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Appendix A: Unit of Assessment Code
What this document is for?
To provide guidance to faculties in the recruitment and selection of research students, and to aid completion of the relevant Applicant recommendation form. The information in each section should be used as a reference when completing an Applicant recommendation form, or at other stages in the recruitment process as appropriate. The section numbers correspond with the sections of the Applicant recommendation form.

These guidelines have been compiled with reference to the QAA UK Quality Code for Higher Education: https://www.qaa.ac.uk/quality-code

This document provides advice and guidance for staff to ensure that the processes for attracting, recruiting and enrolling research students are clear, fair, explicit and consistently applied, in line with the expectations of the QAA and RCUK. Once the student is registered, the Research Degrees Regulations and Research Degrees Handbooks are the main point of reference for students and staff.

All Research Degrees documents referred to in this guidance can be downloaded from the Forms and Guidance page of the Graduate School Network (GSN) at: http://www.open.ac.uk/students/research/forms-and-guidance

Who should use this guide?
All staff involved in the recruitment and selection of research students.

Roles and responsibilities
Faculties are responsible for managing the recruitment and fair selection of research students in accordance with the QAA Quality Code and the Equality Act 2010. The guidance covers:

- Advertising specific studentships.
- Giving candidates access to academic staff to discuss research proposals and ideas prior to application, and providing information that will help candidates make an informed decision about applying for a research degree at The Open University.
- Ensuring that staff are trained in fair selection procedures, understand their obligations in relation to Equality and Diversity and are supported in upholding Equality and Diversity principles in their ongoing relationships with students.
- Logging applications and recording whether the applicant was offered an interview and/or registration with The Open University. When appropriate the data should be anonymized in compliance with the General Data Protection Regulations.
- Arranging interviews, informal visits and meetings with appropriately trained staff in accordance with the institutional framework determined by QAA Quality Code, the PGRS Strategy, and the fair selection process in place in the faculty
- Agreeing which faculty will lead in the management of a student, where the research topic spans two or more faculties.
- Assessing candidates’ eligibility to study against the standard regulatory requirements and/or those specific to the research discipline or studentship, fairly and consistently and against other candidates wherever possible.
- Checking evidence of qualifications, residency and visa status.
- Obtaining academic references.
- Ensuring that students are made aware of University policy relating to ethics review and intellectual property, and capturing any potential issues relating to ethics and/or Intellectual Property Rights on the Applicant recommendation form.
• Ensuring that the infrastructure is in place to support the student, including supervision, facilities and any contract/funding arrangements.

• Checking any contracts relating to a studentship and ensuring that the relevant information is relayed with the Applicant recommendation form.

• Checking that the proposed supervisors have the right to work in the UK and are adequately experienced and meet the academic standard detailed in this guide.

• Completing and submitting the Applicant recommendation form at the end of the selection process, if a candidate is successful, or advising the Research Degrees Team (RDT) in the Graduate School if a candidate is unsuccessful.

• Sending rejection letters to unsuccessful applicants.

• Ensuring that the correct HECoS codes are assigned to the research.

• Confirming whether or not ATAS is required for overseas students.

In this process, the RDT is responsible for:

• Handling general enquiries from applicants.

• Creating Personal Identifiers (PIs) for applicants.

• Supporting and advising faculty staff handling applications.

• Supporting and advising faculty staff in making adjustments for meeting the needs of students with disabilities/additional needs.

• Conducting NARIC (National Academic Recognition Information Centre) checks.

• Verifying SELTS (Secure English Language Test) and IELTS (International English Language Test) scores provided by applicants.

• Ensuring consideration of Applicant recommendation forms on behalf of the Research Degrees Committee.

• Sending offer letters to successful applicants.

• Ensuring that the appointment of supervisors is approved by the relevant regulatory authority.

• Arranging supervisor payments.

• Ensuring any contractual information relating to a studentship is relayed to the student in the offer letter.

• Keeping the central student record up to date throughout the process.

• Keeping the research degrees website and online prospectus up to date, to ensure candidates and staff access current and relevant documentation.

• Providing general advice and guidance to faculties on Tier 4 visas for applicants.

**Recruitment**

**Advertising Studentships**

The Research and Academic Strategy Unit funds general advertisements for student recruitment to raise awareness of Open University research degree provision.

Faculties advertise specific studentships from their own budgets via Human Resources. Studentships will be advertised on the OU jobs pages and can also be placed in journals, the national press, and on websites such as jobs.ac.uk and findaphd.com – as external advertising can be expensive, the faculty budget holder will make the decision on advertising activity. Advertisements should be checked for
any unintentional discrimination implications for the nine protected characteristics (gender, race, age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief, sexual orientation). Contact details should be given for requesting documentation in alternative formats, such as audio or large print.

