

Procedures for the Approval, Renewal and Review of Partner Research Institutions (PRIs)

1. Introduction

- 1.1 The Scheme for registration for the PhD of persons working in Partner Research Institutions provides for each student to be jointly guided by an Imperial supervisor and by a local supervisor at the institution where the applicant is engaged in research.
- 1.2 The College believes that the Scheme will result in the development of links and mutually beneficial co-operation between the research institution on the one hand and Departments¹ of the College on the other. It is anticipated that there will be a communality of research interest between the local supervisor's laboratory and that of the Imperial supervisor's Department at the College.
- 1.3 This document should be read in conjunction with [PARTNER RESEARCH INSTITUTION SCHEME Notes for the Guidance of College and External Supervisors](#)
- 1.4 The PRI/A Form itself serves as the agreement between the PRI and the College. However, it is recognised that the College may have major PRI links with large organisations, for example A*STAR. These partnerships may deviate from the procedures detailed below and will require a more detailed written agreement in place of the PRI/A Form.
- 1.5 The College's policy on student intellectual property shall apply to all outputs generated by an applicant whilst engaged in research. In circumstances where the PRI directly funds or co-funds the research (through College), or where the PRI is the employer of the applicant, further discussion and agreement may be required between the PRI and the College. In such circumstances, any additional agreement between the College [Research Office] and the PRI shall take precedence.
- 1.6 Should the PRI no longer be able to meet the criteria, as stipulated in the agreement, or other circumstances occur which jeopardises a student's ability to complete the research, then the student will be offered the opportunity to continue with the research based at Imperial College.

2. Procedure for the Approval of PRIs

- 2.1 A proportionate approach will be taken by the College when considering new PRI proposals. However, in all cases, prospective students will be considered individually regardless of whether or not they are applying to register for the Scheme

¹ Any reference to "Departmental" or "Department" may include Imperial College Schools, Institutions, Centres or Divisions, as appropriate.

at a PRI which has already been approved by the College. Additionally, local supervisors will always be asked to provide a copy of their CV².

- 2.2 If an applicant wishes to apply to be registered under this Scheme they should first discuss this with their local supervisor and their Imperial supervisor. Once a research project has been agreed, the applicant can make a formal application to the College using the usual online application form.
- 2.3 Once the College Admissions team have received the application form, it will be passed to the relevant Imperial Department for consideration. Upon receiving the application, the Imperial Department should decide whether or not they wish to support the application. If the Department wishes to go ahead then they should contact the Registry's Quality Assurance team to find out whether or not the PRI is already listed with the College and if so whether it is an active or inactive PRI as this affects what documentation must be provided in order to take forward the application. A flow chart for the approval of PRIs is attached as **Appendix A**.
- 2.4 Once the status of the proposed PRI has been established, the Department should ensure that the PRI/A Form is completed as per the requirements set out in Appendix A. In most cases a full application will be required using the PRI/A Form (attached as **Appendix B**). If the PRI is already an active PRI then some parts of the PRI/A Form do not need to be completed. The Imperial Department should then return the completed PRI/A Form, together with their acceptance of the application to the College Admissions Team who will then forward the PRI/A Form to the Registry's Quality Assurance Team.
- 2.5 The Quality Assurance team will then review the PRI/A Form to check that it has been appropriately completed and that all accompanying material has been provided. The Quality Assurance team will then complete their section of the PRI/A Form, including any due diligence checks, and will send it to the Director of the Graduate School for consideration. The Academic Registrar will also be sent a copy of the application.
- 2.6 The Director of the Graduate School will consider the information presented in the application and will determine whether or not the application is successful. Further information may be requested. The decision will be based on the Director's consideration of the following items:
 - Academic and Research Environment at the PRI
 - Research facilities available to the applicant at the PRI
 - Whether the supervisory arrangements are commensurate with normal College expectations.
 - Strategic links already in place between the College and proposed PRI
 - Whether there are suitable welfare and support mechanisms in place at the PRI
 - Plan for communication between local and Imperial supervisors
 - Potential conflicts of interest
 - Outcome of any due diligence checks

² Local supervisors would normally be appointed according to the same criteria for eligibility to supervise as currently stipulated in the College's [<http://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/registry/academic-governance/public/academic-policy/research-degree-examinations/Eligibility-for-research-degree-supervision.pdf>]. Exceptions to this may be considered provided that CVs demonstrate adequate equivalent experience or qualifications.

