

**EARLY STAGE ASSESSMENT (ESA) FORM**

**Completed no later than 12 months for full-time students/24 months for part-time students\***

Please read the [guidance notes](http://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/registry/academic-governance/public/academic-policy/miletsones-for-pgr/Early-stage-assessment-guidance-notes.pdf) before completing this form.

Section B of this form is to be completed by the independent assessor(s); Section C by the Supervisor(s) and Section D by the Director of Postgraduate Studies\* or nominee.

Please tick one box where requested.

**SECTION A – To be completed by the Student**

|  |  |  |
| --- | --- | --- |
| Student’s Name: |  | CID: |
| Department: |  |
| Name(s) and department(s) or affiliations(s) of Supervisor(s):Title of research project (if known:Research Community: |  |
|  |
|  |
| Has ethical approval for the research been agreed? | **YES** [ ]  **NO** [ ]  |
| Is this the first early stage assessment?**If NO**, please give date of previous Early Stage Assessment (ESA): | **YES** [ ]  **NO** [ ]   / / | Please indicate whether student is registered for a PhD or MD(Res)Date of initial PhD or MD(Res) registration: | **PhD** [ ]  **MD (Res)** [ ]    / / |
| **Professional Skills Attendance Requirements*** 1. **Doctoral Students (PhD, MD[Res] and EngD)**: The College requires all doctoral students to achieve a minimum of four Graduate School credits, plus the online doctoral plagiarism awareness course. The online Plagiarism Awareness Course is compulsory, but does NOT count towards the minimum credit requirement which is set out below:

Doctoral students are required to accumulate a minimum of 4 credits by the Late Stage Review (LSR) asfollows:* By the Early Stage Assessment (ESA) – 2 credits
* By the Late Stage Review (LSR) – a further 2 credits

|  |  |
| --- | --- |
| **Course Type** | **Number of Credits** |
| Online courses | 1 |
| Face-to-face workshops | 1 |
| Webinars | 1 |
| 1. Day Retreat
 | 1 |
| 2 Day Retreat | 3 |
| 5 Day Global Fellows Programme  | 4 |

* 1. **MPhil Students**: those who are direct entry MPhil, or those being awarded with an MPhil degree having first registered for a PhD, must complete a minimum of two credits by the ESA. The LSR professional development credit requirement does not apply to MPhil students.
 |
| *A full list of Graduate School courses completed by the student is attached to this form as Appendix A.***Has the student completed the College’s professional skills development requirements?****Has the student completed the College’s compulsory online Plagiarism Awareness online course?*****For students starting on or after the 24 September 2019***Students who started their postgraduate research degree on or after 24 September 2019 will need to follow the College’s policy on using Turnitin as part of the ESA submission process. Departments should therefore make it clear to students that they must submit a copy of their ESA report to Turnitin for an originality check.The examiners confirm that they are satisfied that the ESA/LSR is the student's original work, as required by College. Reports will be scanned by TurnItIn when they are uploaded to Blackboard.  |  **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ]  |
| **Imperial College London Doctoral Academic Communication Requirement**After fulfilling the [*English language entry requirement*](http://www.imperial.ac.uk/study/pg/apply/requirements/english/) for admission, all doctoral students must also fulfil the *Imperial College London Doctoral Academic Communication Requirement* (unless formally identified by the Centre for Academic English as being exempt).This is done through taking Doctoral Academic Communication Requirement Assessment 1 (DACR A1) **within 3 months of the doctoral programme start date**. Students who score level 3 or level 4 in DACR A1 are considered to have fulfilled the Requirement. Students who score level 1 or level 2 are required to take a progress check (DACR A2) **in order to complete the Early Stage Assessment carried out by their department**.1. Has the student been formally identified by the Centre for Academic English as being exempt?

If YES, please ignore questions 2 and 3. If NO: 1. Did the student achieve level 3 or level 4 in DACR A1?

If NO: 1. Did the student achieve level 1 or level 2 in DACR A1 and then take DACR A2?

Tick this box in the student **has not** fulfilled the Imperial College London Doctoral Academic Communication Requirement.  | **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] The student has not fulfilled the requirements: [ ]  |
| **SECTION B: To be completed by the independent assessor(s)****Date of Examination: / /** |
| **1. Comments on the written report:** |
| Overall Assessment (mark one): | [ ]  Poor | [ ]  Satisfactory | [ ]  Good | [ ]  Very Good |
| **2. Comments on the oral examination:** |
| Overall Assessment (mark one): | [ ]  Poor | [ ]  Satisfactory | [ ]  Good | [ ]  Very Good |
| **3. Comments on the plan of future work:** |
| Overall Assessment (mark one): |  [ ]  Poor | [ ]  Satisfactory | [ ]  Good | [ ]  Very Good |
| **4. Please provide answers for the following:**1. Does the student understand the research problem adequately at this stage?
2. Has the student a critical awareness of the relevant literature on the subject?
3. Has the student the capacity to pursue research?
4. For students starting on or after the 24 September 2019, has the student’s ESA been assessed as compliant with the College’s regulations on avoiding plagiarism, after being tested through Turnitin? (where the ESA is exempt from being tested through Turnitin due to matters of national security, I confirm to the best of my knowledge that the ESA is compliant with the College’s regulations on avoiding plagiarism)

The examiners confirm that they are satisfied that the ESA/LSR is the student's original work, as required by College. Reports will be scanned by TurnItIn when they are uploaded to Blackboard. | **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ]  |
| 1. **Do you recommend that registration for the PhD / MD(Res) can continue?**