Please notify the RDT when you are placing an advert, so that administrators can respond appropriately to any enquiries arising. If you are giving the RDT contact details in an advertisement, please quote the mailbox address (research-degrees-office@open.ac.uk) and the main office number (01908 654882) rather than giving the contact details for a specific adviser. This will ensure any enquiries coming into the RDT can be dealt with efficiently.

Transfers into The Open University

Any student applying to transfer in from another institution needs to be identified at an early stage to the RDT, particularly where there are specific funding or contract arrangements in place, or where the student has a Tier 4 visa. Faculties will need to include details of the student, their contract, funding and visa arrangements, and a copy of the release correspondence from the original institution, with the Applicant recommendation - Transfer form. Transferred-in students are subject to a probationary period at The Open University, regardless of how long they have been studying at their original institution.

Further guidance is available separately under ‘Registration transfers’ on the GSN at http://www.open.ac.uk/students/research/forms-and-guidance

Please note that registration transfer onto the EdD programme is not possible.

Other Means of Recruitment

Suitable candidates may also be identified via direct contact with heads of department at other universities, both in the early stages of the recruitment campaign and after final degree results have been announced. Personal and professional networks and/or websites also provide effective recruitment mechanisms.

EdD students are recruited via the EdD website: http://www.open.ac.uk/creet/main/postgraduate/doctorate-education.

Fair Selection

To ensure the Open University continues to meet its priorities for delivering world-leading research, it needs to be able to recruit the best quality research students from the wide range of applications it receives each year.

To achieve this there must be fair, robust and efficient recruitment and selection processes, which comply with the QAA Quality Code (http://www.qaa.ac.uk/publications/information-and-guidance), and best practice principles. In accordance with the University’s equality and diversity policies, applicants for research degrees will be treated solely on the basis of their merits, regardless of gender, colour, ethnic or national origin, age, background, disability, religious or political beliefs, family circumstance, sexual orientation or other irrelevant distinction.

The recruitment of research students is managed by faculties with support from the RDT, and processes may vary according to faculty. Decisions on selection are made at faculty level. A selection panel chair is responsible for ensuring the procedural integrity of the whole recruitment and selection process. The baseline criteria for all applications are:

- Quality of the proposal / alignment with an advertised studentship
- Alignment with OU and faculty research priorities
- Availability of supervisors with the appropriate levels of experience and expertise

It is recognised that selection activities will differ between faculties, and that often, recruitment will be a 'matching exercise' to find the best fit between a candidate’s proposed project, the research priorities of the faculty and the availability of supervisors with the necessary expertise and
experience. In all cases, a clear audit trail is required, to demonstrate that fair selection has taken place.

Interviews

Candidates must be interviewed by a panel comprising experienced staff and not exclusively the prospective supervisors. Candidates should be given an overview of the work of the academic unit, which may take the form of an information pack, tour or talk, or units may put on an open day for enquirers prior to selection for interview. Where practicable, it is good practice to give applicants the opportunity to meet a range of academic staff and research students for informal discussion as well as the formal interview. For full-time applicants it is helpful to include a discussion about the practical aspects of living and working in Milton Keynes.

Applicants being interviewed for funded studentships should be made aware of any funder-specific Terms and Conditions relating to the studentship which would override the standard OU Terms and Conditions. This might include, for example, time off, payment arrangements, maternity / sickness policy etc. Please contact the RDT if you need advice on how specific terms and conditions might impact on the offer made to the successful candidate.

When interviewing part-time students or those who will be applying for a residency waiver the arrangements for access to suitable research facilities must be agreed.

Faculties are expected to meet any claims for interview expenses from their own budgets. Generally, expenses are only paid for travel within the UK, and interviews with students who are resident overseas are conducted by videoconference or Skype.

General guidance on good practice in giving interviews is available at: https://www.ucas.com/providers/good-practice

It is useful to identify any skills gaps or training needs at interview, to support the applicant in preparing for study in good time.

Disabled Applicants

Applicants who are disabled will not be treated less favourably than non-disabled applicants because of their disability or a reason related to their disability. Under the Equality Act 2010, the University has a duty to make reasonable adjustments to the recruitment process to enable a disabled applicant to compete fairly with other applicants. Applicants should be asked in the invitation to interview whether they require any adjustments to be made to enable them to participate fully in the interview.

Once an offer of registration is made, further assessment of the applicant’s study needs and possible adjustments will be required. There is no specific guidance on what constitutes a ‘reasonable’ adjustment – needs will vary according to individual students, their mode of study and type of research.

Guidance to aid supervisors, research degrees advisers and faculty staff with the referral of queries to specialist staff for advice and support is available on the GSN at: http://www.open.ac.uk/students/research/forms-and-guidance

Please contact the RDT for further advice and support.

