Applicant recommendation Form for Transfer to The Open University Research Degree PhD and MPhil

UK and Non-UK Citizen

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| **PLease Refer to THE *Research student recruitment guidelines* and the guidelines on pages 10 to 14 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 | |  |
| Does the applicant have, or will they require a visa? | | Yes  No |
| Biometric number (if applicable) | |  |
| If applicant already has a visa, please give details | | Visa type  Expiry date |
| Does the student live in the UK and has successfully applied, or plans to apply for the EU settlement scheme | | Yes  No |
| If the applicant already has a Student Route visa how long have they spent studying in the UK? | | years  N/A |
| **2. Transfer Details (***details of the previous study*) | | |
| Name of institution at which applicant is or was registered | |  |
| Degree for which applicant is or was registered | | PhD (including pre-upgrade)  MPhil |
| Date of registration as a research degree student at that institution | | /     / |
| Date at which registration as a research student at that institution has or will end | | /     / |
| Please list any periods where the applicant had a study break within these dates | |  |
| Total length of study | | months |
| Previous mode of study | | Full-time  Part-time |
| Title of research topic | |  |
| Names and affiliation(s) of supervisor(s) | | and |
| Details of why the applicant wishes to transfer their registration to The Open University from that institution or why they did not complete their research degree at that institution. | |  |
| Do we have an academic reference from the applicant’s current/previous supervisor or Head of Department outlining progress to date? | | Yes  No |
| Do we have a letter from the administrative authority at the current or previous institution which provides detailed information about the applicant’s research degree registration at that institution, and confirms that the proposed transfer is acceptable to and supported by their institution? (See RD4.1f) | | Yes  No |
| **3. Programme details** | |  |
| Programme of study  Discipline(s) or Department | | PhD  MPhil |
| Mode of study | | Full-time  Part-time |
| Proposed start date | | /     / |
| Proposed end date  Please take into account the time that the applicant has already spent studying – if the proposed end date would take the applicant beyond the expected registration period, please provide a rationale | | /     / |
| 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> | |  |
| Will the applicant require an ATAS certificate? | | Yes  No  If ‘yes’ please provide a summary of the proposal (*approximately 300 words*) |
| 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 below: |
| What will the IPR arrangements be? | | 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:      ) |
| **4. 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 |
| If the applicant has not lived or studied in the UK previously on what basis has competence in the English Language been assessed? | |  |
| 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 |
| Does/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 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  Not known (please provide details) |
| **5. 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** | | |
| 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) | | |
| 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’? | | |
| **IF NON-UK APPLICANT:**  I have attended the mandatory Student Route: Admission and monitoring of International Students training session  I will be attending the mandatory Student Route: Admission and monitoring of International Students training session  (Contact [Academic-Professional-Development@open.ac.uk](mailto:Academic-Professional-Development@open.ac.uk) to book onto the course) | | |
| **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** | | |
| 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 include a non-exhaustive list of potential conflicts) | | |
| 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’? | | |
| **IF NON-UK APPLICANT:**  I have attended the mandatory Student Route: Admission and monitoring of International Students training session  I will be attending the mandatory Student Route: Admission and monitoring of International Students training session  (Contact [Academic-Professional-Development@open.ac.uk](mailto:Academic-Professional-Development@open.ac.uk) to book onto the course) | | |
| **c. External Supervisor (delete if not required)** | | |
| Title  Full name  Address  Institution  Post held  Telephone number  Email address  Date of Birth | |  |
| **Number of research degree students supervised and examined** | | |
| 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** | | |
| **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 include a non-exhaustive list of potential conflicts) | | |
| 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’? | | |
| **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** | | |
| 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** | | |
| **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 include a non-exhaustive list of potential conflicts) | | |
| 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’? | | |
| Do you confirm that:   * The supervision team satisfies the minimum required level of experience * The supervisors are aware of the Supervision Policy * The external supervisors have the right to work in the UK are aware of the requirements for document checking | | Yes  No  Yes  No  Yes  No |
| **6. 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 |
| Account code for **internal** funding, including Charter studentships (if applicable) | | 5861 |
| **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 |
| HG account code for **external** funding  AMS reference number if applicable  Contract number if applicable  CLS reference number if applicable | | HG     5861 |
| 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: |
| **7. Supporting statement** | | |
| Summarise the applicant’s suitability for postgraduate research and confirm that the necessary infrastructure is in place to support them. | |  |
| **8. 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.  **If not signed the submitted form must be accompanied by an email explicitly approving admission from the email address of the above named person.**  (Where required within Faculty: This recommendation is approved by       (Head of Department))  Date of submission to Research Degrees Team:      /     / | | |
| **Attachments included** | 2 independent referees’ reports (this should include a reference from the applicants current/previous supervisor or Head of Department)  Research proposal if required for this programme/studentship  Copy of qualification(s) upon which admission is based.  A letter from the administrative authority at the current or previous institution which provides detailed information about the applicant’s research degree registration at that institution, and confirms that the proposed transfer is acceptable to and supported by their institution  Copy of identification document e.g. Passport, Driving licence with photograph.  Full CV for each proposed supervisor  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:      )  If the applicant is from overseas  Copy of qualification(s) upon which admission is based (as detailed in section 4)  Copy of certificate of SELTS (Secure English Language Test), if applicable  Copy of current visa  Copy of all pages of passport  Copy of biometric card/if available | |
| **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  Signed       Date | |
| **This request will be considered by the Graduate School Director** | |
| FOR RESEARCH DEGREES TEAM USE  Authorised  Not authorised because | |
| Name  Signed  Date |  |

