

## Confirmation of Candidature or Upgrade from Masters to Doctoral Candidature

### This application form should be completed by:

- **PhD and MD (supervised)** students applying to confirm their candidature
  - **Professional doctorate** students (other than SJD and EdD) applying to confirm candidature
- Students wishing to apply to transfer to the research component of their EdD or SJD should complete the *Supplementary Candidature Form for EdD and SJD Candidates*.
- **MPhil** students applying to confirm their candidature or defer confirmation pending upgrade to PhD
- MPhil students wishing to defer the confirmation of MPhil candidature pending an upgrade to PhD should arrange for their Head of Department to complete the *Request to Defer Confirmation of MPhil* on page four of this form. This request should be lodged with the Monash Research Graduate School.
- **Masters** students wishing to upgrade from masters to doctoral candidature
- Masters students wishing to upgrade must also complete the application for doctoral candidature form.

### Purpose of the confirmation/upgrade process is to:

- provide objective confirmation that the research direction is sound, the methodologies are appropriate and that the standard of writing is satisfactory
- allow candidates a platform on which to receive useful insights and feedback on their progress and research direction from a panel of experienced academics
- obtain independent advice in the refining and development of the research question and methods
- provide a supportive environment to enhance presentation skills
- identify and remedy any difficulties that may impede successful completion of the research project

Please consult with your supervisor as soon as practicable after receiving notification that your confirmation of candidature is due. It may take some time to organise your oral presentation and review panel.

The application for confirmation of candidature must be received by Monash Research Graduate School, by the specified deadline. If no contact is made, the candidature will lapse automatically four months from the end of the probationary period.

### Key criteria for successful confirmation/upgrade include:

- diligent and effective application to the research project
- initiative consistent with the requirements of the course
- satisfactory progress in the research
- satisfactory progress in the coursework component of the program, if applicable

### This application form consists of the following sections:

Guidelines	Guidelines for confirmation of candidature and upgrade from Masters to Doctoral candidature to be read by <u>all applicants</u>
Section A	To be completed and signed by applicant
Section B	To be completed and signed by applicants supervisor
Section C	To be completed by Convenor of the review panel – this section includes the review panel report. The section must then be signed by the candidate, supervisor and panel convenor.
Section D	To be completed by Head of Department or Graduate Co-ordinator (or nominee) Section C and D should not be signed by the same person.
Section E	To be completed by Faculty Associate Dean Research or Nominee
Section F	Endorsement by the Monash Research Graduate School Committee

# Guidelines for Confirmation of Candidature/Upgrade from Masters to Doctoral Candidature

## Period of Probationary Candidature:

- 12 months full-time, or 24 months part-time candidature for doctoral students, excluding those listed below

For students who have made excellent progress, earlier confirmation of candidature may be considered. A candidate should be enrolled for a minimum period of 6 months full-time, or 12 months part-time candidature:

- 6 months full-time, or 12 months part-time candidature for 100% research MPhil students
- 9 months full-time, or 18 months part-time candidature for MPhil students with a coursework component
- 12 months full-time, or 24 months part-time candidature for MPhil students planning to upgrade to PhD
- 18 months full-time candidature for DPpsych (Clinical and Neuropsychology), DPpsych (Clinical) and SJD students

## Upgrade from MPhil/Masters to PhD:

The confirmation of MPhil candidature can be deferred if the department believes that the applicant is likely to upgrade from MPhil to PhD in the future. However the applicant will still be required to meet the normal requirements for upgrade to the satisfaction of the Department/School, Faculty and the Monash Research Graduate School Committee. The Head of Department or nominee can recommend this delay by completing the *Request to Defer Confirmation of MPhil* on page four of this form.

Masters students wishing to upgrade to doctoral candidature should normally be enrolled for a minimum of 9 months full-time, or 18 months part-time candidature. Upgrade normally occurs after 12 months full-time, or 24 months part-time candidature.

## Confirmation of Candidature requirements:

### Oral Presentation of at least 20 minutes:

An oral presentation on the research project should be given at either, a departmental seminar and/or viva voce. Members of the review panel (see following page for composition of panel) must be in attendance for the oral presentation. The oral presentation should explore the research undertaken to date and the anticipated future directions of the research program.

