Application Recommendation Form   
for a Research Degree

PhD, MPhil and   
PhD by Published Works

UK Citizen

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| **PLease Refer to THE *Research student recruitment guidelines* AND the guidelines on pages 10 to 13 of this document before completing this form.**  Incomplete forms cannot be actioned. Please ensure that all sections on all pages are completed. | | |
| **1. Applicant details** | | |
| Name of applicant | |  |
| Personal Identifier | |  |
| Nationality | |  |
| Passport Number  Please indicate other form of identification | |  |
| **2. Programme details** | | |
| Programme of study  Discipline(s) or Department | | PhD  MPhil  PhD by Published Works |
| Title of proposed research topic | |  |
| Mode of study | | Full-time  Part-time |
| Proposed start date | | /     / |
| Proposed end date  (based upon maximum registration period for the degree) | | /     / |
| Unit of Assessment (UoA) <https://www.ref.ac.uk/panels/units-of-assessment/> | |  |
| Student HESA Cost Centre code <https://www.hesa.ac.uk/support/documentation/cost-centres/2012-13-onwards> | |  |
| HECoS code(s) (*you can enter up to three codes*) <https://www.hesa.ac.uk/support/documentation/hecos>  Verified by | | Name:  Position: |
| Is the applicant likely to submit a thesis with a non-book component (as described in the Research Degree Regulations  RD17.7-RD17.8)? | | Yes  No |
| Will the research require an ethics review? | | No  Not sure at this stage  Yes – please give details: |
| What will the IPR arrangements be?  *(Any contract must be approved before the student is registered)* | | Standard arrangements, the applicant will assign the IP to the OU  Applicant is bound by an IP agreement with a third party  Other IP arrangements are in place (please give details:      ) |
| **3. Record of selection process** | | |
| Does the applicant meet the academic entrance requirements? | | Yes  No  If ‘Yes’ please give details of the qualification upon which you are recommending admission  Degree level  Degree subject  Awarding body  Award year  If ‘No’, please give details of the applicant’s relevant qualifications and/or experience: |
| If the qualification upon which admission has been recommended is not from a HEI in the UK | | Has an ENIC (previously NARIC) check been done?  Yes  No  Do we have a copy of the qualification accompanied by a certified translation?  Yes  No |
| How was the applicant interviewed? | | In person  Telephone  Videoconference |
| Do you confirm that:   * The Research student recruitment guidelines have been followed * The infrastructure, facilities and supervision to support the applicant are all in place | | Yes  No  Yes  No |
| Will the applicant meet the residency requirements?  (i.e. within approx 40 miles/40 minutes travelling time from Milton Keynes for full-time and within the UK for part-time) | | Yes  No  If ‘No’, please provide a case for a waiver of the regulations and describe arrangements for supervision and active integration into the research environment and discipline. Also include details for managing expectations in regard to what it means to undertake a PhD at a distance, clearly outlining the need for proactive engagement on the part of the student |
| **Applicants to full-time study only**  Where is the applicant intending to live during their studies?  (required by HESA) | | Home of parent or guardian  Own home  Rented accommodation  Private-sector halls  Other |
| **4. Proposed supervision team** | | |
| **a. Lead supervisor** | | |
| Title  Full name  Discipline  Post held  Regional location (if applicable)  Extension number  Email address  Staff number | |  |
| **Number of research degree students supervised and examined**  \*Supervised to completion means from registration to award of degree | | |
| Currently supervising  Previously supervised to successful completion  Previously examined  Please give details of supervision/examination of any non-UK research degree students | | UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD |
| **Independence of Lead Supervisor** | | |
| **Please note any potential conflicts of interest that should be brought to the attention of the Graduate School Director** (please see the *Research Degree Regulations Appendix 4* which provides a non-exhaustive list of potential conflicts)  No  Yes (please list) | | |
| I have read, and will abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students’?  Yes  No | | |
| I have attended Open University supervisor training (See RD 5.12)  Yes on       (date/year)  No, I will attend within 12 months of the student’s registration | | |
| **b. Internal supervisor** | | |
| Title  Full name  Discipline  Post held  Regional location (if applicable)  Extension number  Email address  Staff number | |  |
| **Number of research degree students supervised and examined**  \*Supervised to completion means from registration to award of degree | | |
| Currently supervising  Previously supervised to successful completion  Previously examined  Please give details of supervision/examination of any non-UK research degree students | | UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD |
| **Independence of Internal Supervisor** | | |
| **Please note any potential conflicts of interest that should be brought to the attention of the Graduate School Director** (please see the *Research Degree Regulations Appendix 4* which provides a non-exhaustive list of potential conflicts)  No  Yes (please list) | | |
