



Arts & Humanities
Research Council

COLLABORATIVE DOCTORAL AWARDS 2010

Guidance Notes for Applicants

August 2009

For information only - round closed

Quick Glance Guide

Name of Scheme: Collaborative Doctoral Awards Scheme (CDA)

Aims: Collaborative awards are intended to encourage and develop collaboration between Higher Education Institution (HEI) departments and non-academic organisations and businesses.

Collaborative research studentships provide opportunities for doctoral students to gain first hand experience of work outside an academic environment. The support provided by both an academic and non-academic supervisor enhances the employment-related skills and training a research student gains during the course of their award.

The studentships also encourage and establish links that can have benefits for both collaborating partners, providing access to resources and materials, knowledge and expertise that may not otherwise have been available and also provide social, cultural and economic benefits to wider society.

Scheme Format: A HEI and non-HEI organisation collaborate on a project that falls within the AHRC's subject domain and that can provide demonstrated benefits to both partners. The project is carried out by a research student (or students) that are recruited by the partners, jointly supervised by members from each partner organisation and who will gain a doctoral qualification by the end of the award.

Level of Grant: The AHRC will offer a standard doctoral studentship in line with the Council's eligibility requirements e.g. full time, part time or fees only. For guidance purposes, in the 2009/2010 academic year a standard full time full-award consists of £13,290 maintenance and a maximum tuition fee contribution of £3,390. CDA studentship award holders also receive an additional payment of £500 per annum.

Cost to Non-HEI: The non-HEI is expected to make an additional maintenance payment to the student which the Council recommends should be in the region of £1000 per annum. In addition the non-HEI should cover extra costs incurred by the student as a direct result of working in or visiting its establishments.

Duration: Full time studentships will be funded for a maximum period of 3 years and need to submit their thesis within 4 years of the start of the award. Part time award holders will be funded for a maximum period of 5 years and need to submit within 7 years.

How to apply: **You must submit an application through the Research Councils' Joint Electronic Submission (JeS) System. If you need any assistance to use the system please contact the JeS helpdesk on 01793 444164 or on JeSHelp@rcuk.ac.uk**

Scheme enquiries: please contact Sam Lamshead in Programmes on 0117 987 6682.

This guidance is intended for UK Higher Education Institutions (HEIs) and their partner organisations wishing to apply for a collaborative doctoral award in the sixth round of this annual scheme to start in October 2010.

Proposals are to be submitted via the JeS system and includes some electronic helptext to accompany the application form. Please also refer to the document CDA Proposal Guidance 2010 before completing the form.

Key features of the AHRC collaborative doctoral awards scheme

- Collaboration between a UK higher education institution (HEI) department and a non-academic partner.
- Non-academic partners must normally be UK-based operations, and may be in the private, public or voluntary sectors, typically being industrial, business, commercial, public or government organisations. The partner body can operate in any field but their research interests should fall within the domain of the AHRC.
- Full-time collaborative awards will normally be for three years' duration and part-time for five years' duration, leading to the submission by the student of a doctoral thesis based on the work carried out within the project.
- Students selected for a studentship by the HEI must meet all the usual AHRC eligibility criteria with regard to residency and academic qualifications.
- Collaborative students will receive the standard maintenance grant and tuition fee payments from the AHRC, plus a further contribution from the non-academic partner and an additional sum from the AHRC. Whilst the scheme is open to 'fees-only' students they will not receive maintenance payments from the AHRC and the collaborating organisation would not be required to make maintenance contributions.
- The non-academic partner will be expected, where necessary, to make a contribution to the partner HEI department to cover the provision of necessary resources or materials not already available or possessed by the HEI and to cover extra costs and expenses (such as travel and equipment) incurred by the student as a direct result of working in or visiting their establishments.
- Supervision of collaborative students is the joint responsibility of the HEI department and the non-academic organisation. The lead supervisor should be the academic supervisor, with responsibility for providing high-quality support and training in subject-specific and more generic areas, as well as for monitoring and assessing the student's development and continuing training needs. The supervisor in the partner organisation is expected to ensure the student has access to good facilities and strong support, to help provide high-quality training in work-place and transferable skills and to mentor and train the student with regard to the particular collections, materials or business aspects of their organisation that the student is working on.
- Collaborative students should normally spend a minimum of three months and no more than eighteen months working with the partner organisation during their three-year award. How this is configured will depend on individual projects.
- Collaborative working brings its own responsibilities and all partners, including the selected student, must agree to working with the other partners on the specified project and to collaborate and co-operate at all times.

- Applications for Collaborative awards are made annually through a competitive bidding process separate from the Block Grant Partnership and Studentship Competition schemes. The HEI department and non-academic organisation make a joint application in autumn for an award, and then if successful seek to appoint an appropriately qualified student by the following mid-summer to take up the studentship the following October.