### Written Submission:

A progress report must be submitted by the student. The report must include the following:

- Title of research report/thesis
- Statement of the research problem(s): (i) introduction (ii) research question or hypothesis (iii) subsidiary questions (iv) review of relevant research and theory
- The Procedure: (i) theoretical and conceptual framework (ii) analytical techniques and research design
- Timetable for completing research report/thesis and a detailed statement of progress to date
- Brief bibliography
- List of publications produced during probationary candidature (if applicable)

The progress report should be a minimum of 1000 words but many faculties have additional requirements:

Faculty of Arts	7000 to 10000 word report. Students upgrading from masters to doctoral candidature must also provide a chapter of the thesis
Faculty of Law	1000 word progress report and an example of the candidate's written work of up to 7,000 words, to be negotiated with the supervisor
Faculty of Engineering	5000 to 7500 word progress report
Faculty of Business and Economics	DBA students must address each research phase separately by submitting a report of 3000 to 5000 words which provides a statement of the research problem and procedure for each research phase
Faculty of Information Technology	7000 to 10000 words. This submission should be in the form of a progress report combined with a proposal for future research. Under exceptional circumstances, a shorter submission may be made (but no less than 2000 words), if accompanied by other evidence of significant progress
Faculty of Education	5000 to 7500 word report

Candidates should discuss the departmental and faculty requirements for confirmation/upgrade with their supervisor and/or graduate co-ordinator before commencing the written report.

## The review panel:

A review panel is to be convened to discuss the written submission and oral presentation with the candidate. The panel needs to consider the evidence presented and make a recommendation in relation to the confirmation or upgrade of candidature

It is a requirement that the panel comprises of at least the following three members:

- the departmental/school graduate coordinator/director of research or nominee (convenor). The convenor cannot currently be supervising the candidate
- the candidate's supervisor(s)
- an independent panel member conversant with the general area of research but not directly involved with the candidate's project. The independent panel member cannot be supervising the candidate

The independent panel member may be drawn either from within the department/faculty or from outside it.

Where more than one supervisor is on the review panel, the decision to confirm candidature will rest with the convenor and the independent panel member. Should the convenor and independent panel member disagree with regard to confirmation/upgrade; the supervisor/s will have the casting vote. Where the decision is not unanimous, details are required in the review panel report

It is expected that members of the review panel will be senior academic staff members with extensive experience in supervising doctoral students.

Please note that the oral presentation as viva voce can be incorporated in the review panel meeting.

## Review Panel Report

The review panel report is incorporated into Section C of this form and must be completed by the Convenor of the Review Panel. If there is insufficient space on the form, additional information can be attached as required. Where the recommendation is for non-confirmation, the convenor may find it easier to attach a separate panel report which details the information stipulated in the template below.

### **A Recommendation not to Confirm Candidature:**

Where the review panel has decided not to recommend confirmation of candidature, it is essential that the review panel report is sufficiently detailed to assist the Research Graduate School Steering Committee when considering the recommendation. In such cases, the panel report needs to include:

- Details of review panel meeting - panel membership, date of meeting, who attended the meeting (for example was the presentation done at a departmental seminar)
- A comment on the candidate's oral presentation, addressing its structure, content, strengths, deficiencies and responses to questions raised by the review panel or others present.
- A statement on the candidate's written report, addressing its structure, content, strengths and deficiencies.
- Details of what opportunity, if any, the candidate has had to correct/revise their oral/written presentation for confirmation, including:
  - the targets set for the candidate to achieve confirmation
  - the timeline permitted for the revisions including dates of original presentation
  - the extension to the probationary period granted by RGSC
- Details of the Review Panel's Recommendation which should include:
  - an unequivocal statement of the panel's recommendation
  - a detailed statement on the quality of the candidate's work with regard to the standard required for candidature, including the candidate's application to the project, initiative shown in devising and developing the project and overall progress to date.
  - a detailed statement of all the reasons for the recommendation not to confirm candidature indicating all the deficiencies in the research proposal
  - a statement of what other options, if any, have been discussed with the candidate (e.g. downgrade to masters)

