



## NORTH WEST DOCTORAL TRAINING CENTRE

### CASE Studentship Application Guidance 2015/16 (Updated July 2015)

CASE/Collaborative research studentships provide opportunities for PhD students to gain firsthand experience of work outside an academic environment, with the student supported by both an academic and non-academic supervisor.

The NWDTTC CASE studentship competition is a two stage process. The **first stage** is the proposal stage, where an academic and a non academic partner collaborate to put together a proposal for a CASE studentship. All the proposals are then assessed and awards are made at a NWDTTC panel meeting. If the proposal is successful, the pathway and the non-academic partner will then advertise the NWDTTC CASE studentship and then choose the suitable student to fill this position.

**The deadline for the submission of the CASE Application Form is 9<sup>th</sup> November 2015.**

In the **second stage** of the process successful pathways will need to recruit suitable candidates for their awards, in formal consultation with the relevant pathway leads. The projects will be advertised through the School responsible for the successful award.

**The deadline for finding a suitable candidate will be 26th February 2016.**

Should a pathway be successful in gaining a CASE award in December but fail to recruit a suitable candidate, the NWDTTC has the right to withdraw the award from the project.

The NWDTTC CASE competition will allocate a limited amount of collaborative studentships. Project proposals can be in any areas from the NWDTTC remit (19 pathways) and there will be no set limit on the number of projects a pathway can submit.

CASE projects can also be proposed at the Standard Studentship Competition in February/March 2016. The project will need to be submitted by a prospective student

## Introduction

CASE studentships can be held either on a full time or part time basis.

There are no compulsory contributions from the non-academic partners. If a non-academic partner wishes to contribute the standard contribution pre-DTC was £4,000 per year (£2,000 to the student and £2,000 to the School).

In identifying an appropriate collaborating partner(s) and reaching an agreement on the arrangements for the research project, applicants should consider:

- The description of the research project(s),
- The arrangements for joint-supervision (with the partner and possibly cross DTC institutions),
- The arrangements for seeking ethical approval and for agreements on intellectual property arising from the research,
- The means of identifying an appropriate student (see guide on eligibility).

NWDTC CASE Studentships are held on either a 1+3 or +3 basis. In a 1+3 studentship, the first year of study is taken up with a research training programme focussing on generic and subject specific training. The student will normally receive a Master's degree at the end of this year. The non-academic partner must agree to the studentship being extended by an extra year whilst the Masters is being undertaken. The +3 studentship is more typical for the CASE awards as this means the student can start directly on the research and spend the whole three years working on the project.

It is strongly recommended that pathways and their non-academic partners pay particular attention both to the expected outcomes from the research and the timing of the availability of data and research results. Outputs of this research should be available at different stages of the studentship for publication.

**It is expected that applicants will establish contact with the relevant pathway lead prior to submission of their application.** For an up to date list of institutional pathway leads please see <http://documents.manchester.ac.uk/display.aspx?DocID=18899>

## Guidance Notes for CASE Studentship Proposal

Collaborating partners can be private sector companies, public sector bodies or voluntary organisations. A private sector company is defined as being at least 50% privately owned with a 'wealth creation' base in the United Kingdom. Certain public sector bodies, e.g. UK owned companies in which the government holds more than a 49% stake but which generates at least 60% of its income from outside UK government or other UK public sector sources, are also included in this definition.

Non-academic partners are asked to provide a brief description of the main activities of their organisation. This information will be used by the allocation panel to place the proposed project in the context of work of the collaborating partner. It is particularly important to have this information about smaller organisations which do not have a high profile and whose activities may not be widely known outside the sector in which they operate.

### **1. Project Details**

If known, please indicate whether the proposed project will be 1+3 or +3 in structure. Successful applicants should ensure that their chosen nominee has undertaken the appropriate formal research training recognised by the ESRC at a postgraduate level, if undertaking a +3 studentship.

The CASE Application should be submitted by the academic who will be the first supervisor on the proposed project, not the non-HEI partner or the prospective student.

Please detail which of the 19 NWDTC Pathways the project comes under. The pathway lead for this pathway should be informed about the application as early as possible prior to submission.

Please detail the Institution (Lancaster University, University of Liverpool or University of Manchester) and the Faculty/School of the applicant.

## **Project Title**

Please detail the title of the proposed project.

## **Previous Collaboration**

Please provide details of any previous experience of collaboration between the partners making this application, and between the partners and any other relevant organisations.

## **Project Proposal**

Please outline the overall goals and timeline of the proposed research project.

The panel will have the discretion to 'mark down' an application where the project proposal is not clear and concise. It is also important that applicants give a detailed account of probable methodology that will be employed and the timetable for the research, so that the panel can assess whether or not the proposed research is feasible in the time scale given.

It is also important to make clear the social science content of the proposal, to enable the panel to make a clear decision that the field of study falls within the remit of the NWDTCT.

It is expected that the description should include:

- The research questions being asked

This should be well developed in terms of the research questions which will be asked and the approach and techniques to be used. It should be achievable within the proposed timescale (i.e. three years funding plus one year for submission of the thesis).