| I have read, and will abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students’?  Yes  No | | |
| I have attended Open University supervisor training (See RD 5.12)  Yes on       (date/year)  No, I will attend within 12 months of the student’s registration | | |
| **c. External Supervisor (delete if not required)** | | |
| Title  Full name  Address  Institution  Post held  Telephone number  Email address  Date of Birth  Does external supervisor live in the UK and have a UK bank account?  If no, please provide confirmation from the institution that they will invoice us. | | Yes  No  Provided |
| **Number of research degree students supervised and examined**  \*Supervised to completion means from registration to award of degree | | |
| Currently supervising  Previously supervised to successful completion  Previously examined  Please give details of supervision/examination of any non-UK research degree students | | UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD |
| **Independence of External Supervisor** | | |
| **Are there any potential conflicts of interest that should be brought to the attention of the Graduate School Director** (please see the *Research Degree Regulations Appendix 4* which include a non-exhaustive list of potential conflicts)  No  Yes (please list) | | |
| I have read, and will abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students’?  Yes  No | | |
| **d. Industrial Supervisor (delete if not required)** | | |
| Title  Full name  Address  Company  Post held  Telephone number  Email address  Date of Birth | |  |
| **Number of research degree students supervised and examined**  \*Supervised to completion means from registration to award of degree | | |
| Currently supervising  Previously supervised to successful completion  Previously examined  Please give details of supervision/examination of any non-UK research degree students | | UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD  UK MPhil UK PhD UK PD |
| **Independence of Industrial Supervisor** | | |
| **Are there any potential conflicts of interest that should be brought to the attention of the Graduate School Director** (please see the *Research Degree Regulations Appendix 4* which include a non-exhaustive list of potential conflicts)  No  Yes (please list) | | |
| I have read, and will abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students’?  Yes  No | | |
| Do you confirm that:   * The supervision team satisfies the minimum required level of experience * The supervisors have read the Supervision Policy * The external supervisors have the right to work in the UK are aware of the requirements for document checking * If there are 4 or more supervisors, please provide a rationale for each supervisor. | | Yes  No  Yes  No  Yes  No |
| **5. Fees and funding** | | |
| Funding source | | Please tick appropriate box(es)  Self-funded  *Complete box A*  Internally funded  *Complete section(s) B and D if applicable*  Externally funded  *Complete section(s) C and D if applicable* |
| **A: Self-funded** (*either personally or via an employer sponsorship*) | | |
| Should the applicant be invoiced directly by the Research Degrees Team? | | Yes  No  If ‘Yes’, what percentage of fees should be invoiced?      % |
| Staff Fee Waiver  (i.e. the applicant is already a member of OU staff)  A *Staff Fee Waiver Form*, signed by the appropriate person, will need to be attached | | Yes  No |
| **B: Internally funded** | |  |
| Please describe how the applicant will be internally funded. | | Which faculty: Choose an item.  Percentage of funding from this source:      %  And/or  Name or reference to any OU matched funding:    Percentage of funding from this source:       %  How long is this funding available for?        years       months |
| What does the funding cover | | Fees only  Stipend only  Fees and stipend |
| SAP code | |  |
| **C: Externally Funded** | | |
| Please describe how the applicant will be funded.  If funding is from more than one source, list them separately and indicate the proportion of funding coming from each source. | | 1. Select a funding Source Choose an item.  Research Council, Company or charity name (if relevant):  Percentage of funding from this source:      %  How long is this funding available for?        years       months  Funder reference number |
| SAP code  AMS reference number if applicable  Contract number if applicable  CLS reference number if applicable | |  |
| What does the funding cover | | Fees only  Stipend only  Fees and stipend |
| Additional Information | | Please use this space to describe any funding arrangements which have not been captured in the boxes above, e.g. faculty-funded pending agreement of a contract, new funding arrangements |
| **D: Stipend** | |  |
| What stipend should the applicant receive? | | Standard rate  Enhanced rate  Amount per month £  Reason: |
| **6. Supporting statement** | | |
| Please provide an applicant specific summary of the applicant’s suitability for postgraduate research.  Outline and confirm that the necessary infrastructure is in place to support the student. | |  |
| **7. Submission and approval**  Recommendations must be endorsed/submitted by the Associate Dean (Research) (or delegate) | | |