Further information on non-confirmation of candidature is available in the Handbook for Doctoral and MPhil Degrees – Appendix D available at: <http://www.mrgs.monash.edu.au/research/doctoral/appendd.html>

## Request to defer Confirmation of MPhil Candidature pending upgrade to PhD

### To be completed by Head of Department or nominee

The confirmation of MPhil candidature can be deferred if, at the time that confirmation of candidature is due, the department believes that the applicant is likely to upgrade from MPhil to PhD after 12 months full-time, or 24 months part-time candidature. Please note that this recommendation does not enable the candidate to automatically upgrade to PhD at the appropriate time. This is simply a recommendation based on current progress.

The applicant will still be required to meet the normal requirements for upgrade to the satisfaction of the Department/School, Faculty and Research Graduate School Committee. If it is unlikely that an upgrade will occur in the future, the confirmation of MPhil candidature should not be delayed.

### Student details:

ID No:	<input type="text"/>	Department:	<input type="text"/>
Degree:	<input type="text"/>		
Family name:	<input type="text"/>	Title:	<input type="text"/>
Given names:	<input type="text"/>		
Supervisors:	<input type="text"/>		

### Has the candidate:

▪ diligently and effectively applied himself/herself to this project?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
▪ shown initiative consistent with the requirements of the course?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
▪ made satisfactory progress in the research program?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
▪ made satisfactory progress in the coursework component?	N/A	<input type="checkbox"/>	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>	No	<input type="checkbox"/>
Based on progress to date, will the department be supporting upgrade to PhD?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Candidate's name:	<input type="text"/>	Date:	/	/
Candidate's signature:	<input type="text"/>	Email:	<input type="text"/>	
Supervisor's name:	<input type="text"/>	Date:	/	/
Supervisor's signature:	<input type="text"/>	Email:	<input type="text"/>	
Head of Dept/Graduate Co-ordinator's name:	<input type="text"/>	Date:	/	/
Head of Dept/Graduate Co-ordinator's signature:	<input type="text"/>	Email:	<input type="text"/>	

### This completed form should be submitted to:

Monash Research Graduate School, Research Services

Building 3D, Clayton Campus, Wellington Rd  
 Monash University, VIC 3800, Australia  
 Telephone + 61 3 9905 3009 Facsimile + 61 3 9905 5042

Email [mrgs@adm.monash.edu.au](mailto:mrgs@adm.monash.edu.au) [www.mrgs.monash.edu.au/](http://www.mrgs.monash.edu.au/)

## Confirmation of Candidature or Upgrade from Masters to Doctoral Candidature

### Section A: To be completed by the Candidate

Please read the guidelines for confirmation of candidature/upgrade attached to this form and check with your Supervisor and Graduate Co-ordinator to determine if there are any additional departmental requirements.

The Research Graduate School Committee has final approval of confirmation/upgrade of candidature. The Monash Research Graduate School will formally notify candidates, their supervisor and the faculty of the final decision.

#### Personal details:

ID No:	<input type="text"/>	Department:	<input type="text"/>
Degree:	<input type="text"/>	Faculty:	<input type="text"/>
Family name:	<input type="text"/>		Title: <input type="text"/>
Given names:	<input type="text"/>		
Postal address:	<input type="text"/>		

#### I am applying to (tick as appropriate):

<b>Confirm</b> doctoral or MPhil candidature	<input type="checkbox"/>	<b>Upgrade</b> from masters candidature	<input type="checkbox"/>
Has the direction of your thesis topic changed?		Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>

#### Please document conference and seminar attendance since commencing candidature: (eg exPERT programs)

#### I Declare that:

- I have read and understood the regulations and guidelines which govern my candidature and are documented in the Doctoral/MPhil information handbook.
- I have read and understood the university guidelines on ethical research and research misconduct.

I certify that the research I undertake in the course of my degree will conform to university guidelines and I acknowledge that Monash University reserves the right to take appropriate discipline action, which may include termination of my candidature, should I breach these guidelines.