- How the project will be approached, with particular reference to the methodologies and techniques which may be employed

The methodologies/techniques and planned timescale should be appropriate to the project so that the outcomes will have wider relevance than purely addressing the needs of the non-academic partner.

- The anticipated outcomes from the project, in terms of its contribution to knowledge and understanding, new methodologies and techniques, data etc

The project should contribute to the successful creation, development and application of new techniques or ways of working, or relate to the broader environment in a way that improves the effectiveness and efficiency of individuals and organisations. It should contribute to the ESRC's mission to provide trained social scientists that meet the needs of users and beneficiaries, thereby contributing to the economic competitiveness of the United Kingdom, the effectiveness of public services and policy, and the quality of life. It should also fulfil the aim of a collaborative studentship in providing a real opportunity for a student to gain firsthand experience of work outside the academic environment.

The benefits and outcomes of the research should not be confined solely to the collaborating partner and therefore the envisaged intellectual as well as commercial benefits should be emphasised.

- Plans for dissemination of outcomes

The completed research should be published as widely as possible, to both academic and non-academic audiences.

### **Advanced Quantitative Methods**

This box only needs to be completed if the applicant wishes for the project to be considered for AQM Status, if successful at the December CASE competition. More details about the criteria and requirements of an AQM project can be found here:

<http://documents.manchester.ac.uk/display.aspx?DocID=18907>

Please be sure to address each of the three criterion which are used to assess AQM. Failure to do so will significantly reduce the likelihood of AQM status being awarded.

### **IPR and Ethical Information**

An official agreement between the academic and non-academic partner concerning the distribution of proceeds from commercially valuable research is considered an essential element of any CASE studentship. It is expected that an agreement including Intellectual Property Rights will need to be completed, and a copy sent to the NWDTC, prior to the recruited student's commencement of studies. It is important to note that the responsibility for safeguarding the student's rights is deemed to rest with the HEI. Failure to address this issue will severely weaken an application. At the very least, consideration to the IPR should be shown in the proposal whereby it is evident that the student will be protected by the IPR agreement.

The important question of ethical approval, in relation to the proposed research project, must be fully addressed. You should demonstrate that considerations of the following have been made:

- honesty to research staff and subjects about the purpose;
- methods and possible uses of the research (or risks involved);
- confidentiality of information supplied by research subjects and anonymity of respondents;
- independence and impartiality of researchers to the subject of the research.

If you intend to refer to a professional code of ethics governing research in your area, this should be specified.

### **Fit with ESRC Strategic Priorities**

Please detail here how this project and the collaboration fit with ESRC Strategic Priorities. Please see <http://www.esrc.ac.uk/about-esrc/mission-strategy-priorities/> for more information about the ESRC.

## **2. Project Partner**

Please detail the name and address of the collaborating organisation, and indicate if a formal agreement already exists between your institution and the non-HEI partner.

### **CASE Partner Involvement**

Please explain how the collaborating partner will be involved in the management and supervision of the research project. In particular there should be formal arrangements for the confirmation of supervision and management of the project in the light of changes in key personnel for the project. The extent of this involvement should be discussed and agreed between the collaborating partners in the first instance and then with the chosen student when the nomination process has been completed. The non-academic partner will be expected to provide an induction programme for the student similar to that provided for new employees and, during the tenure of the award, the student will also be requested to spend time on the organisation's premises. (For a full time three-year award, the minimum is three months per year- not necessarily continuous). During this period the student must be engaged in activities which comprise an integral component of the research to be presented in the thesis.

The information provided should also include: special materials and facilities which will be made available to the student (Provided by the non-academic partner free of charge); a description of the work to be undertaken at their premises; including proposed time-table showing the duration and frequency of visits; and an indication of the part of the organisation to which the studentship will be attached.

The details of any previous involvement in social science research by the non-academic organisation should be shown. This should include any collaboration that has previously taken place (i.e. former CASE studentship applications) between the two parties.

There should be real measurable benefits to the non-academic partner from the outcomes of the project. Expectations of how these will benefit the organisation should be made clear.

### **Financial Contribution**

Non-academic partner can contribute towards the cost of each project they support but this is no longer a requirement. Please see the 'Financial Contributions' section below for more extensive information concerning the financial implications of the awards.

## ***3. Supervisors***

Collaborative students can place higher demands on the time of supervisors than standard research studentships. Applicants should provide details of the current supervisory workload for each proposed supervisor and where three or more research students are being supervised, explain the arrangements that are in place to ensure that an appropriate level of supervision will be available to the proposed collaborative studentship.

The expertise of the academic supervisor/department relevant to the project must be shown. It is important that the proposed project is clearly within the research strengths and expertise of the department and the proposed supervisor(s). A list of three recent publications relevant to the project is important, to demonstrate that those involved in management and supervision are currently active in the area of the proposed topic.

### **Supervision Details**

CASE students are expected to be jointly supervised by a member(s) of staff from the academic institution and an employee of the non-academic organisation. The supervisors will be expected to agree the arrangements for the delivery of formal research training, regular formal progress meetings and briefing meetings with the student, throughout the period of research. The allocation panel will therefore be looking for evidence of a formal structure that will also be responsive to the needs of the individual student.