About the scheme

Background

1. The other Research Councils offer a number of studentships each year under such schemes generally known as 'CASE'. These schemes aim to promote partnerships and research collaboration between academia and other bodies, and the studentships offer doctoral students the chance to conduct their research in collaboration with a non-academic body, and to gain experience of work outside the academic sphere.
2. The AHRC launched its own version of CASE as the Collaborative Doctoral Awards (CDA) scheme in October 2004. 64 applications were received in the first round and 41 successful projects which commenced in October 2005. The second round of the scheme saw 86 applications and 49 awards, the third round saw 125 applications and 58 awards the fourth round had 111 applications and 60 awards and the fifth round received 175 applications with 67 projects awarded.
3. Since the launch of this scheme targeted Collaborative Research Studentships have also begun to be offered as part of the larger Strategic Research Programmes funded by the AHRC.
 - 2006
Landscape & Environment Programme: 5 awards made
 - 2007
Religion & Society Programme: 8 awards made
 - 2008
Religion & Society Programme: 2nd call 5 awards made
Science & Heritage Programme: 10 awards made
Beyond Text Programme: 6 awards made
4. Please note that the CDA scheme is not affected by the introduction in 2009 of the Block Grant Partnerships and Studentship Competition. It remains as a separate annual competition open to all eligible HEIs in the UK.

Who Can Apply?

5. Applications should be made jointly by a department in a recognised HEI and a non-academic organisation from the private*, public or voluntary sector. (*A private sector company is defined as being at least 50% privately owned with a 'wealth creation' base in the United Kingdom).
6. The word 'organisation' is used as a generic term and should be interpreted as widely as possible. The AHRC wishes to encourage

collaborations from any area within its subject remit and with a full range of organisations, bodies and businesses, including the creative, cultural and heritage industries, both large and small and to include sole traders and partnerships.

7. In most cases the non-academic partner must have an operating base in the UK.
8. In exceptional cases the assessors may consider a collaboration with a company or organisation based outside of the UK. The AHRC recognises that given the distinctive nature of its subject domain there may be potential for reciprocal research collaborations outside of the UK. Applicants will need to state what additional benefits are to be gained from the collaboration and demonstrate clearly that value from the project will be accrued to the UK and how the collaboration will deliver long term lasting benefits. In such cases the overseas partner must specify a minimum contribution and would be expected to cover additional costs of travel to and from the UK. The logistics of running such a partnership should be carefully considered in order to demonstrate that the project is both viable and feasible.
9. Please note that a museum or gallery that is part of an HEI or a company or organisation that is deemed to be a spin-off or is supported by an HEI is not eligible to apply in this scheme. Organisations with 'IRO' status can only apply to this scheme as a non-academic partner.
10. There is no limit on the number of collaborative proposals that can be submitted by an HEI and a partner organisation or organisations. Similarly a non-academic organisation may be collaborating with a number of different HEIs. However in all cases organisations should bear in mind the level of commitment and resources required/available to successfully manage collaborative projects and not over-commit themselves.
11. Most projects support one studentship but larger projects may have up to three studentships running concurrently. An Extended CDA Programme is also offered as an option again for larger projects or collaborations whereby a doctoral student can be recruited to the project for each of the next three years without having to apply in a future round.
12. Any topic within the AHRC's subject domain is eligible. Selection of successful applications will not be subject to quota systems and there are no priority areas.
13. Those already holding a CDA may apply for a further studentship attached to the project but priority may be given to new collaborations.

Setting up a Collaboration

14. The first step in setting up a collaboration is to establish who may be a suitable partner for the project. Non-HEI organisations may wish to contact a HEI's Research, Development or External Liaison Office to discuss how their activities may benefit a project or HEIs may seek to find a non-HEI organisation which could utilise a particular area of research or knowledge. HEI departments should also contact the appropriate office/person in their organisation for guidance and support and they may be particularly useful with regard to setting up agreements or contracts.

15. Colleagues who are already running successful CDAs may also be a good source of help and information in setting up a partnership and we would encourage new collaborators to seek them out and utilise their expertise.
16. Experience so far has shown that collaborations proposed under the scheme are often based on relationships that have already begun on an informal or ad hoc basis and the CDA scheme then provides the opportunity to formalise these links. This does not mean that there has to be a history of working previously with a proposed partner and with one of the key aims of the scheme being to encourage new links the Council strongly encourages applicants to consider submitting a proposal with a partner that they may not have previously worked with.
17. Collaborative working can be extremely rewarding and exciting but it is not an easy option as it takes effort, hard work and most of all commitment to make it work and to manage it successfully. Partners should not underestimate this in setting up a project and should not enter such a partnership if there is any doubt that they will be able to make that commitment.
18. Non-academic partners should not be discouraged from entering a collaboration because they consider they do not have the capability or capacity to offer academic supervision to a PhD student. The responsibility for academic supervision lies with the academic supervisor and whilst some organisations/individuals may be able to offer some academic support the non-academic supervisor role offers something different in providing specific training and access to resources, people, collections, processes, knowledge and expertise that are vital to the success of the research project and which would not be possible without the collaboration. It is imperative however that the non-academic supervisor has the full support of their organisation and is able to co-direct the project and ensure that not only are the organisations objectives being met and fulfilled but that the students research is fully supported and kept on track.
19. Non-academic organisations may also wish to approach a CDA with the view that involvement in collaborative projects provides good opportunities not just for students but for their own staff development and skills training. In all cases the AHRC would encourage both academic and non-academic partners to make good use of the opportunities afforded by collaborating to share their skills and knowledge and learn about each others organisations and ways of working.
20. Partners should consider that students undertaking Collaborative Doctoral Awards have an exciting opportunity that can offer enhanced benefits to their research, experience, training and skills development. As mentioned above there will be different skills to be offered and varying contributions and benefits to be made by both academic and non-academic organisations and supervisors. There are also potentially greater demands placed upon students in that they will be involved with two sets of supervisors, colleagues and working environments. Having clear lines of communication and an understanding of requirements and responsibilities by all parties should help to minimise any conflict or tension that could potentially arise.
21. A good collaborative partnership and project will be one that sets up the framework so a doctoral student can undertake the research with all the necessary support and resources readily available and procedures in place to monitor and manage the project. A student should not be expected to manage the collaboration as well as undertaking their