Overseas applicants

For specific advice on immigration matters, please refer to the applicant to the UK Visa and Immigration (UKVI) (https://www.gov.uk/government/organisations/uk-visas-and-immigration).

For information on The Open University Policy regarding UKVI compliance please refer to the Tier 4 Procedures for further information.

Good Practice Model (PhD recruitment)

Faculties are responsible for ensuring that all staff responsible for handling applications are
trained in fair selection. Suggestions for good practice might include, but are not limited to:

- Screening advertisements for any unintentional bias towards or against certain groups of people
- Asking interview candidates to indicate any reasonable adjustment required for interview in respect of any disability
- Including senior staff (DPGS, ADR) where practical and appropriate, and at least one academic or research fellow, both trained in fair selection, on the interview panel. Some faculties include at least one of the proposed supervisors on the panel. Ideally, the chair should be the same person throughout the process, and it is good practice to use the same panel members in a recruitment round, although in some faculties, different specialist expertise will be required according to the proposed research project. All members of the interview panel should have undertaken the University’s fair selection training.
- Asking similar generic questions of all candidates, focused on, for example, the academic suitability of the candidate for the research, the likelihood of timely completion and the design and process of the writing task. A scoring system may be helpful, such as that described in the *Effective Recruitment and Selection produced by People Services*. It is recognised that different projects will require different lines of questioning, but evidence of fair selection will still be required.
- Keeping notes in case of further enquiry by the applicant

Training sessions on recruitment and selection, including online modules, are advertised on Learning Management System (LMS) on the OU intranet, and may be helpful for staff involved in recruiting students.

**Funding Models**

This document provides an overview of the different funding models available for funded research degrees. It is not exhaustive and some flexibility is possible, depending on the funding source. A studentship can be funded by more than one funding source. The RDT can provide further advice and guidance. An entry on the Award Management System (AMS) will need to be completed where external funding is being arranged; please flag any studentships to the RDT as early in the process as it is feasible.

**Funding Arrangements**

Funding can come from a Research Council, company, government organisation, project, grant, doctoral loan or charity. Refer to the Research Council website for specific details of funded studentships being offered. Candidates who meet the criteria for the funding should be nominated for any external award first so that any available funding can be offered to another candidate.

In addition, studentships can be:

- Funded by an Open University faculty. Practice in most academic units is to decide the award on the basis of nominated candidates, availability of supervisors with the relevant expertise, and research priorities.
- Part-funded, using internal funding to match external funding. The aim of this scheme is to increase the level of external studentship funding by encouraging organisations which could not afford the full cost of a studentship, or for whom the fact that the University is committing some of its own resources is a deciding factor in whether they can release funding. The internal funds required will vary according to the nature of the project and the external organisation. This scheme should be used to attract increased external sponsorship and should not be used where the external organisation could be persuaded to provide funds for a full studentship.

The external body will normally be expected to contribute towards University fees. The balance of funding from the external organisation and the OU should be negotiated, but it is likely to be one of the following combinations:
• Fees and stipend
• Fees or stipend
• Percentage of each

The Graduate School can provide guidance on negotiating collaborative arrangements.

Additional Costs
Each studentship should have any additional funding clearly articulated at the outset, e.g. to cover travel, accessing archives, lab costs and field work.

Contracts
If a studentship is subject to a particular contract, the RDT will need to produce a specific offer letter to the applicant which describes any variance from the standard terms and conditions of registration. In assessing an Applicant recommendation form where a contract is involved, the RDT will be particularly looking for issues which would impact on the student’s ability to study and progress which differs from the norm, for example:

• Arrangements for assessing probation and progress reporting
• Terms and conditions laid down by the funder in relation to suspended registration, sickness, maternity, etc.
• Minimum and maximum permitted registration periods
• Supervision arrangements throughout the student’s registration
• Stipend payments, grants, travel expenses, etc.
• Examination arrangements

A studentship contract template is available from CLS; the Graduate School can advise on matters relating to terms and conditions of registration.

As a consequence of complex funding, contractual and immigration arrangements, offers can take some time to confirm. Due diligence of potential partner institutions is an essential part of the process along with the academic arrangements (http://intranet6.open.ac.uk/research-academic-strategy/main/sites/intranet6.open.ac.uk.research-academic-strategy.main/files/files/ecms/webcontent/B2-2-Due-diligence.pdf).

Please contact the Graduate School as early as possible to discuss your requirements.

Enquiry Handling

Application Form
The RDT is responsible for publishing and updating the application form on the GSN and on the University intranet. Applicants download a form from the website and should send it to the appropriate faculty together with the required documentation.

Selection Outcomes
If there is any doubt about an applicant’s suitability for postgraduate research study, whether on academic or administrative grounds, faculties should contact the RDT early on in the process, and before submitting an Applicant recommendation form.

If an applicant is successful in the selection process, faculties must complete and submit an Applicant recommendation form to the RDT.

