

Summary Checklist

GORDON HENONRY

RIE ID No. 18-014

Project type (please tick):

Included paperwork (please tick):

- 1) Completed & signed PAF
  - 2) DETAILED BID - MUST BE COMPLETED - costing in excel, to include performance conditions i.e man hours and costs. (PDF must also be included where signature is required)
  - 3) which corresponds to the awarded amount
  - 4) where the staff recharges reconcile to the summary costing
  - 5) which has been signed by the Dean when additional payments noted
  - 6) Official award letter and/ or contract with T & C's & vat requirements.
  - 7) Funding body budget/ application page which includes costs/ schedule 1
  - 8) Application
  - 9) Payment details (method & timescale)
  - 10) Signed partnership/consortium agreement
  - 11) Signed joint commitment statement
  - 12) Reference no. of credit check\* from shared log
  - 13) HESA code noted & checked
  - 14) Company type noted on PAF & checked
  - 15) Risk Register
- When collaborative - funds coming indirectly to GCU:
- 16) Main award including duration dates
  - 17) Signed contract with the co. that are paying GCU the funds
  - 18) Payment method
- When collaborative - funds going from GCU:
- 19) Signed contract with the co. that are receiving the funds
  - 20) Payment method

	Research	Consultancy	Contract Research	KTP's	EU & Overseas Project	CPD
<input checked="" type="checkbox"/>	Y	Y	Y	Y	Y	Y
	Y	Y	Y	Y	Y	Y
	Y	Y	Y	Y	Y	Y
	Y	Y	Y	Y	Y	Y
	N	Y	Y	N	N	Y
	Y	Y	Y	Y	Y	Y
	Y	N	N	Y	Y	N
	Y	N	N	Y	Y	N
	Y	Y	Y	Y	Y	Y
	N	N	N	Y	Y	N
	N	N	N	N	N	N
	IA	IA	IA	Y	IA	IA
	Y	Y	Y	Y	Y	Y
	Y	Y	Y	Y	Y	Y
	Y	Y	Y	Y	Y	N
	IA	IA	IA	IA	IA	IA
	IA	IA	IA	IA	IA	IA

**In-kind contribution**

Time £

Other £

SOURCE OF FUNDING - MUST BE COMPLETED

- Commercial income**
- Industry contract funding (non-grant contract research)
  - Charity contract funding (non-grant contract research)
  - Consultancy
- Government grants**
- Government departments and their agencies, including NHS
  - Education Contracts
  - EU funding agencies
  - Local and Regional funding agencies (including Regional Growth Fund and UK Research Councils)
- Non Government grants**
- Industry grants
  - Charity grants (including British Academy, The Royal Society & The Royal Society of Edinburgh)

Any additional comments:

Checklist sign by RIE representative:

Alex M... ..

Date:

30/08/18

Key:

- Y Paperwork required
- N Paperwork not required
- IA If applicable
- \* Credit checks are required for non public funding bodies where value is in excess of £1,000 (net of vat).

**PART A**

**1. PRINCIPAL IN VESTIGATOR**

Name...Gordon Hendry.....

School...SHLS..... Dept...PSWAHS..... Tel No. ....ext 3635.....

**2. TITLE of PROPOSAL** ..... A randomised controlled trial of pre-fabricated versus customised foot orthoses for people with rheumatoid arthritis: the FOCOS RA trial [Foot Orthoses – Custom v Off-the-Shelf in Rheumatoid Arthritis].....

**3. Anticipated START and END Dates** from ....Sept 2014..... to ....October 2019 (unfunded extension).....

**4. ARE THERE ANY IPR/CONFIDENTIALITY ISSUES** (Y/N) If yes, please state (see guidance notes)

N.....

**5. DOES THIS PROPOSAL PRESENT A CONFLICT OF INTEREST** (Y/N)

If yes, please state here any potential conflict of interest which may arise or be perceived to arise in undertaking this project.

**6. RISK REGISTER** A risk register must be completed at the application stage for all projects to be approved by RIE/university process.

Risk Register attached and signed by the Dean of School Yes ..... No .....

**Please note: If a risk register is not completed and attached then RIE are unable to seek University authorisation for your project.**

**7. COMPANY TYPE** (please tick one box for each funding body, which confirms the company type. Definitions can be found within the Guidance Notes)

Company location:	
	Scottish Other UK Non-UK
Company size: SME	
Large Company	
Other Company	✓

**8. PRINCIPAL INVESTIGATOR**

*[Signature]* ..... Date ...07/08/18.....  
SIGNED PRINCIPAL INVESTIGATOR

**9. ASSOCIATE DEAN/DIRECTOR**

*[Signature]* ..... Date 22/8/18.....  
SIGNED ASSOCIATE DEAN (confirming application is in line with School/Centre strategy and objectives)

**10.. PROPOSAL APPROVED by RIE**

*[Signature]* ..... Date 22/8/18.....  
SIGNED on BEHALF of RIE (confirming all aspects of financial and contractual compliance with University and funding body requirements).

**10. PROPOSAL APPROVED by DEAN of SCHOOL**

*[Signature]* ..... Date 24/8/18.....