research as this leads to conflict and endangers the continuation of the project.

22. Partners may find it useful to look at the previous collaborations that have successfully applied to the CDA scheme. A full list of projects funded from 2005 - 2009 may be viewed on the AHRC website at <http://www.ahrc.ac.uk/FundingOpportunities/Pages/CollaborativeDoctoralAwards.aspx>

23. It is important that all those involved in the collaboration reach a common understanding of what the project is trying to achieve and are clear about the expectations and responsibilities of each partner. In identifying an appropriate collaborating partner and reaching agreement on the arrangements for the research project, applicants should consider the following:

- Agree what the project is about, will it make a good doctoral project and what are the wider benefits?
- Does the project meet the needs of both collaborating partners?
- What is the 'bottom-line' in terms of expectations?
- Is it feasible within the period of an AHRC studentship?
- Reach a common understanding of language – what do the terms supervisor and training, for example, mean?
- Do partners have the necessary time and resources to commit to the project?
- The arrangements for joint supervision of the project/student
- The arrangements for sorting out confidentiality or ethical issues and intellectual property rights
- The means for identifying an appropriate student
- Provision for training, monitoring and review of the student/project
- Provision of and access to the required resources, collections etc.
- Financial commitments, contributions & procedures
- Expected outcomes, timing and availability of research results
- Mechanism for establishing a formal agreement setting out expectations and responsibilities for the above
- Understand that it is an **equal partnership with mutual benefits**

24. Remember that the student and their doctoral thesis are central to the project. In line with current submission rate policy full-time doctoral award holders are expected to submit their thesis within four years of starting their award and part-time within seven years. The student must be in a position to present their thesis at this time and non-academic partners must be aware that any restrictions on access to information or data or on publication of such material, may affect a student's ability to submit.

Partnership Agreements

25. Experience has shown not only the value but also the necessity of establishing a written agreement to provide a framework for a clear understanding of the operation and management of the project. The

AHRC strongly advises that such an agreement is put in place so that all parties, and in particular the student, are aware of and understand the responsibilities and requirements that partners have signed up to in setting up and entering into the partnership.

26. If a collaboration has been set up correctly this should not prove difficult for the partners as all such elements that might be included in an agreement should have been discussed and agreed before making an application. It is up to partners to decide how formal or informal they wish to make the agreement and they should seek advice from their respective organisations about this but in all cases the AHRC recommends that it forms the basis of a working project plan that is regularly reviewed and updated.
27. The partnership agreement should set out the mechanisms for the supervision and training of the student and for the monitoring of the project. The AHRC will expect partners to ensure that adequate levels of supervision are available and maintained to support each student throughout the project. As a minimum they will be expected to have one lead academic supervisor and one lead non-academic supervisor
28. The list below covers some of the areas partners might want to consider in putting together an agreement.
 - Specific objectives, obligations and responsibilities of each party
 - Provision of resources
 - Issues of ethics and/or confidentiality
 - Ownership of research results and intellectual property
 - Outcome(s) of studentships
 - Recruitment, supervision and training
 - Monitoring and reviewing
 - Timescales and project plans
 - Milestones and outputs
 - Financial contributions & mechanisms for payment
 - Working hours, arrangements and workplace inductions (inc student access to buildings, security passes etc.)
 - Risk Assessment
 - Conflict resolution
 - Process for termination of collaboration
29. These are elements that should be discussed not only between the partners but also with the nominated student before the final agreement is put in place. Practice has also shown that whilst the formal agreement is important, it is also vital that the partners spend time together to develop a full understanding of each other's values and create the right environment and culture in which the project can succeed.
30. You can also find useful information and guidance on setting up a partnership agreement and guidance on intellectual property rights we recommend you consult the document 'Partnerships for Research & Innovation Between Industry and Universities: A Guide to Better Practice' which you can find on the website of the Association for University Research and Industry Links (AURIL) at

<http://www.auril.org.uk/pages/publications.php>

31. The following may also provide some useful guidance and tips on what to consider:
www.jamesleach.net &
http://newmedia.umaine.edu/stillwater/partnership/partnership_template.html