If an applicant is unsuccessful, either before or after interview the faculties should contact the applicant in writing as soon as possible to advise the outcome, providing as much detail as possible regarding the reasons for rejection.
Candidates who have been unsuccessful may wish to ask for more information about why they were not offered a place, so it is helpful to keep a detailed record. A record of unsuccessful applications will need to be kept for a period of two years following the date of rejection. Following the two year period the data should be minimised, anonymised and kept for reporting purposes.

For statutory reporting purposes the reason for rejection will need to be recorded in CIRCE, using one of the following options that best represents the outcome for the applicant:

- AA Application doesn’t include a proposal
- AB Application doesn’t include a satisfactory proposal
- AC Applicant doesn’t meet UK research requirement
- AD Faculty does not support area of research
- AE Applicant does not meet minimum entry requirements
- AF Described study would not lead to a research degree
- AG Faculty rejects application (only for use where there is really no suitable alternative)
- AH Application received too late
- AI No supervisor available with expertise in proposed area
- AJ Full-time studentship not available
- AL Other applications were stronger
- AK Other (please give details)

Completing the Applicant recommendation form

Please ensure that the correct Applicant recommendation form is completed. Please complete the details in full. Most of the form is self-explanatory. Clarification as to what is needed elsewhere is given below. If you have any questions please contact the RDT.

In order for RDT to have adequate time to process applicant recommendations and complete associated activities the following deadlines for receiving completed forms are as follows:

<table>
<thead>
<tr>
<th>Registration Start Date</th>
<th>Applicant recommendation form to reach RDT fully completed no later than (Home/EU):</th>
<th>Applicant recommendation form to reach RDT fully completed no later than (Overseas):</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st October</td>
<td>30th June</td>
<td>31st May</td>
</tr>
<tr>
<td>1st February</td>
<td>30th November</td>
<td>30th October</td>
</tr>
</tbody>
</table>

Applicant details

Name of Applicant

Please complete the full name of the applicant as provided in their identification document. Where a student has changed their name such that it is different from the name on the qualifications official documentations supporting the change of name (e.g. a marriage certificate) should be provided.

Personal Identifier

The RDT will create a PI for each applicant, if they do not already have one.

Overseas students (non-EEA) only

Biometric Number

All overseas students are required to have a Biometric Residence Permit. Where the student is already resident in the UK they may already have a biometric number related to their visa.
Length of time spent studying in the UK

This information is required to ensure that there is no breach of Immigration Law. Overseas students are only permitted to remain in the UK for limited time periods. The total time allowed depends on the degree course.

Dependents

Overseas students intending to bring dependents into the country must be able to demonstrate that they have the funds available to support them. If they have a grant, this may be used as contributory evidence but may not be sufficient.

Programme details

Proposed start date

The main application period for MPhil/PhD students is November to March. For EdD students, it is currently August to November. MPhil/PhD students should normally start on 1st February or 1st October. EdD students currently start on the 1st May but are expected to start on 1st October from 2019.

Agreement for student to register at other times of the year will only be approved in exceptional circumstances and a case must be made to the Graduate School Director. Careful consideration should be given to the student’s ability to attend induction and other university training events if they are to start at other times of the year. Provision must be made to ensure that students who do not start in February or October are not unduly disadvantaged.

Proposed registration period

This relates to the registration period, not the funded period. The standard registration period for a full-time student is 4 years, and 8 years for part-time. It is recommended that research degrees be structured with the expectation of completion in the stated study period below:

<table>
<thead>
<tr>
<th></th>
<th>Minimum</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>MPhil</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>15 months</td>
<td>48 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>24 months</td>
<td>96 months</td>
</tr>
<tr>
<td>PhD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>24 months</td>
<td>48 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>36 months</td>
<td>96 months</td>
</tr>
</tbody>
</table>

There are no exemptions from the minimum periods of study, and registration cannot be backdated to take account of any research applicants may have already done.

The registration ‘clock’ does not stop unless a student has suspended their registration.

Where a student changes their mode of study, the time already spent studying will be taken into account when determining the new maximum registration date.

Unit of Assessment (UoA)

The UoA can be found in Appendix A.

HECoS codes

This information categorises the applicant in line with the University’s statutory reporting requirements and enables us to gain an accurate profile of our student body, benchmarked against other universities.

It is important to use the most accurate code available that reflects the research topic.

HECoS codes are available from https://www.hesa.ac.uk/innovation/hecos

You can select up to three HECoS codes to accurately reflect the research topic. Where more than one
HECoS code is selected then it is important to indicate the percentage of time allocated to each subject represented by each code e.g. 50%.

If you can’t find the appropriate code for the research topic, please contact your ADR (or delegate) for advice.