GLASGOW CALEDONIAN UNIVERSITY  
RESEARCH, INNOVATION & ENTERPRISE  
PROPOSAL APPROVAL FORM

SIGNED Exec. DEAN of SCHOOL (or nominated other)  
(confirming on behalf of School/Centre, all aspects of strategic  
financial and contractual compliance

*M. W.*

Date *29/8/2018*

11. UNIVERSITY AUTHORISATION  
(to submit a proposal externally)

..... Date .....  
(nominated signatory for and on behalf of the University)

**PART B**

**RESEARCH /OTHER EDUCATIONAL GRANTS**

**UNIVERSITY CHARITABLE STATUS:** All research activity is undertaken in order to enhance knowledge and understanding for educational purposes, and for wider public benefit (please refer to PAF guidance notes for further information).

**Note 1:** In instances where GCU are not the lead applicant on a project, a PAF should still be completed at application stage, in order that GCU may be fully informed of their commitment of resources to the project.

**Note 2:** Contract research and consultancy must be approved via PART C of the project approval system. Please refer to PAF guidelines for clarification on definitions of contract research and consultancy activity.

1. INTERNAL COAPPLICANT(s)
- Name...Gordon Hendry..... Dept ...PSWAHS..
- Name...Jim Woodburn..... Dept ... SHLS ...
- Name...Martijn Steultjens..... Dept ... SHLS

2. EXTERNAL COLLABORATOR(s) Please give names of ALL external collaborators

Name...Kellie Gibson.....  
Address ...School of Health, Sport and Biosciences,  
University of East London, .. Stratford Campus,  
Water Lane, London, E15 4LZ...

3. PROPOSAL TYPE (Please tick all that apply)

Research Grant  EU Research  EU Non Research  Travel  Consumables   
Studentship  KTP  Education & Training  Collaboration Lead   
Collaboration Non Lead  Community Engagement  Cultural Engagement  Other

4. PEER REVIEW (please tick if applicable)

Has your project undergone a process of peer review? Yes  No   
If yes, was this process: internal  external  to GCU

Contact details of peer reviewer: ....Approved at peer review 2014.....

5. FEC of GRANT PROPOSAL

.....~~£17,361~~ £39,362

6. GCU MATCH FUNDING (including equipment and/or infrastructure requirements) .....

7. TOTAL VALUE OF PROPOSAL ...£39,362.

TOTAL AMOUNT TO GCU...£39,362

*£19,672*  
*£39,362* A.M.U 30/08/18

8. DEADLINE SUBMISSION DATE (hard copy) .....n/a..... (e-submission) .....n/a.

9. ADDITIONAL CONTRIBUTION FROM 3<sup>rd</sup> PARTY (if any) .....

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RESEARCH, INNOVATION & ENTERPRISE  
PROPOSAL APPROVAL FORM

**10. ETHICS**

Does this proposal require ethical approval? Y/~~N~~ (delete as appropriate)

Does the proposal involve clinical trials? Y/~~N~~ (delete as appropriate)

Does the proposal involve the use of human tissue? ~~Y~~/N (delete as appropriate)

**Important:** When you receive notification of your successful proposal, a copy of the ethical approval documentation should be forwarded to RIE **PRIOR** to the start date. Failure to supply this information may result in a delay to project commencement.

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PROPOSAL APPROVAL FORM

SCHOLL POBIATNY FUND PART B (cont)

11. FUNDING BODY (IES) Name (s) ..... ~~NIHR Health Technology Assessment~~ .....

Funding body type (please tick)  Research Council  Government  Charity   
Industry

KTP  European (Research)  European (Non Research)  Other (please state )

12. HESA Code (s) 3 (see below) (please indicate HESA code for EACH funding body if more than one funding source.

**HESA – RESEARCH GRANTS and INCOME – FUNDING TYPE**

- 1 BIS Research Councils, The Royal Society, British Academy and The Royal Society of Edinburgh
- 2 UK based charities (open competitive process)
- 3 UK based charities (other)
- 4 UK central government bodies
- 5 UK industry, commerce and public corporations
- 6 EU government bodies
- 7 EU - based charities (open competitive process)
- 8 EU industry, commerce and public corporation
- 9 EU other
- 10 Non - EU based charities (open competitive process)
- 11 Non - EU industry, commerce and public corporations
- 12 Non - EU other
- 13 Other sources

**BREAKDOWN OF FUNDING TYPE 1 – BIS RESEARCH COUNCILS et al**

- 1a BBSRC
- 1b MRC
- 1c NERC
- 1d EPSRC
- 1e ESRC
- 1f AHRC
- 1g STFC
- 1h Other

**PART C**

**COMMERCIAL ACTIVITIES  
CONSULTANCY, CONTRACT (COMMISSIONED) RESEARCH  
& OTHER SERVICES**

(please tick one) Consultancy  Contract Research  Other Services

Tender document for bid [ ] – please supply this for review by RIE

**1. EXTERNAL CLIENT CONTACT DETAILS (address for correspondence)**

Contact Name ..... Address .....

Organisation .....

Email/telephone .....