Application and assessment processes

32. The aim of the AHRC's CDA scheme is to promote partnerships and research collaboration between academic researchers in the arts and humanities and other non-academic bodies and to establish long-lasting and fruitful partnerships. It also enables doctoral students to conduct their research in collaboration with a non-academic organisation, and to gain experience of work outside the academic sphere.
33. Applications to the scheme are made annually by the relevant academic department in partnership with a collaborating organisation. Those partnerships successful in being allocated one or more collaborative studentships will then be responsible for appointing appropriately qualified research students, and for informing the AHRC of such appointments by a process of nomination via the JeS system.
34. The Council will apply the same eligibility criteria in terms of the student's residence and academic qualifications as are applicable to all doctoral students supported across all its funding schemes that offer doctoral studentships. The AHRC publishes a 'Guide to Student Recruitment and Nomination' which is available to download from the website at:
<http://www.ahrc.ac.uk/FundingOpportunities/Pages/CollaborativeDoctoralAwards.aspx>
35. Applicants will be required to demonstrate that a true/real relationship exists between the partner organisations and that it is established as an equal partnership with clear benefits to be gained for all parties involved.
36. A lead applicant from both the HEI and the non-academic organisation must be identified and both must have the permission of their Head of Department and their respective organisations to enter into a collaborative working arrangement and provide the support, access and resources required. Partner non-academic organisations will be required to attach a letter of support as authorisation to enter into and support the proposed collaboration.
37. The person designated as the lead applicant (Principal Investigator) from the HEI will be deemed by the AHRC to accept the overall responsibility for the progress, management and leadership of the project as well as the academic progress of the student.
38. Partners should not underestimate the level of commitment required in entering into collaborative working arrangements both in terms of the length of the project and the hours involved in supervising the research student. Academic supervisors should expect that the supervision of research students who are working on a CDA project involves an increased workload in comparison to the supervision of a standard doctoral student. In relation to the length of the commitment, partners must be prepared to commit to the project for the full length of the award at least up to the submission of the research students thesis.

39. The academic department and collaborating organisation will be asked to formulate a suitable research topic and then to submit to the AHRC an application form (submitted by the HEI via the JeS system), by the 29 October 2009 closing date, that provides details about the research project and the timetable for completion. This includes information about the field of research and the purpose of the project.
40. Whilst projects need to have definition and focus, the AHRC is keen to ensure that the selected student also has some involvement in the final formulation of research questions and methods and such details can be provided later on the student nomination form. In cases where a proposal has potential for more than one PhD or for different directions to be taken around a topic applicants should always make it clear in the application what they have identified as options or possibilities for suitable doctoral research topics within the project.
41. Applicants will also be required to provide information about the supervisory and research training arrangements, and about any previous experience either party has of collaborative working. The application form will ask for information on context, usefulness, beneficiaries and possible applications of the research, looking at plans for impact, dissemination and the anticipated outcomes of the research, highlighting the intellectual as well as the commercial or public service benefits envisaged.
42. The application will also provide information about the non-academic organisation's relevant areas of activity including, where applicable, any current or previous research activities. The area of activity that is to be the subject of the collaborative studentship must fall within the Council's subject domain.
43. An important element of the application will be the description of the supervisory and training arrangements for each studentship sought and you should be aware that the AHRC has an established Research Training Framework which it expects HEIs to follow for its funded doctoral students. Details of the framework can be found on the website at <http://www.ahrc.ac.uk/FundingOpportunities/Pages/currentpostgraduateawardholders.aspx>
44. Applicants are required to provide reassurance that robust procedures are in place in both organisations to support the student and to appoint a supervisor in each whose area of research expertise is closely related to the student's research topic. Both bodies will have to provide reassurance about the measures in place to deliver research training that is relevant to the student and their topic and to encourage development of key and transferable skills but the academic supervisor will be required to take overall responsibility for the academic progress of the student. Satisfactory information will also have to be provided about the systems for monitoring the student's progress, assessing their continuing development needs, and delivering and reviewing the provision of agreed training. The Council will also seek evidence that the collaborating organisation will make available to the student any other relevant support and facilities.
45. Applications will be subject to a maximum of three expert peer reviews undertaken by members of the AHRC's Peer Review College.