[Please note: For students whose initial registration is on or after 1st October 2012 continuation is conditional on completion of the prescribed professional skills development training (see section A of this form). If the student has not met the professional skills attendance requirement, transfer to MPhil should be recommended].**If NO**, **what course of action do you recommend?** (tick one)1. Re-submit [by 11 months of initial registration]
2. Transfer to MPhil registration (not applicable for MD(Res))
3. Fail/withdraw
 | **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ] **YES** [ ]  **NO** [ ]  |
|  |
| **Signatures of Independent Assessors** |
| Assessor’s Signature: |  | Date: |
| Name (Block Capital): |  | Department: |
| Assessor’s Signature: |  | Date: |
| Name (Block Capital): |  | Department: |
| Assessor’s Signature: |  | Date: |
| Name (Block Capital): |  | Department: |
| **The completed form should be returned to the Supervisor(s) together with a copy of the student’s report.** |
| **SECTION C – To be completed by the Supervisor(s) following the ESA assessment**[Supervisors should discuss this section of the form with their student prior to completion]. |
| Feedback from the Supervisor(s) to the student on the ESA Assessment outcome and future research activities:  |
| Feedback and discussion between the Supervisor(s) and the student on the student’s training and development. Supervisors may wish to cover the following as part of this conversation:* departmental and technical courses completed by the student and future training
* Graduate School professional skills courses completed (see appendix A) and those recommended prior to the Late Stage Review
* If appropriate, creating a Data Management Plan for research to be undertaken,
* Other training and development opportunities
* For students starting on or after 24 September 2019, any concerns with respect to the Turnitin report
 |
| By signing the form below, we together confirm that 1. Feedback on the outcome of the ESA has been discussed
2. A discussion has taken place with respect to training and development opportunities
3. The Mutual Expectations for the Research Degree Student Supervisor Partnership document has been discussed at the start of our partnership
 |
| Main Supervisor’s Signature |  | Date:  |
| Name (Block Capital) |  | Department: |
| Co-supervisor’s Signature |  | Date: |
| Name (Block Capital) |  | Department |
| Co-supervisor’s Signature |  | Date: |
| Name (Block Capital) |  | Department: |
| Assistant Supervisor’s Signature |  | **Date:** |
| Name (Block Capital) |  | Department: |
| Student’s Signature |  | Date: |
| Name (Block Capital) |  | Department: |
| **SECTION D – Comments from Director of Postgraduate Studies (or nominee)** |
| **Do you recommend the registration for the PhD/MD(Res) should continue:** **If NO, what course of action do you recommend?**  1. Re-submit [by 11 months of initial registration]
2. Transfer to MPhil registration (not applicable to MD(Res))

If transfer is recommended, please give reason:* Non completion of professional skills development training
* Academic performance

 1. Fail/withdraw

  | **YES** [ ]  **NO** [ ] **Re-submit** [ ] **Transfer to MPhil** [ ] Non-completion of training [ ] Academic performance [ ] **Withdraw** [ ]  |
| I confirm that I have sent a copy of this form to my community administrator  | Yes / No |
| **DPS signature will be added after the form is uploaded.** |
| Signature of Director of Postgraduate Studies or nominee: |  | Date: |
| Print name (block capitals): | Professor Ben Sauer, ph.dps@imperial.ac.uk |

## Appendix A: Training, Development and English language proficiency – to be completed by student and/or department ahead of the ESA assessment.

Note: Departments and students are free to present this information in whatever format they choose. Below is a suggested template only.

Graduate School Courses attended [please list]

Technical and other training completed [please list]

If applicable, report from the Centre for Academic English

**Physics Department**

## Proforma: Feedback to Student – 12M stage

**NOTE - This section should only be completed if the feedback recorded on the 12M ESA form has not been discussed with the student.**

|  |  |  |  |
| --- | --- | --- | --- |
| Student |   | **Date of Progress Review** |  |
| **Group** |  |
| Supervisor(s) |   |
| **Assessor(s)**  |   |

|  |
| --- |
| **TO BE COMPLETED BY THE ASSESSOR(S)** |
| **1. Quality of written report** |
| **2. Performance in oral examination**  |
| **3. General knowledge of research topic** |
| **4. Other comments** |
| **Signatures:**Assessor(s) Date  |
|  |
| **TO BE COMPLETED BY THE SUPERVISOR(S)**  |
| **Progress review successful YES / NO**  (delete as appropriate)**If NO, please state if and when the student will attempt the 12M Review again:**  |
| **Comments by the supervisor(s)** |
| **Comments by the student** |
| **Signatures:**Student \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_Supervisor(s) |

**Department of Physics**

**Record of Lecture Courses attended by Postgraduate Research Students (including Group Seminars etc.). Please also indicate the safety courses that have been attended.**

|  |  |  |
| --- | --- | --- |
| Student Name: | Supervisor Name: | Research Group: |
|  |  |  |
| **Please list all courses etc. attended by your research student during their first year.** |

|  |  |  |
| --- | --- | --- |
| Please tick box |  |  if your student has previously completed a relevant taught MSc course, in which case additional lecture attendance is not essential. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of Course** | **Type of Course**e.g. UG, MSc, PG, Group Seminar etc. | **(A) Total** **Lecture** **Hours** | **(B) Total** **Additional Hours** e.g. associated coursework, tutorials etc. | **Total Hours**(A) + (B) | **Assessment Method** e.g. exam paper(s), oral, assessed coursework | **Result of Assessment** e.g. poor, satisfactory, good, v. good |
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Supervisor’s Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_