I certify that when undertaking my research, in preparing my research proposal and in preparing my thesis:

- I have/will ensure that it contains no material which has been accepted for the award of any degree or diploma at Monash or any other university or institution.
- I have/will ensure that it contains no material previously published or written by myself or another person, except where due reference is made in the text.

I have read and understood the above conditions and am prepared to accept them in full.

Candidate's name:	<input type="text"/>	Date:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Candidate's signature:	<input type="text"/>	Email:	<input type="text"/>		

## Section B: To be completed and signed by the candidate's main supervisor

### Confirmation:

Do you support this application for confirmation/upgrade of candidature?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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### Has the candidate:

Diligently and effectively applied him/her self to this project?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Shown initiative consistent with the requirements of the course?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Made satisfactory progress in the research program?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Made satisfactory progress in the coursework component?	N/A <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Attended seminars, training sessions and conferences as requested?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

### Is the academic unit in a position to provide:

Adequate facilities and supervision throughout confirmed candidature?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
The source materials required for completion?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If No, please comment:		
<div style="border: 1px solid black; height: 80px;"></div>		

### English language:

Does the English language proficiency of the candidate allow the production of written work of the standard required for the doctoral degree?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If No, please outline your concerns and what action is proposed to address this problem:		
<div style="border: 1px solid black; height: 100px;"></div>		

### Employment:

Undertaken paid employment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If yes, is this interfering with the candidate's progress?	N/A <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Does the candidate's research overlap with their employment responsibilities? Refer to: <a href="http://mrgs.monash.edu.au/research/doctoral/appende.html">mrgs.monash.edu.au/research/doctoral/appende.html</a>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
↓			
If yes, please fill out the relevant agreement form			
This form is available from the following website: <a href="http://mrgs.monash.edu.au/research">mrgs.monash.edu.au/research</a>			

**Evaluate progress:**

Evaluate candidate's progress, including their role in initiating, devising and developing the research project(s):

Indicate any personal, technical difficulties etc which may have impeded candidate's progress:

**Ethics clearance:**

Has the project received the relevant ethics clearance? N/A  Yes  No

If approval has been obtained for this project, please list the approval number and title under which it was approved. Please note if these details have been previously provided to MRGS it is not necessary to complete this section.

Committee(s):  Approval Number:

**Intellectual property:**

Are there likely to be any patent-worthy discoveries, inventions or other commercial ramifications arising from the research? Yes  No

Will the research utilise background intellectual property owned by the university or a third party? Yes  No

If Yes to either or both questions:

▪ Has the candidate signed the standard deed assigning to the university intellectual property arising from the research? N/A  Yes  No

▪ Has an agreement between the university and the third party been negotiated and contracts exchanged? N/A  Yes  No

Further information is available from: [mrgs.monash.edu.au/research/doctoral/chapter6a.html](http://mrgs.monash.edu.au/research/doctoral/chapter6a.html)

**Supervisor's endorsement:**

Supervisor's name:  Date:  /  /

Supervisor's signature:  Email:

**Section C: Review Panel Report to be completed by the Panel Convenor**

**Members of the Review Panel** (please note the candidate's supervisor cannot convene the panel)

Convenor of panel:	
Supervisor/s:	
Independent panel member/s:	
Other panel members (if applicable):	

Did all members of the review panel meet with the candidate? Yes  No

**Oral presentation:**

On what date was the oral presentation given?  /  /

Did the candidate provide a satisfactory oral presentation of at least 20 minutes? Yes  No

Did all members of the review panel attend the oral presentation? Yes  No

Comment on the quality of candidate's oral presentation addressing its structure, content, strengths, deficiencies, presentation skills, the candidate's understanding of the area of research and the ability to respond to questions and guidance from the review panel and wider audience. (If insufficient space below, please attach further information to this form)

**Written submission:**

**A copy of the candidate's written research proposal which was considered by the review panel should be attached to this form.**

Comment on the quality of candidate's written proposal addressing its structure, content, strengths, deficiencies, the candidate's understanding of the area of research and the ability to respond to questions and guidance from the review panel and wider audience. (If insufficient space below, please attach further information to this form)