46. This is followed by a 'Principal Investigator Response' (Right to Reply) stage before the reviews are sent to the Moderating Panel. The PI response allows applicants to correct any factual errors or conceptual misunderstandings, or to respond to any queries highlighted in the reviewers' comments. It is not intended to be an opportunity to change or re-constitute a project in light of the reviewers' comments.
47. Whilst it is not compulsory to submit a response it is recommended that a response is provided via the lead applicant from the HEI as the responses are forwarded to the moderating panel and will be taken into account in the grading and prioritisation of proposals. The lead applicant from the HEI will be sent an email with a deadline for response. The AHRC will also send an email alert to the non-academic partner. Please note that the response time will only be 7 days and if a response is not received by the deadline the application will proceed to panel without it.
48. Please also note that although the documentation will be sent to the lead applicant in the HEI this is a joint application and **any response should be a joint response**. The non-academic partner must be consulted and provide comments as appropriate and often will be best placed to correct any errors or misunderstandings.
49. All reviews and PI responses will then be sent to a specially commissioned moderating panel that will grade and rank the applications, in priority order for funding, based on those reviews and information provided in the PI response to those reviews.
50. Applicants will be informed of outcomes by letter which will be sent to the person named as the lead applicant at the HEI. Successful applicants who wish to accept the award must both sign a certificate of acceptance and agree to the terms and conditions which will be sent with the offer.
51. The successful applicants will be required to jointly select an appropriate student through an open, competitive process. Once a suitable candidate has been identified, the student and supervisor will be required to provide information on a student nomination form, about the eligibility and proposed research of the student for the Council to approve and for final confirmation of the studentship to be made. Please note that nominations for all AHRC studentships, including those for CDAs, must be made through JeS.
52. The collaborating organisation will normally be required to make an annual payment to the student in addition to the maintenance grant provided by the AHRC. Where the studentship is held by a fees-only student the collaborating organisation can choose to pay this additional maintenance payment at their discretion. The collaborating organisation is also required to cover any additional expenses (such as for travel and equipment) incurred by the student as a direct result of working at the partner organisation.
53. The AHRC will request the completion of an annual progress report, by both the academic and non-academic supervisors and by the student. These reports, to be submitted each summer, will enable the AHRC to monitor the progress of the project and collaboration itself.

Assessment criteria

54. Applications must meet the aims of the Collaborative Doctoral Awards Scheme, which are:

- to encourage and develop collaboration between HEI departments and non-academic bodies and organisations.
- to establish links that can have benefits for both collaborating partners, providing access to resources and materials, knowledge and expertise and which also provide social, cultural and economic benefits to wider society.
- to provide opportunities for research that could not be done outside of a collaborative framework
- to provide opportunities for doctoral students to gain first hand experience of work outside an academic environment, with the student supported by both an academic and non-academic supervisor, and to enhance the employment related skills and training a research student gains during the course of their award.
- to encourage collaborations from any area within the AHRC's subject remit and with a full range of organisations, bodies and businesses, including the creative, cultural and heritage industries and industrial and commercial businesses, both large and small.

55. Applications for collaborative doctoral awards will be judged by the following assessment criteria. Applicants must demonstrate that:

- The project provides genuine scope for high quality doctoral research within the relevant subject area.
- The collaboration is appropriate and viable and that the proposed project is achievable within the given timeframe.
- There are real and tangible benefits to be gained from the collaboration not only for the academic and non-academic partners and the student but for a wider audience.
- There is real added value in the doctoral research being carried out within a collaborative framework and that it could not be done without it.
- There are clear procedures for the recruitment of a suitably qualified student to undertake the research.
- Both the HEI and the partner organisation will ensure that the student receives a high standard of appropriate supervision and support and that training requirements will be identified, met and regularly reviewed.
- Both the HEI and non-HEI organisation have arrangements in place for monitoring the progress of the project and student and that any necessary resources will be made available.
- A partnership agreement will be put in place and issues such as confidentiality, ethical considerations and intellectual property rights have been, or will be addressed.
- Where more than one studentship is requested or an application is made for an Extended CDA Programme attached to a project, the project and resources available can sustain an increased number, or the requested number, of studentships over an extended period.
- Where the collaborating partner is not based in the UK that real value and benefits will accrue to the UK and that sufficient contributions to support the project will be made by the non-UK partner.

Timetable

56. **The closing date for applications is 4.00pm on Thursday 29 October 2009.**

57. The results will be announced in late March/early April **2010**. Successful applicants will be required to recruit a suitable student and submit a nomination form via JeS by 29 **July 2010**.

58. Once the AHRC has approved the nomination the studentship will be confirmed and will commence on **1 October 2010**.

59. The timetable is as follows:

29 October 2000	Closing date for Collaborative Award applications 2010.
November 2009 - January 2010	Applications assessed by reviewers selected from AHRC Peer Review College members
13 January 2010	Final date for all reviews to be returned to AHRC
4 - 15 January 2010	PI response requests sent
22 January 2010	Final PI response deadline
w/c 25 January 2010	All paperwork sent to Moderating Panel members
w/c 8 March 2010	Moderating Panel meeting
Late March/Early April 2010	Outcomes announced
29 July 2010	Student nominations received by AHRC.
October 2010	Sixth round of collaborative awards begin.