**Approved Technology Award Scheme (ATAS)**

The Academic Technology Approval Scheme (ATAS) is to help stop the spread of knowledge and skills that could be used in the proliferation of weapons of mass destruction (WMD) and their means of delivery. The scheme is designed to ensure that those applying for postgraduate study in certain sensitive subjects do not acquire knowledge that could potentially be used in WMD programmes. UK, EEA and Swiss nationals do not currently need an ATAS certificate.

For applicants who are not UK, EEA or Swiss nationals, the CAH3 code you give us on the Applicant recommendation form will determine whether an ATAS certificate will be required. More information is at: [https://www.gov.uk/guidance/find-out-if-you-require-an-atas-certificate](https://www.gov.uk/guidance/find-out-if-you-require-an-atas-certificate)

The RDT is responsible for providing the electronic documentation students need in order to apply for ATAS clearance. This process can take up to eight weeks. If an ATAS certificate is required, please include a 300 word summary of the project proposal and thesis title. Please note that when an applicant submits an ATAS request to the Foreign & Commonwealth Office it can take up to eight weeks to receive a reply.

**Non-book thesis**

Some subjects may carry the opportunity for students to submit non-book media, and applicants may wish to discuss the regulations at interview. Where there is a possibility that a student will want to submit non-book media, it is vital that this is captured early, so that the student can be advised appropriately throughout their studies.

The University’s research degree regulations provide for the submission of theses containing ‘non-book’ media in conjunction with the written (‘book’) part of a thesis.

The term ‘non-book’ refers to material of a non-printed text form. This can include, but is not limited to, digital media, film, audio files, drawings and software. Where possible, digital non-book contributions should comply with existing standards appropriate for the type of media (e.g. 3D, hypertext, image audio). The library can give advice on media standards.

Further guidance is on the GSN at [http://www.open.ac.uk/students/research/forms-and-guidance](http://www.open.ac.uk/students/research/forms-and-guidance)

**Ethics review**

At interview stage, applicants may not be aware of the significance and importance of ethical review, or if their research is likely to require it. However, it is good practice to make them aware of The Open University approach to ethics review and refer them to the guidance at [http://www.open.ac.uk/research/ethics/](http://www.open.ac.uk/research/ethics/)

The level of detail will be at the discretion of the interview panel and potential supervisors.

Similarly, candidates may find the University policy on intellectual property (IP) useful, especially if they are being funded by a commercial organisation with a vested interest in the research outputs. Having these conversations at interview stage may help identify any ethical, contractual, or IPR issues which would need to be articulated in the offer letter to the student.

**Intellectual Property Rights (IPR)**

New students are required to assign their IPR to the Open University unless they are bound by an IP agreement with a third party, such as a sponsor. This policy gives students the same rights as staff to a share of any money made from the commercialisation of their research results. Research students hold the copyright to the text of their thesis. This should be articulated to the applicant at interview and will be confirmed in their offer letter. The Conditions of Registration for PGR students outlines the IPR policy for applicants and registered students, and they are asked to read this before accepting an offer.
of registration.

Record of Selection Process

This section is to confirm that the recruitment guidelines have been followed in the selection of the student.

Academic entrance requirements

The normal minimum entrance requirement is an upper second class honours degree or Master’s degree, relevant to the proposed area of study, from a recognised higher education institution in the UK (or equivalent).

Applicants should also have experience of academic research in the previous four years, normally in the form of either a Master’s degree in research methods, an undergraduate degree with a research element in the final year, or work-related experience with evidence through research reports.

Recommendations for all applicants, and especially those who are not UK graduates or who hold other qualifications, must be supported by evidence (e.g. details of publications) and a detailed statement that the applicant has an adequate academic background, is capable of undertaking postgraduate level research, and has been assessed against clear criteria.

Please note that all applicants will be required to provide the original certificates of academic qualifications at or prior to registration. Where the qualification is from outside the UK, it is a requirement that the RDT undertakes a UK NARIC check. UK NARIC is the National Agency with designated responsibility in providing advisory services on comparing international qualifications. Any document that is not in English or Welsh must be accompanied by a certified translation. The translator’s credentials should be given along with their official declaration that the translation is accurate.

English language requirements for academic assessment

Where English is not the applicant’s first language, the applicant must demonstrate sufficient proficiency in the English language to support successful study at research degree standard. It is usual to require IELTS scores that meet the minimum requirements of 6.5 overall score, and no less than 6.0 in any of the four elements (reading, writing, listening and speaking). Exceptions may be approved by the Graduate School Director upon the provision of equivalent evidence by the students.