## ***4. Proposed Training and Support***

Please detail how the student's training needs will be identified, met & monitored throughout the period of the award. Please include any specific training which had already been identified as required. It should also be noted here whether the project might entail Fieldwork or Difficult Language Training.

## ***5. Recruitment and Selection Process***

Detail the procedure you intend to undertake for recruiting a suitable student, should the proposed project be successful. It is permissible to already have a student in mind at the proposal stage. If there is already a student in mind for the project, this student should be named on the application

form **at this stage**. If a student is not named on this form, then the project lead **must** go through an advertising and recruitment process if successful.

Please note that it is mandatory for the overall pathway lead to be formally involved in the selection process and to sign off on the choice of student. The NWDTC should be notified of the choice of student by the 26<sup>th</sup> February 2016, by the submission of the CASE Studentship Notification Form (which will be sent to successful applicants in December).

Academic and residential eligibility constraints apply - for more information please see the NWDTC 'Guidance on the Studentship Application Process for Staff' document, found at <http://documents.manchester.ac.uk/display.aspx?DocID=18902>

***Please ensure a letter of support from the proposed project partners is included with your application.***

## Financial Contributions

### Contribution from the NWDTC (for 2016 entry)

- Payment of academic fees, at the standard RCUK rate
- Basic Maintenance Grant (£14,057 in 2015/16 – rate subject to confirmation from the RCUK for 2016/17)
- Access to Research Training Support Grant (RTSG)
- Opportunity to apply for funding towards Fieldwork (if the need for fieldwork has been detailed at the application stage), Overseas Institutional Visits and Internships

### Contribution from the non-academic partner

Non-academic partner can contribute towards the cost of each project they support but this is no longer a requirement. As an indication, companies would contribute to £4,000 a year (£2,000 to the student, £2,000 to the relevant school/pathway) for a full time student (pro rata for a part time student) in pre-DTC CASE studentships.

There is no compulsory financial contribution from the partner. There are positive benefits to financial contributions from the partner as the stipend would be increased and it is likely to attract higher quality candidates, particularly where experience of employment as well as an appropriate academic background is being sought. It can also provide better financial stability reducing the risk to the project from a student failing to complete their studies. It is expected that the company will meet the travel, subsistence and accommodation costs incurred by the student associated with visits to the non-academic organisation.

In kind contributions would be resources such as office space at the non-academic partner offices, provision of specialist training courses, access to data and resources, for example. Supervision costs from the non-academic partner do not count as an in kind contribution, and neither does covering the costs of visits to the non-academic partner. These are basic expectations from the partner, so cannot count as in-kind.

If the partner wishes to contribute financially details of payments/invoices should be arranged on an ad-hoc basis with the school where the student will be based, as part of the development of the formal agreement if the application is successful.

**THE CLOSING DATE FOR APPLICATIONS TO BE SUBMITTED IS 9<sup>th</sup> NOVEMBER 2015 AT 4pm**

**Please submit your application to the relevant institutional pathway lead for your institution and pathway (<http://documents.manchester.ac.uk/display.aspx?DocID=18899>)**

The NWDTC CASE Studentship Committee will meet on the 11<sup>th</sup> December 2015. Results of the competition will be announced by the 18<sup>th</sup> December 2015. Successful applicants will be required to provide the NWDTC with details of their nominated student by 26<sup>th</sup> February 2016.

Once a student has been appointed, a formal agreement must be produced between the non-HEI partner and the institution at which the student will be based. Supervisors are responsible for pursuing this, with the support of their institution's contracts team. This must be finalised in time for the student to commence their programme in Sept/Oct 2016.

## CASE Studentship Competition Schedule 2015-16

Aug 2015

- NWDTC CASE Competition documents live online

9th Nov 2015

- Deadline for applicants to submit applications to **Institutional Pathway Leads** for consideration

- Pathways must undertake a review and (where relevant) selection process which involves all institutional pathway leads prior to submitting the CASE applications for consideration by the CASE Studentship Allocation Committee. The nature of this review is at the discretion of the pathway, although a similar process to the standard studentship competition (institutional pathway panels followed by overall NWDTC pathway panel) is recommended.

20th Nov 2015

- Deadline for Pathway Leads to forward CASE Applications to Hayley Meloy (hmeloy@liv.ac.uk)
- **Pathway Leads (or their supporting School administrators) should notify those applicants who are not taken forward to the Allocation Committee**

11th Dec 2015

- NWDTC CASE Studentship Allocation Committee in Liverpool

by 18th Dec  
2015

- Communication of results of CASE Competition to Pathway Leads and individual applicants

by 26th Feb  
2016

- Deadline to notify NWDTC of chosen candidates by submitting the CASE Studentship Notification Form to Hayley Meloy (hmeloy@liv.ac.uk).
- The Overall Pathway Lead should formally sign their approval of the choice of candidate on the CASE Studentship Notification Form prior to submission.

by Oct 2016

- Formal agreements between project partners, recruited students and the University to be produced in liaison with relevant University's Research Support Office, prior to the candidate commencing their programme