Collaborative Studentships

60. Recruitment and selection of a suitable student is the responsibility of the collaborating partners but the nomination of the selected student(s) will be subject to approval by the AHRC. Please see the *Guide to Student Recruitment and Nomination* which can be downloaded from the website at

<http://www.ahrc.ac.uk/FundingOpportunities/Pages/CollaborativeDoctoralAwards.aspx>

61. Collaborative studentships can be held on either a full-time or part-time basis. Nominated students must meet the same residency and academic eligibility criteria and are subject to the same regulations, terms and conditions as any standard doctoral research student funded by the AHRC.
62. Full details of these criteria can be found in the *Guide to Student Eligibility* available on our website at <http://www.ahrc.ac.uk/FundingOpportunities/Documents/Guide%20to%20Student%20Eligibility.pdf>
63. Full-time studentships will be for three years' duration and part-time for five years' duration, subject to length of funding eligibility rules, leading to the submission by the student of a doctoral thesis based on the work carried out within the project.
64. It is likely that some nominated part-time candidates will be employed by the non-academic organisation and both partners must be aware of the timescale to complete the award.
65. Standard doctoral tuition fees and maintenance grants will be paid by the AHRC on behalf of the nominated student. In addition the Council will make a further maintenance contribution of £500 per annum to the student.
66. The AHRC does not require the non-academic partner to make a financial contribution to the academic department with which it is collaborating, but as a measure of its interest and commitment there is a requirement for the organisation to make an additional maintenance contribution to the student.
67. The Council recommends a minimum of £1,000 per year for the additional maintenance contribution but recognises that this might present difficulties for smaller businesses, charitable organisations and some public bodies therefore some exceptions may therefore be possible. Please contact the AHRC if you need to discuss this matter.
68. Fees-only students will be eligible for tuition fee payments from the AHRC but not for maintenance grant payments. The AHRC will not require the non-academic partner to make additional maintenance payments to such students, but they may do so if they wish.
69. During the studentship a collaborative doctoral student will spend time working in the non-academic organisation's premises. During this time the student must be engaged in activities which are an integral component of the research to be presented in the thesis. The recommended minimum is three months and the maximum eighteen months, although when and how this time is spent will vary according to the nature of the project and is subject to negotiation between the partners.
70. Information on terms and conditions for postgraduate studentships award holders and how studentships are administered can be found in the 'Guide for Postgraduate Studentship Award Holders in the Arts and Humanities' available on our website at <http://www.ahrc.ac.uk/FundingOpportunities/Pages/currentpostgraduateawardholders.aspx>
71. For convenience and additional guidance for partners on the operation of collaborative studentships the section specifically for Collaborative

Students is attached at the back of this guide in Appendix A. Please note that this information applies to students registered in the 2009-10 academic year. The guide is updated annually and all information and terms and conditions of studentships are subject to change or amendment.

For information only - round closed

Glossary

Higher Education Institution (HEI):	An institution that is recognised and funded by one of the four UK higher education funding councils, or an institution whose postgraduate courses are validated by a recognised HEI.
Research Organisation:	The Higher Education Institution.
Academic Supervisor:	A member of the teaching or research staff employed by a HEI who is providing academic input, supervision and guidance to the project.
Lead Applicant:	An employee of the HEI who coordinates and makes the application for funding and who subsequently has overall responsibility for the management of the project. The lead applicant may not necessarily be the academic supervisor on the project. This person must be JeS registered.
Principal Investigator:	The lead applicant, as above.
Non-academic Organisation:	Organisations may be based in any field or area but the project must utilise research in the arts or humanities. They also must normally be a UK-based operation and may be in the private, public or voluntary sectors. Please note that the interests of the organisation may still be academic in nature e.g. a museum or research group, but they should not have degree awarding powers.
Non-academic Supervisor:	An employee of the non-academic organisation who will supervise the student in conjunction with the academic supervisor. The non-academic supervisor's role is predominantly to assist with access and information on their organisations facilities that are relevant to the project and to bring the specific expertise of their organisation to the collaboration.
Partners / Partnership:	Refers to the two organisations leading the collaboration i.e. the HEI and the non-academic organisation.
Award:	The award is made to the project so the CDA award holder is the lead applicant at the HEI and their partner organisation. An award consists of one or more studentships attached to the project.
Studentship:	That granted by the AHRC to fund a nominated research student as part of a Collaborative Doctoral Award. The studentships are based upon the same eligibility and regulations as a standard AHRC doctoral award.
Project:	The project is the central aspect of the collaboration and will be based upon the activities and research outlined in the proposal section of the application form.

Research Student:

The student who will be receiving financial support (i.e. the holder of the studentship) to carry out the research on the project with the key aim of being awarded a doctoral level qualification by the end of the award.

Extended CDA Programme:

A large project or collaboration with enough scope to support up to three individual studentships over an extended period in which one studentship may be attached to the collaboration each year for the next three years without the partnership having to apply in each individual year's round.

CASE/CASE Awards:

The term used by most of the Research Councils to refer to their schemes and awards for collaborative doctoral projects. From 2010 the AHRC will adopt the name of CASE CDA.

For information only - round closed

Appendix A

Extract from:

AHRC Guide to Postgraduate Studentships: Academic Year 2009-2010

Additional information for Collaborative Doctoral Studentships

- 10.1. If a studentship has been made under the Collaborative Doctoral Awards scheme the terms, conditions, information and guidance as stated in this guide, apply to those studentships. However, there are some additional features of collaborative studentships and further guidance and information is given below.