Applicants who are applying for a Tier 4 visa must have achieved SELTS (Secure English Language Test) from a UK Visa & Immigration-(UKVI) approved provider. UKVI approved providers are listed at: https://www.gov.uk/government/publications/guidance-on-applying-for-uk-visa-approved-english-language-tests

Applicants from a majority English speaking country or who have completed their degree in a majority English speaking country as detailed below, will not require IELTS. Please note that this list applies to students applying for a Tier 4 visa. Where a student is not applying for a Tier 4 visa the list of countries whose Higher Education system provides tuition in the English language is more extensive. In all cases academic staff should satisfy themselves that the candidate’s level of English language is sufficient for PhD study.

a) They are from one of the following majority English speaking countries.

- Antigua and Barbuda
- Australia
- The Bahamas
- Barbados
- Belize
- Guyana
- Jamaica
- New Zealand
- St Kitts and Nevis
- St Lucia
b) They have taken a degree in the UK or one of the following majority English speaking countries.

<table>
<thead>
<tr>
<th>Country</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Antigua and Barbuda</td>
<td>Jamaica</td>
</tr>
<tr>
<td>Australia</td>
<td>New Zealand</td>
</tr>
<tr>
<td>The Bahamas</td>
<td>St Kitts and Nevis</td>
</tr>
<tr>
<td>Barbados</td>
<td>St Lucia</td>
</tr>
<tr>
<td>Belize</td>
<td>St Vincent and the Grenadines</td>
</tr>
<tr>
<td>Dominica</td>
<td>Trinidad and Tobago</td>
</tr>
<tr>
<td>Grenada</td>
<td>United States of America</td>
</tr>
<tr>
<td>Guyana</td>
<td></td>
</tr>
</tbody>
</table>

**Confirmation**

The agreed signatory, e.g. the Associate Dean (Research) or delegate, will be asked to confirm that fair selection has taken place, that adequate arrangements will be in place to support the student throughout their studies, and that the candidate is suitable for postgraduate research. The Associate Dean (Research) or Director of Postgraduate Studies is responsible for confirming whether or not ATAS is required.

**Residency requirements**

There is a strong correlation between students’ experience and their research environment and location. The Open University wishes to ensure that any research student living at a distance from the Milton Keynes campus can engage fully with the research environment and have the best possible chance of success. A residency requirement is set to prompt full consideration of this intention, before an offer of registration is made.

Applicants for full-time MPhil/PhD research study should live within easy commutable distance of the Milton Keynes campus, to ensure they can engage fully with their research and University life in general, that they have regular contact with their supervisor(s), academic staff and other students, and that they can participate in training activities. Typically, this means living within a radius of approx. 40 miles or 40 minutes travel time.

Applicants for part-time research study must be resident in the UK for the duration of their studies. Exceptionally, this requirement may be waived for non-UK-based applicants, or for full-time or part-time UK-based students undertaking essential fieldwork overseas, where it can be demonstrated that adequate and regular arrangements for supervision can be made. Students will still be required to make regular visits to the UK at their own expense, and all research degree examinations take place in the UK. Part-time EdD students may reside anywhere in the world.

Exceptionally, where a suitable applicant lives outside an ‘easily commutable distance’ of Milton...
Keynes, and needs to remain there while studying, for example to have regular access to certain facilities, libraries or services, a case should be made to the Graduate School Director to waive the residency requirement. The arrangements for integrating the student into the research environment must be set out in the Applicant recommendation form. Please note that Tier 4 students are not eligible for Residence waivers and no exceptions will be made.

Research students based outside the UK, or those who do not meet the criteria to be classified as a ‘Home’ or ‘EU’ student may be required to pay enhanced fee levels to offset the absence of HEFCE funding. Precise criteria are used to define a ‘Home’, ‘EU’ or ‘Overseas’ student and there are implications of classifying a student on fees and funding levels. If an applicant is not sure which fee rate they would be subject to, please ask them to contact the RDT for advice.

**Full-time student living arrangements**

Please indicate the type of accommodation the applicant is intending to live in while studying – this information does not have to be concrete at this stage.

**Proposed Supervisory Team**

Heads of School are responsible for managing the workload of supervisors in their faculty and for ensuring that students will be properly supervised. Associate Deans (Research) should satisfy themselves that adequate arrangements are in place to supervise the student, and that the proposed supervisors have the right to work in the UK, before submitting an Applicant recommendation form.

The Graduate School Director is responsible for approving and confirming supervisor appointments. Proposed supervision teams and individual supervisors should meet the regulatory requirements – Research Degree Regulations:

A Supervisor CV is required for all supervisors which outlines their supervisory experience to date. You should indicate the lead supervisor on the Applicant recommendation form – this is a requirement of the Quality Assurance Agency for Higher Education (QAA).

To facilitate professional development where a member of staff needs to gain experience of supervision, or if a student’s project goes across several areas, a third internal supervisor can be named. An ‘industrial supervisor’, i.e. a supervisor from an industrial or commercial setting, rather than an academic one, can be appointed in addition to the core team, to provide specific expertise.