- 2.7 In cases of conflict of interest, for example, if the application involves the same Department that the Director of the Graduate School belongs to, then the Deputy Director of the Graduate School will be asked to consider the application instead.
- 2.8 If successful, a new PRI will be passed to the Academic Registrar for final sign-off and a PRI code will be issued. Active PRIs will be issued with the existing PRI Code.

3. Review of Existing PRIs

- 3.1 Annually, the Quality Assurance team will review the list of PRIs to see which have current students registered at them. Where a PRI does not have any current students registered, the PRI will be inactivated. Should a subsequent applicant wish to apply to carry out research under the Scheme, a full PRI application will be required.
- 3.2 Every five years, active PRIs will be reviewed by the Quality Assurance team and the Director of the Graduate School. This is a paper based, internal review. The Quality Assurance team will complete the PRI Review Form, attached as **Appendix C** which will then be submitted to the Director of the Graduate School for review. The Director of the Graduate School and the Academic Registrar will discuss any areas of concern.
- 3.3 The PRQC will receive a report each year, prepared by the Quality Assurance team, outlining any new PRIs approved, inactivated PRIs and the outcome of any reviews which have taken place. This will also be reported to the Senate for information.

Approved by Senate
February 2014

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Appendix B

IMPERIAL COLLEGE LONDON

FORM PRI/A

Application for Research Degree Registration under the Partner Research Institutions (PRI) Scheme:- please read the accompanying notes before completing this form.

For Registry Use	
Admissions Number:	
ID Number:	
PRI Code:	

A. TO BE COMPLETED BY THE PROSPECTIVE STUDENT

Surname:	All other names:
Partner Research Institution: (Give full title and address including, if relevant, the Department at the PRI where the applicant is working)	
Status and/or nature of employment at above institution:	Proportion of week that would be devoted to work for research degree:
Signature:	Date:

B. TO BE COMPLETED BY THE LOCAL SUPERVISOR

Title and name:	Qualifications: (Please attach your CV to this form)
Post Held:	
Please provide a statement which indicates your availability to the student and how you will maintain regular contact with the Imperial Supervisor: (please note that you will be expected to provide on-the-spot advice and guidance to the student and to alert the Imperial supervisor of potential welfare issues and matters affecting the piece of research)	

I confirm that the above information is correct and that I am willing to act as local supervisor for this applicant

Signature:	Date:
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C. TO BE COMPLETED BY HEAD OF RESEARCH INSTITUTION

I hereby confirm that:

- i) The applicant is a suitable person to undertake a course of study and research with a view to the degree of PhD
- ii) The above named local supervisor is authorised to take the responsibility of supervising the studies and research
- iii) The applicant will be permitted to attend Imperial College for the prescribed course work and academic contact for at least 2 months per year³
- iv) No restriction will be placed upon presentation of the thesis result from the applicant's study and research
- v) No restriction will be placed upon the thesis, if successful, being made publically available, in accordance with Imperial College Regulations
- vi) Data formulated as part of the PhD will be made publically available, unless a temporary Embargo is applied for.
- vii) The College will retain full right of access to all data generated by the research, including laboratory notebooks and other research material.
- viii) The College's [policy on student intellectual property](#) may apply to outputs generated by the applicant.

Any comments on the above points should be made below here:

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I confirm that the applicant will register with Imperial as (tick one box only):

Full Time (noting that full-time fees will apply)

Part Time (noting that part-time fees will apply)

Full Name and Title:	Date:
Signature:	

³ 2 months do not need to be taken consecutively

D. TO BE COMPLETED BY THE IMPERIAL COLLEGE SUPERVISOR

D.1 I certify that:-

- i) I have visited the Research Institution and confirm that it has adequate facilities and staff to enable the applicant to undertake the proposed research**
- ii) I consider the applicant to be suitably prepared to undertake the proposed course of research and through attendance at Imperial College and under my supervision would be considered an internal student with contact and interaction with other staff and students of Imperial College, including participation in the Graduate School's Professional Development Skills Training Programme.**
- iii) I confirm that throughout the research programme the applicant will attend Imperial College for at least 2 months of the year to undertake the activities listed below and that the applicant will attend Departmental research seminars on a weekly/fortnightly/monthly* basis (*delete as appropriately):**