| This recommendation is submitted on behalf of the Faculty of       by:  Name:  Position:  Signature:  I confirm that the HECoS codes provided on this form are correct and ATAS requirements have been checked.  I confirm that all proposed supervisors (including any external supervisors), have read, and will abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students.  I support this application for registration as a research degree student of The Open University.  **If not signed, the submitted form must be accompanied by an email explicitly approving admission from the email address of the above-named person.**  Date of original submission to Research Degrees Team:  Date of resubmission where any documents/information is missing: | | |
| **Attachments included** | 2 independent referees’ reports  Research proposal (if required for this programme/studentship), or response to advertised studentship  Copy of qualification(s) upon which admission is based (as detailed in section 3)  Copy of identification document e.g. Passport, driving licence with photograph, and if applicable, name change documentation if degree certificate and ID documentation do not match  Full CV for each proposed supervisor.This should include details of UK PhD supervision/examination experience.  Copy of each external supervisor’s proof of right to work in UK. E.g. passport or other document acceptable to UKVI (full list at <http://www.open.ac.uk/students/research/content/forms/external-examiners-and-external-supervisors-eligibility-work-united-kingdom>)  Copy of ENIC (previously NARIC) check results (if applicable)  Other (please specify:      ) | |
| **All applicant recommendations are subject to approval by the Graduate School Director. Applicants will be advised of the outcome of their application by the Research Degrees Team. Successful applicants will be invited to register at the appropriate time.** | | |

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| FOR RESEARCH DEGREES TEAM USE  **RDT Adviser notes** | |
|  | |
| I confirm the form is complete and all required information has been supplied  I confirm that there is an issue with this form and I have provided details above  Name       Date | |
| **Senior Manager, Research Degrees** | |
| FOR RESEARCH DEGREES TEAM USE  Checked by Senior Manager, Research Degrees  HECoS codes have been verified  All documents have been checked  Signed       Date | |
| **This request will be considered by the Graduate School Director** | |
| FOR RESEARCH DEGREES TEAM USE  Authorised  Not authorised because | |
| Regulation waiver       Authorised by | |
| Name  Signed  Date |  |

**Guidance**

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| **What this form is for**  To recommend an applicant be approved by the Graduate School Director and offered a place as a directly supported, UK, full-time or part-time research student. |
| **Who should complete it**  Following the recruitment and selection process, this form must be completed by the Faculty for every applicant who has been successful. |
| **Completing the form**  Where the research topic spans two faculties, Faculties should agree between themselves which one will take the lead in managing the student. Only one *Applicant Recommendation Form* per applicant is required by the Research Degrees Team. |
| **Applicant details**  The information requested on the form ensures that we meet the Open University regulatory requirements and that we have the necessary data for reporting to external stakeholders (e.g. HESA returns).  Please complete the applicant details in full.  Where the applicant does not have a passport some form of identification which includes the full name and a photograph of the applicant must be provided.  **Programme Details**  Proposed start date: The standard start date is 1st October, providing students the opportunity to engage fully in the induction process. For non-standard starters the start date will always be the 1st of the month.  For information on HECoS codes and Units of Assessment please refer to the Recruitment Guidelines <http://www.open.ac.uk/students/research/content/forms/recruitment-guidelines>  For information on Student HESA Cost Centre codes including a document mapping the new and old codes please see <https://www.hesa.ac.uk/support/documentation/cost-centres/2012-13-onwards>  **Selection Process**  Please ensure that the recruitment guidelines are followed when selecting students for admission.  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.  **Appointment of supervisors**  All supervisors are appointed by the Research Degrees Committee. Supervisory teams must meet and adhere to the requirements of the Supervisor Policy, and must read, and abide by, the Research Degree Regulations and the supervisor requirements set out in the Code of Practice for Supervisors and Research Students.  <http://www.open.ac.uk/students/research/content/forms-and-guidance-z-0>  Section 4 must be completed in full for all nominated supervisors, and a full CV should be submitted with this document for each proposed supervisor.  **External Supervisors**  External supervisors will need to provide evidence of their right to work in the UK before their appointment can be confirmed. See guidance at:<http://www.open.ac.uk/students/research/content/forms/external-examiners-and-external-supervisors-eligibility-work-united-kingdom>  A copy of the relevant documents (e.g. a passport) should be provided with this form and originals provided for checking by Open University staff before the appointment can be confirmed.  