**Guidance**

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| **What this form is for**  To recommend an applicant transfer into The Open University from another institution to be approved by the Graduate School Director and offered a place as a directly-supported, UK or Non-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. |
| **Policy**  These procedures apply where the applicant has previously been supervised by someone who has become a member of The Open University academic staff and they wish to transfer their research degree registration and register with The Open University from another institution.  In exceptional cases The Open University may also accept applications for transfer from individuals who are not moving with their existing supervisor (please see RD 4.2).  This policy does not apply to applicants wishing to transfer their registration to an Affiliated Research Centre but could be used if an ARC student wishes to transfer to be a directly supported student with the Open University.  All applicants wishing to apply for admission for a research degree at The Open University will be subject to the same academic and administrative selection process as applicants who are starting research degree study for the first time. No offer of registration can be made to an applicant, unless we have written confirmation from an appropriate authority at that University that the student can be released.  It is unusual for a student to be transferred in after starting their third year of study and consideration should be given to the support that will be provided to the applicant during this key period, particularly in terms of funding and supervision. Students transferring in during their last year of study may not be counted towards Open University totals for statutory returns.  Full-time students transferring in will be subject to the relevant continuation fee charge if entering fourth year. Part-time students transferring in will become liable for fees from the start of their Open University registration.  If there is a studentship or other contractual arrangement in place, please seek advice from the Research Degrees Team before submitting the *Applicant Recommendation Form*. There may be conflicting terms and conditions which could affect our ability to make an offer of registration to the applicant.  Tier 4 students who have been sponsored by another institution will need a new CAS from the Research Degrees Team showing that The Open University will be their new sponsor and **must** seek advice from the UK Visa and Immigration (UKVI) on their visa status. The Research Degrees Team is unable to provide specific immigration advice to students but will help where possible with providing supporting documentation. |
| **Completing the form**  Where the research topic spans two faculties, Deaneries 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. |
| **Process**  Applications for transferred-in students should be assessed by faculty admissions staff following standard practice for fair selection.  Details should be submitted to the Research Degrees Team on an *Applicant Recommendation Form,* including the following:  a) The title of the research project and the contact details of the supervisors and any sponsors.  b) A copy of the applicant’s original application to the other university or institution - this should include the following documents:   * a completed application form * copies of their degree certificates * a copy of their research proposal, or a statement confirming suitability for registration, or a project description as requested by the Faculty * a copy of their passport, or other form of identification * the names of two independent referees * equal opportunities and Higher Education Statistics Agency (HESA) monitoring form.   In addition and where applicable the following documentation must also be submitted:   * transcripts of academic qualifications * certified translations of degree certificates and transcripts * copies of English language qualification certificates * copies of UK visas and biometric card * list of publications or evidence of research experience * documentation supporting a change of name   c) The date of the original registration and the registration period required to completion, this should include details of periods of suspension.  d) An indication of the resources required to support the research project.  e) Copies of the reports and feedback marking academic milestones (e.g., transfer from MPhil to PhD, progress reports) to date.  f) A letter of agreement from the university or institution where the applicant is currently registered and, where applicable, any sponsor approving the transfer of registration and any intellectual property rights to The Open University.  The *Applicant Recommendation Form* must be authorised as normal by the Associate Dean (Research) (or delegate), and accompanied by:   * an academic reference from the applicant’s supervisor, or, if the supervisor is no longer an employee at the institution, the Head of Department/School where they are or were registered for research degree study * a detailed case which explains the basis on which the applicant has satisfied the potential supervisors the Associate Dean (Research) (or delegate) that they are in a position to successfully complete an Open University research degree |
| **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.  **Transfer details**  Please complete in full and attach all relevant documentation.  **Programme Details**  Proposed start date: Transfer students must start on 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 5 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 the *Supervisor CV 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 a 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 applicant 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 |
| **Probation arrangements**  Once the admission recommendation has been approved by the Faculty and the Graduate School Director, the applicant will be offered, and asked to accept, research degree registration on the understanding that they will be subject to a registration transfer probationary period, typically six months for full-time students and twelve months for part-time students. The registration transfer probationary period report should include:   * an assessment of the student’s progress since registration with The Open University * details of the formal training undertaken, including performance in any related assessment * details of the supervision arrangements, including frequency, approximate duration of sessions and date of most recent contact * details of any academic contributions made by the student to publications, seminars, conferences * details of the progress review undertaken by the discipline and/or academic unit for the transfer probationary report * details of any concerns about the student’s performance and ability to successfully complete * a recommendation about continuing registration and the degree for which the student’s registration should be confirmed * the endorsement of the Associate Dean (Research) (or delegate).   Students who transfer their registration to The Open University prior to completing the upgrade assessment at their previous place of study will be required to complete upgrade in the same way as all other students at The Open University. |
| **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.  For a UK applicant, please submit a minimum of two months before the proposed start date.  For a Non-UK applicant, please submit a minimum of four months before the proposed start date.  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) |