Responsibilities of Collaborative Working

- 10.2. Collaborative awards are made to a Research Organisation (Higher Education Institution) and a collaborating partner (normally referred to as the non-academic partner or organisation) to work together on a research project of mutual interest and benefit. They create the framework within which a selected student is able to undertake the research and produce a PhD. All parties, including the student, must be prepared to work in partnership in a collaborative and co-operative fashion and accept the responsibilities to the project and to each other that this method of working brings. The AHRC reserves the right to suspend or terminate a collaborative award at any time if the partnership or collaboration, as originally specified, ceases to function. In some circumstances however alternative solutions may be available. Please see paragraphs 10.26 to 10.28 below.

What is the value of a Collaborative Doctoral Award?

- 10.3. A doctoral student is entitled to standard tuition fees, college fees (where appropriate), research training funds and for full-time or part-time, full-award holders, a maintenance grant. In addition all studentships in this scheme will receive an additional sum of £500, towards their maintenance, from the AHRC. This additional payment will be made in April each year.
- 10.4. Where the non-academic collaborating partner has agreed to make additional payments to the student, arrangements should be made between the partners and the student as to the amount, frequency and mechanism for payment (see paragraph 10.10 below). The AHRC will assume no responsibility or involvement in such payments nor will it act as intermediary in any disputes over such payments.
- 10.5. All holders of studentships are eligible for disabled students' allowance, if appropriate, and if they are a full-time doctoral student for payments towards the costs of fieldwork or study visits. Part-time doctoral students may also be eligible for study visit allowances and should contact the AHRC for further advice before applying for these allowances.

Study visits, fieldwork and conferences

- 10.6. The AHRC will fund one overseas study visit and attendance at one overseas conference during the tenure of a studentship. Students may

only apply for funding if they have been invited to present a paper at the conference. The AHRC does not fund attendance at conferences held within the UK. Full details are in Appendix 2.

- 10.7. UK study visits are not subject to restrictions on the number that can be claimed. However, provision to cover costs should have been made by the collaborating partners where it is expected that extensive or prolonged fieldwork or several study visits may be necessary during the course of a project, as the AHRC cannot guarantee to cover all such costs.
- 10.8. Partners and students should note that costs incurred whilst working at or visiting the premises of the non-academic collaborating organisation are not eligible for support as study visits.

Partnership agreements

- 10.9. The AHRC expects collaborating partners to have established a written partnership agreement, by the start date of the project, in order to provide a framework and a clear understanding of the operation of the project. The agreement should set out expectations and responsibilities and cover areas such as those listed below:

- Specific objectives, obligations and responsibilities of each party
- Provision of resources
- Issues of ethics or confidentiality
- Ownership of research results and intellectual property
- Outcome of studentships
- Supervision and training
- Monitoring and reviewing
- Timescales/Project plan
- Financial contributions (inc. timing & mechanism for payment)
- Working hours of student; time in department/time in workplace
- Nature of and arrangements for, work with the collaborator
- Risk Assessment
- Conflict Resolution

- 10.10. The student or students involved in the project must be given an opportunity to discuss these elements before the final agreement is put in place. The AHRC would advise students to contact their supervisor if this has not happened or if they have not seen a copy of the agreement by the time they begin work on their research. In addition the AHRC would strongly advise **all** parties involved in the collaboration not to begin work on the project until an agreement is in place and has been signed.

- 10.11. The AHRC would recommend that this agreement forms the basis of a working project plan which is regularly reviewed and updated.

Intellectual Property Rights, confidentiality and ethical considerations

- 10.12. Issues surrounding IPR should be clarified and form part of the formal agreement, **before the start of the studentship**. The partners should already have considered this but the student should discuss with their supervisors what kind of outcomes there might be from the research and whilst the details might not be known at the outset, procedures for dealing with it should be put in place. Outcomes whether academic or commercial may need to be variously published, protected or exploited so the rights to ownership and the sharing of any resulting benefits should be closely addressed.

10.13. The academic supervisor and the supervisor in the non-academic organisation where the student will be working should make them aware of, and provide procedures for, any ethical issues or issues of confidentiality or sensitivity surrounding data or information that they may have access to. It is of course vital that a student is able to use their research to publish their PhD within the required timeframe and any restrictions on access to information or data or on publication of such material may affect the ability of the student to submit. Please also refer to section 8 of this guide.

Supervision and training

10.14. Students undertaking Collaborative Doctoral Awards have an exciting opportunity that can offer enhanced benefits to their research, experience, training and skills development. There will be different skills to be offered and varying contributions and benefits to be made by both academic and non-academic organisations and supervisors. There are also potentially greater demands placed upon students in that they will be involved with two sets of supervisors, colleagues and working environments. Having clear lines of communication and an understanding of requirements and responsibilities by all parties should help to minimise any conflict or tension that could potentially arise.

10.15. The partnership agreement should set out the mechanisms for the supervision and training of the student and for the monitoring of the project. The AHRC will expect partners to ensure that adequate levels of supervision are available and maintained to support each student throughout the project. As a minimum they will be expected to have one lead academic supervisor and one lead non-academic supervisor. Please also see section 5 in this guide on the Framework of Research Training Requirements.

10.16. The award for the collaboration was made on the understanding that the Research Organisation and the collaborating organisation will provide the necessary support, induction, training, supervision, access and resources, to ensure that the project can be sustained and that the student is able to undertake the necessary research and produce a doctoral thesis within the period of the studentship.

