessed via the menu on the left, by clicking on "Dashboard".

- 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.