The agreed signatory who submits the completed Applicant recommendation form (usually the Associate Dean (Research) or delegate) is responsible for ensuring that the appropriate approval has been obtained for any proposed supervisor who is not based in their own academic unit. The agreed signatory should not put forward any external person who has not provided a photocopy or scanned copy of proof of their right to work in the UK.

**Right to work in the UK**

The Open University is required by law to ensure that anyone appointed to undertake work on its behalf has the right to work in the UK. External supervisors are asked to provide a copy (scanned copy or photocopy) of their passport or other form of documentation with their CV. Before confirming their appointment, we ask that the external supervisor also visit the RDT in Milton Keynes before their first supervision meeting to show us their original documents for checking. Alternatively, they can present their documents at any of The Open University’s regional or national centres before the date of the first supervision meeting (an appointment is normally required). For UK citizens and EEA nationals, the preferred form of documentation is a passport; further guidance on acceptable forms of documentation, and who to contact, is on the Graduate School Network at:

[http://www.open.ac.uk/students/research/forms-and-guidance](http://www.open.ac.uk/students/research/forms-and-guidance)

If a supervisor is going to be based outside the UK and Republic of Ireland, and won’t be coming to the UK, they will need to be appointed and paid via their home institution where possible. If this is not possible, it may be possible to contract them via an external agency, but there are costs associated with this which must be met by the Faculty. Please contact the RDT to discuss your requirements.
Thank you for your assistance in ensuring our continued compliance with this requirement.

**Fees and Funding for MPhil/PhD Students**

This section should be completed as fully as possible to avoid any delay processing the application. Where a student is to be externally funded please refer to the Framework and Guidance on External Collaboration. Please note the importance of due diligence when working with a new funder/partner.

Students must receive the full grant and any allowance(s) to which they are entitled as outlined in their terms and conditions.

**Fee liability**

When an applicant accepts an offer of registration, their fee liability will be recorded in CIRCE, either for internal accounting, or for invoicing to the student.

**Funds for research costs**

Faculties should ensure sufficient funds are available for the research project for which the student is to be registered, including the training grant of £200 now incorporated into full-time and part-time student fees.

**Account codes**

HG account codes should be in place for externally-funded applicants before an offer of registration can be made, although it is recognised that in some cases, a contract may take time to arrange. Faculties are asked to keep the RDT informed as early as possible where a contract is being arranged. The RDT will need the AMS number, the contract number and the CLS number for all externally funded studentships.

Please note that it is University policy that no students can be registered until the associated contract has been agreed and signed by all parties.

**Research student ID**

HESA assigns a Research student ID to every student in receipt of funding. This is sent to faculties once funding is agreed. If you have the Research student ID for the applicant, please enter it on the form.

**Research Council awards**

If the applicant is being nominated for a Research Council award, please refer to the relevant Research Council handbook. All Research Council awards have citizenship and residence restrictions, and many require the applicant to be either a UK citizen, or to have lived in the UK for at least three years for non-study purposes. Please contact the RDT for advice if there is any doubt about an applicant’s eligibility for an award. You should tell the applicant if there are particular Terms and Conditions which differ from the OU standard Conditions of Registration for PGR Students, for example relating to leave, payment dates, sickness and maternity.

**Je-S records**

Je-S is the Joint Electronic Submission service used to collect information about students and research grants, and is used by Research Councils to provide their communities with electronic grant services. The RDT creates a Je-S record for the applicant once they are approved for registration, using information provided on the Applicant recommendation form.

**Supporting Statement**

This section is for faculties to summarise the applicant’s unique suitability for postgraduate research study, and to confirm that the necessary infrastructure is in place to support the student, in terms of
supervision, funding, facilities, training and support, and fit with research strategy. Please provide a
detailed statement that relates directly to the applicant rather than simple confirmation of the points
listed. You are asked to confirm that the applicant meets the minimum level of English required for all
postgraduate study as described above.

If selection has been conducted against a faculty-specific checklist or set of criteria, please give details
and/or attach copies of any relevant documents that provide evidence of fair selection. It is good
practice to use a checklist to verify that fair selection has taken place.

If one or more of the student’s supervisors belong to another faculty, a short statement from that faculty
about supervision arrangements should be included in this section.

Research facilities

The University will agree in advance with prospective students what facilities the university will provide
to support their research and what needs to be provided externally. This might sometimes include
accessing OU facilities at Walton Hall, but where costs are involved, this should be budgeted for and
agreed in advance with the student.

Research training

Professional development is a vital part of a MPhil/PhD and it is important to think about development
needs early on. Applicants should have a training needs analysis conducted to identify any significant
gaps that need to be addressed, at the beginning of the student’s registration. Training resources are
made available to students on the GSN when they first register.