If an external supervisor is based outside the UK and Republic of Ireland, please contact the Research Degrees Team to discuss how the supervisor will be appointed.  External supervisors will need to agree to a Confidentiality Statement upon acceptance of their appointment.  **Industrial Supervisors**  Industrial supervisors may be appointed where the applicant is being given an additional supervisor from an industrial or commercial setting, rather than an academic one, to provide specific expertise. Industrial supervisors are not paid by the Open University. The supervision provided will be covered in the overarching contract.  **Fees and Funding**  Please complete this section in full, providing information on how the applicant is to be funded.  Where the applicant is funded by a Research Council Grant please ensure this information is completed.  Where an applicant is to be funded through any other external partner please refer to the Externally Funded Studentship Framework.  For CASE or DTP/matched funding studentships please contact the Research Degrees Team for further advice.  **Supporting statement**  When writing the supporting statement please consider the following:   * How the applicant has demonstrated suitability to undertake postgraduate research * The evidence provided in support of the application, in terms of qualifications, knowledge and experience in the proposed area of research * Confirmation that the applicant possesses an adequate level of English to undertake postgraduate study * Details of any training and development needs so far identified * Particular training required by funder (where applicable) * Confirmation that the research project has been clearly defined, and the applicant is likely to successfully complete their studies * How the student will be integrated into the research environment * Details of any non-academic needs or issues identified at interview * Details of any non-standard terms and conditions of registration that will need to be reflected in the offer of registration, e.g. * Location of study * Arrangements for access to specialist equipment or facilities * IPR / confidentiality |
| **How it should be submitted**  The Associate Dean (Research) (or delegate) should email completed forms to the relevant Research Degrees Team mailbox below, together with all the supporting documents required as detailed on the form.  *Please note: Faculties may have their own internal administrative processes to manage the workflow of the forms through the Faculty, however, the form must be endorsed by one of the roles listed above, and a clear audit trail of their approval included with the final submission of the form to the Research Degrees Team.*  [Research-Degrees-FASS@open.ac.uk](mailto:Research-Degrees-FASS@open.ac.uk)  Research-Degrees-FBL@open.ac.uk  [Research-Degrees-STEM@open.ac.uk](mailto:Research-Degrees-STEM@open.ac.uk)  [Research-Degrees-WELS@open.ac.uk](mailto:Research-Degrees-WELS@open.ac.uk)  Please state the discipline in the subject line of the email.  In order for the Research Degrees Team to have adequate time to process *Applicant Recommendation Forms* and complete associated activities, the following deadlines for receiving completed forms are as follows:   |  |  | | --- | --- | | Registration Start Date | Applicant recommendation form to reach Research Degrees Team fully completed no later than: | | 1st October | 30th June | | 1st February | 30th November |   All applications are subject to approval by the Graduate School Director, before an offer of registration will be made. The Research Degrees Team will send an offer of registration to the approved applicants.  A space is provided for the Head of Department to indicate approval, if this is required within the Faculty; however, this is not required by the Research Degrees Team. |
| **Resources**  This document, and all others referred to here, are available for download from the Graduate School Network at <http://www.open.ac.uk/students/research/forms-and-guidance>  For advice and support before submitting a recommendation, and particularly if you are not sure about an applicant’s eligibility to register as a research student, please contact the Research Degrees Team on 01908 653806 or email [research-degrees-office@open.ac.uk](mailto:research-degrees-office@open.ac.uk)  A studentship contract template is available from CLS to articulate the terms and conditions of registration of an externally-funded studentship. This should ideally be raised with Research Degrees Team **before** reaching the applicant recommendation stage.  The *Research Degree Regulations* can be found at <https://help.open.ac.uk/documents/policies/research-degree-regulations>  For more information refer to the relevant Research Degrees Handbook at  <https://help.open.ac.uk/documents/policies/research-degrees-handbook>  Research Council handbooks:  AHRC: [www.ahrc.ac.uk](http://www.ahrc.ac.uk)  BBSRC: [www.bbsrc.ac.uk](http://www.bbsrc.ac.uk)  EPSRC: [www.epsrc.ac.uk](http://www.epsrc.ac.uk)  ESRC: [www.esrc.ac.uk](http://www.esrc.ac.uk)  MRC: [www.mrc.ac.uk](file:///C:\Users\ss33676\AppData\Roaming\Draft%20new%20documents%20after%20review\Application\www.mrc.ac.uk)  NERC: [www.nerc.ac.uk](http://www.nerc.ac.uk)  STFC: [www.stfc.ac.uk](http://www.stfc.ac.uk) |