10.17. It is reasonable for students to expect regular meetings with both supervisors and to have access to them as required to ensure both the project and their research is on track. Ultimately the academic supervisor must take overall responsibility for a student's academic study and welfare and for the leadership, management and supervision of the project.

10.18. Students should be able to approach either their academic or non-academic supervisor at any time and to raise any concerns or issues at the earliest opportunity.

Working with the collaborating organisation

10.19. During the course of a collaborative studentship a student will be spending time on the collaborating organisation's premises. **Throughout this time they must be engaged in activities which are an integral component of the research to be presented in the thesis.** The recommended minimum is three months and the maximum eighteen months, although when and how this time is spent will vary depending on the nature of the project and is subject to negotiation between the student and the supervisors.

- 10.20. The non-academic supervisor must have the permission of their employer and be in a position to offer supervision and support to the project. They must also be able to provide a student with, or facilitate access to, necessary resources or those areas of the organisation that are required to undertake the project.
- 10.21. The partnership agreement should lay out the arrangements for the student's supervision and welfare whilst they are undertaking work within the collaborating organisation and it should also include details of the resources and facilities that will be made available to them.
- 10.22. Students are expected to conduct themselves in a professional manner at all times, to respect the working practices, policies, environment and conditions of the organisation in which they are undertaking their work and to abide by any special conditions or restrictions, such as confidentiality or access to data or collections, that are placed upon them.
- 10.23. The AHRC recommends that the student should receive an induction programme in the non-academic organisation similar to that provided for new employees although this will vary depending on the nature of the project and the size of the organisation. The induction should be tailored to the student's needs but it is also recommended, where appropriate, that the induction also be offered to the academic supervisor where it might serve the needs of furthering trust, understanding and good working relationships.
- 10.24. The AHRC urges all parties to remember that spending time working with the collaborating organisation is one of the key features of a collaborative studentship. It should provide the student with experiences and opportunities that otherwise might not be available during doctoral study. It is expected that students will feel welcomed as a part of the non-academic organisation and that their time there is not only productive but enjoyable as well.

Interruptions to study

- 10.25. If a student needs to interrupt or suspend their studies, for whatever reason, they must inform their supervisors immediately as all parties will need to be aware of any implications for the continuation and completion of the project. An AHRC for a suspension request form must also be completed. Please refer to section 7 for further information about suspensions and interruptions to study.

Transfer of collaborative awards and studentships

- 10.26. Collaborative awards are made on the basis of a partnership between a Research Organisation (higher education institution) and a collaborating external organisation. As the holder of the studentship a student will have agreed to working with those partners on the specified project and to remaining registered at the relevant Research Organisation. A student will not be permitted to transfer their studies on the project to another Research Organisation. There may be exceptions to this where the academic supervisor moves to another Research Organisation. If this is the case the AHRC will consider transferring the award and the studentship to the new Organisation but **only** where it is considered imperative to the continuation of the project. In such cases **all** parties involved must be in agreement and a student would not be under any obligation to transfer.

Replacement of collaborative studentships

- 10.27. If a student withdraws from the project or terminates their studentship within the first year the AHRC will allow the collaborating partners to find a replacement student. If a student withdraws after more than one year of work on the project the AHRC will not be able to fund a replacement. In such circumstances supervisors should contact the AHRC for further advice.

Conversion of collaborative studentships

- 10.28. Collaborating partners are required to have mechanisms in place to ensure the continuation of the project. However, if for any reason the collaborative arrangement were to cease before the end of an AHRC studentship it may be possible for any student concerned to continue as a standard doctoral award holder provided that their research is still viable, that adequate supervision is available and that they will be able to complete their thesis within the required time.

Monitoring of Collaborative Doctoral Awards

- 10.29. The AHRC asks for a short annual report on the progress of the project to be completed by the academic supervisor, the non-academic supervisor and the student. In April the AHRC will notify the academic supervisor, by email, where the form can be accessed on our website and it must be returned by the end of August. This report is intended as a means of monitoring the overall progress of the project. Students should refer to section 6 for details on the procedure for monitoring satisfactory academic progress.

End of Collaborative Award Reports

- 10.30. The AHRC will require supervisors in both organisations and the student to complete full reports at the end of the period of the studentship. The AHRC will notify academic supervisors and students in early summer when the forms are available to download from the AHRC website. These reports will cover both the project and the academic progress of the student.

Submission of thesis

- 10.31. Collaborative doctoral students are expected to submit their thesis within the same time-frame as all doctoral studentships, which is no later than four years after taking up their studentship for full-time study or no later than seven years for part-time study. The Council has a policy of collecting submission rate data from Research Organisations and collaborative students will be surveyed along with standard AHRC doctoral students in the relevant survey year. For more information please see section 6.
- 10.32. The AHRC recognises that despite good planning and project management, working in a collaborative environment could in some cases leave students subject to external changes or forces that are out of their control. For this reason it is important that the AHRC is informed at the time of any impediment to progress and where this may have a significant impact on their ability to submit their thesis within the required time-frame.

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