Submission and Approval

The Applicant recommendation form should be submitted to the RDT by the agreed signatory, usually
the Associate Dean (Research), or their delegate. By submitting this form, the signatory is confirming that:

- The Research student recruitment guidelines have been followed in recruitment of the student
- The infrastructure, facilities and supervision to support the student are in place, if the student
  is to be based away from Walton Hall the faculties must assure themselves as to the suitability of the
  research facilities to be used by the student
- The proposed supervisors meet the requirements as outlined in the Research Degrees
  Regulations
- The applicant meets the academic and residency requirements
- Any contract and funding arrangements are in place
- Any proposed external supervisors have provided copies of evidence of their right to work in the
  UK
- HECoS and CAH3 codes have been considered and any requirements for ATAS have been confirmed

The Applicant recommendation form is subject to the approval of the Graduate School Director.

Attachments

A checklist is provided on the Applicant recommendation form.

Proposal

The requirements for any proposal to be submitted as part of the application process must be stated
in the studentship advertisement and the faculty’s entries in the research degrees prospectus. Where
a research proposal is not required it is expected that the student will provide evidence, perhaps in a
cover letter as to why their application for an existing project should be considered.

References

Two independent referees’ reports are required and may be requested before or after interviews.
References must be rated against clear criteria, including academic achievement, academic potential, originality, judgement, aptitude for postgraduate research and the referee’s general recommendation.

Evidence for visa application

Please attach copies of all documents being used as evidence to support the visa application.

Resources

For advice and support before submitting a recommendation please contact the RDT on 01908 654882 or email research-degrees-office@open.ac.uk

The RDT can also advise on the recruitment of non-EEA applicants requiring a visa under Tier 4 immigration controls.

The Research Degrees prospectus and latest fees are at: http://www.open.ac.uk/postgraduate/research-degrees

Application forms can be downloaded from the GSN at: http://www.open.ac.uk/postgraduate/research-degrees

Research Council handbooks:

- AHRC: https://ahrc.ukri.org/
- BBSRC: https://bbsrc.ukri.org/
- EPSRC: https://epsrc.ukri.org/
- ESRC: https://esrc.ukri.org/
- NERC: https://nerc.ukri.org/
- STFC: https://stfc.ukri.org

Studentship contract template

A contract template is available. Please contact the RDT to discuss your requirements.
# Appendix A: Unit of Assessment codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Department</th>
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<tbody>
<tr>
<td>01</td>
<td>Clinical Medicine</td>
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<tr>
<td>02</td>
<td>Public Health, Health Services and Primary Care</td>
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<tr>
<td>03</td>
<td>Allied Health Professions, Dentistry, Nursing and Pharmacy</td>
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<tr>
<td>04</td>
<td>Psychology, Psychiatry and Neuroscience</td>
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<td>05</td>
<td>Biological Sciences</td>
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<td>06</td>
<td>Agriculture, Veterinary and Food Science</td>
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<td>07</td>
<td>Earth Systems and Environmental Sciences</td>
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<td>08</td>
<td>Chemistry</td>
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<td>09</td>
<td>Physics</td>
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<td>10</td>
<td>Mathematical Sciences</td>
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<tr>
<td>11</td>
<td>Computer Science and Informatics</td>
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<tr>
<td>12</td>
<td>Aeronautical, Mechanical, Chemical and Manufacturing Engineering</td>
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<tr>
<td>13</td>
<td>Electrical and Electronic Engineering, Metallurgy and Materials</td>
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<tr>
<td>14</td>
<td>Civil and Construction engineering</td>
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<tr>
<td>15</td>
<td>General Engineering</td>
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<tr>
<td>16</td>
<td>Architecture, Built Environment and Planning</td>
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<tr>
<td>17</td>
<td>Geography, Environmental Studies and Archaeology</td>
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<td>18</td>
<td>Economics and Econometrics</td>
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<td>19</td>
<td>Business and Management Studies</td>
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<td>20</td>
<td>Law</td>
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<td>21</td>
<td>Politics and International Studies</td>
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<td>Social Work and Social Policy</td>
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<td>23</td>
<td>Sociology</td>
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<td>24</td>
<td>Anthropology and Development Studies</td>
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<td>Education</td>
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<td>Sport and Exercise Sciences, Leisure and Tourism</td>
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<td>Modern Languages and Linguistics</td>
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<td>English Language and Literature</td>
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<td>History</td>
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<td>Classics</td>
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<td>32</td>
<td>Philosophy</td>
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<td>33</td>
<td>Theology and Religious Studies</td>
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<td>34</td>
<td>Art and Design: History, Practice and Theory</td>
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<td>35</td>
<td>Music, Drama, Dance and Performing Arts</td>
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<tr>
<td>36</td>
<td>Communication, Cultural and Media Studies, Library and Information Management</td>
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</tbody>
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