I confirm the applicant will undertake the following activities:

Lectures in:	
Laboratory work in:	
Practical training in:	
Tutorials with Imperial College supervisor:	
Opportunity for the applicant to interact with peers:	
Other:	

D.2 Please state below how often you will visit the applicant at the partner research institution and how you intend to keep in touch with the applicant outside of this period:

D.3 About the Research Institution

Please provide a statement of the research facilities available to the applicant at the research institution (evidence in the form of URLs or documentation should accompany this form) including details of the research environment, evidence of a critical mass of staff and other students to show that the applicant would not be working in isolation:

<p>Please provide details of welfare and pastoral support available to the applicant:</p>

D.4 If the applicant is working in a particular Department within the proposed PRI

<p>Please provide details below of the research facilities available to the applicant within the PRI's Department (evidence in the form of URLs or documentation should accompany this form) including details of the research environment, evidence of a critical mass of staff and other students to show that the applicant would not be working in isolation.</p>

<p>Proposed field of study (please describe the research in up to 8 words:</p>			
Effective Registration Date	Day:	Month:	Year:
Name of Imperial College Supervisor			Department:
Title:	Initials:	Surname:	
Signature of Imperial College Supervisor:			Date:

E. TO BE COMPLETED BY THE IMPERIAL COLLEGE HEAD OF DEPARTMENT OR NOMINEE⁴

- i) I confirm that the Department supports the proposed registration of this applicant at the proposed PRI named above
- ii) I confirm that the student will be able to meet the requirements for attendance at College of the PRI Scheme (at least 2 months each year)
- iii) I confirm that the proposed supervision arrangements conform to the College criteria for the supervision of research students

<p>Please provide comments on the strategic benefit to the College and/or Department for establishing this partnership:</p>

⁴ Nominees would normally be the DPS

Title and name of Head of Department or nominee:	
Signature:	Date:

F. TO BE COMPLETED BY IMPERIAL COLLEGE QUALITY ASSURANCE

Is this a new PRI? Yes/No (please tick one box)	Yes	No
Please provide the PRI Code if applicable:		
Comments on due diligence checks:	<p>The latest PRI Review form should be attached to this form where a review has taken place. When considering due diligence checks the following may be taken into consideration:</p> <ul style="list-style-type: none"> a) Existing or previous College partnerships with the proposed institution b) Whether the proposed institution has adequate human, material and financial resources to operate the arrangement successfully c) Confirmation that there will be an appropriate and safe learning environment for students and staff d) Any potential conflicts of interest e) Comments on whether the reputation of the proposed partner is sound f) Comments on whether there are there any issues with the business and ethical links of the proposed partner, or country, which could bring the College into disrepute 	

Appendix C

PRI Review Form

TO BE COMPLETED BY IMPERIAL COLLEGE QUALITY ASSURANCE

The purpose of this review is to ensure that the research facilities and welfare support mechanisms at active PRIs remain appropriate

Name of Partner Research Institution: (Give full title and address)	
PRI Code	
How many students in the previous 10 years have been registered to undertake their PhD at this PRI?	
Which Departments within the PRI itself have students worked at?	
Completion Rates in the last 5 years	
Have any complaints from students registered at the PRI been received by the College?	
A review of the research facilities available to students at the research institution, including, where relevant, facilities available to students within their individual Departments	
Please review details of welfare and pastoral support available to students at the PRI	
Have there been any major institutional changes since the PRI was originally approved?	
Comments on whether the reputation of the partner remains sound	
Any potential conflicts of interest	

Comments on whether there are there any issues with the business and ethical links of the partner, or country, which could bring the College into disrepute		
Confirmation that the proposed institution has adequate human, material and financial resources to continue to operate the arrangement successfully	Yes	No
Confirmation that there will be an appropriate and safe learning environment for students and staff	Yes	No
Completed by	Name and Title	Date
	Signature:	