Please indicate that the following minimum requirements for content in the written presentation have been met:

- |   |     |     |                          |    |                          |
|---|-----|-----|--------------------------|----|--------------------------|
| ▪ Title of thesis/research report   |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Statement of the research problem:  |     |     |                          |    |                          |
| ▪ Introduction  |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Research question or hypothesis   |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Subsidiary questions  |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Review of relevant research and theory                                      |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ The procedure   |     |     |                          |    |                          |
| ▪ Theoretical and conceptual framework  |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Analytical techniques and research design                                   | N/A | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Timetable for completing thesis/research report                             |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Statement of progress to date   |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ Brief bibliography  |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| ▪ List of publications produced during the review of candidature              | N/A | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| Have all departmental/faculty requirements for confirmation/upgrade been met? |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| Has the applicant attained qualifications at a H2A level or above?            |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| If No, is the applicant conducting research at a H2A level?                   |     | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

**Recommendation:**

**The review panel recommends the following action** (please tick as appropriate):

- |   |     |  |
|---|-----|--|
| Confirmation/upgrade of Candidature   |     | <input type="checkbox"/>                             |
| Confirmation/upgrade of Candidature after minor amendments to the research proposal                   |     | <input type="checkbox"/>                             |
| Confirmation/upgrade of candidature to be reviewed within 10 weeks (please complete section overpage) |     | <input type="checkbox"/>                             |
| If review after 10 weeks is recommended, have the amendments been made?                               | Yes | <input type="checkbox"/> No <input type="checkbox"/> |
| If yes, does the panel now recommend confirmation/upgrade?  | Yes | <input type="checkbox"/> No <input type="checkbox"/> |
| Confirmation/upgrade of Candidature is not recommended*   |     | <input type="checkbox"/>                             |
| Was this decision of the review panel unanimous?  | Yes | <input type="checkbox"/> No <input type="checkbox"/> |

If no, please detail individual recommendation from panel members:

**Convenor:**

**Main Supervisor:**

**Other Supervisor** (if applicable):

**Independent panel member:**

If confirmation/upgrade is to be reviewed within 10 weeks, please specify resubmission date and tasks to be addressed before confirmation of candidature is recommended:

**\*If the recommendation is not to confirm candidature, please see the template on page 3 for information required in the review panel report.**

**This report has been read by, and discussed with, the candidate.**

Candidate's name:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Candidate's signature:	<input type="text"/>	Email:	<input type="text"/>
Supervisor's name:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Supervisor's signature:	<input type="text"/>	Email:	<input type="text"/>
Panel Convenor's name:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Panel Convenor's signature:	<input type="text"/>	Email:	<input type="text"/>

**Section D: To be completed by Graduate Co-ordinator or Head of Academic Unit**

I support the review panel's recommendation above	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
I am satisfied that the confirmation process undertaken within the department meets the universities minimum requirements	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
The review panel membership meets the universities requirements (see page 3)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
I am satisfied that the candidate is familiar with the universities requirements for conduct of ethical research	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Name:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>	
Signature:	<input type="text"/>	Email:	<input type="text"/>	

**Checklist:**

Section A completed and signed by candidate	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Section B completed and signed by supervisor	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Section C completed and signed by Panel Convenor, candidate and supervisor	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Section D completed and signed by Head of Academic Unit/Graduate Co-ordinator	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Candidate's written submission including timetable attached	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
PhD application form attached (if applying to upgrade)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

**Forward this form and all required attachments to the relevant faculty for endorsement**

**Section E: Faculty endorsement**

Confirmation of Candidature/Upgrade to PhD is approved	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Signature:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>	

**Section F: Research Graduate School Committee endorsement**

Confirmation of Candidature/Upgrade to PhD is approved	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Signature:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>	

**This completed form should be submitted to:**

Monash Research Graduate School, Research Services

Building 3D, Clayton Campus, Wellington Rd  
Monash University, VIC 3800, Australia  
Telephone + 61 3 9905 3009 Facsimile + 61 3 9905 5042

Email [mrgs@adm.monash.edu.au](mailto:mrgs@adm.monash.edu.au) www.mrgs.monash.edu.au/

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