**2. COSTING**

Please attach either a completed Consultancy Summary spreadsheet or Commercial Funder Research Summary spreadsheet. **Important: Proposals will only be approved if a University authorised costing is submitted. This costing model must be completed with and formally approved by RIE.**

fEC of activity (contract research only)	£		
Total income for activity	£		
Total costs for activity	£		
Surplus	£	/	%
Overhead rate applied		%	

Please attach any other relevant project description documents. It is the responsibility of the PI to inform RIE when a project is successful in order that the contractual stage (see 3 below) can be completed. Please quote RIE ID No. in all correspondence.

**3. CONTRACTUAL REQUIREMENTS TO SUPPORT ACTIVITY**

**Important: Please attach proposed draft agreement with client if any, or alternatively seek advice from RIE. The University will not allow projects to commence until a contract is agreed and signed by both the external partner and the University. RIE will complete an internal form for project acceptance.**

Client supplied agreement or contract [ ] - please supply this for review by RIE

Please supply any project description documents and letter/email from the client commissioning the work.

**RIE Advice needed re:** (tick as required)

- University standard terms and conditions for provision of consultancy and technical services [ ]
- GCU contract or sub contract [ ]
- GCU Confidentiality Agreement [ ]
- Intellectual property rights disclosure/ licensing agreement [ ]
- Expert witness contract [ ]
- Other [ ] (please state) .....

**Notes:** A definition of contract research and consultancy can be found within the University Requirements in Conducting Commercial Activities. For help in preparing costings please complete an RIE Costing Request Form and/or contact RIE.

GLASGOW CALEDONIAN UNIVERSITY  
RESEARCH, INNOVATION & ENTERPRISE  
PROPOSAL APPROVAL FORM

PRINCIPAL INVESTIGATOR:  
 FUNDING BODY:  
 TYPE OF GRANT:

Gordon Hendry  
 Scholl Fund  
 Charities - other

version 2

For income from overseas sources  
 [Please enter currency]  
 Exchange rate applied:

BUDGET FORM	FULL ECONOMIC COST	INCOME				Income in overseas currency
		Funded?	Charities - open, competitive research grants with external peer review	Funded?	Charities - other	
<b>Directly Incurred Costs &amp; Exceptions</b>	£		£		£	£
<u>Staff</u>						
Research Staff	19,672	100%	-	100%	19,672	100%
Technical Staff	-	100%	-	100%	-	100%
Admin Staff	-	100%	-	100%	-	100%
<u>Travel and Subsistence</u>						
Travel & subsistence	-	100%	-	100%	-	100%
Conference fees	-	100%	-	100%	-	100%
<u>Equipment</u>						
Costing up to £50,000	-	100%	-	100%	-	100%
Costing over £50,000	-	100%	-	100%	-	100%
<u>Other directly incurred cost</u>						
Consumables - project specific	-	100%	-	100%	-	100%
Publication costs	-	100%	-	100%	-	100%
Consultancy fees (external consultants only)	-	100%	-	100%	-	100%
Fieldwork fees	-	100%	-	100%	-	100%
Subject expenses	-	100%	-	100%	-	100%
Survey costs (incl. transcriptions)	-	100%	-	100%	-	100%
Software licences	-	100%	-	100%	-	100%
Equipment maintenance/rental	-	100%	-	100%	-	100%
Staff recruitment and advertising costs	-	100%	-	100%	-	100%
Postage	-	100%	-	100%	-	100%
Printing	-	100%	-	100%	-	100%
Stationery, photocopying etc.	-	100%	-	100%	-	100%
Hospitality	-	100%	-	100%	-	100%
Other institutions DI costs	-	100%	-	100%	-	100%
Other: please specify	-	100%	-	100%	-	100%
<u>Exceptions</u>						
Stipend (Bursary)	-	100%	-	100%	-	100%
Tuition fees	-	100%	-	100%	-	100%
Other (please specify)	-	100%	-	100%	-	100%
<b>Total - directly incurred costs and exceptions</b>	<b>19,672</b>		<b>-</b>		<b>19,672</b>	<b>-</b>
<b>Directly Allocated Costs</b>						
<u>Staff</u>						
Principal and Co-Investigators / Researchers	-	0%	-	100%	-	100%
Investigators / Researchers from other institutions	-	0%	-	100%	-	100%
<u>Estates costs</u>						
Classroom based	1,038	0%	-	100%	1,038	100%
Laboratory based	-	0%	-	100%	-	100%
For investigators / Researchers from other institutions	-	0%	-	100%	-	100%
<u>Other allocated costs</u>						
Admin Staff	-	0%	-	100%	-	100%
Technical Staff	-	0%	-	100%	-	100%
DA Lab Tech Infrastructure Services	-	0%	-	100%	-	100%
<b>Total - directly allocated costs</b>	<b>1,038</b>		<b>-</b>		<b>1,038</b>	<b>-</b>
<b>Indirect Costs</b>						
Indirect Costs	18,652	0%	-	100%	18,652	100%
Investigators / Researchers from other institutions	-	0%	-	100%	-	100%
<b>Total - indirect costs</b>	<b>18,652</b>		<b>-</b>		<b>18,652</b>	<b>-</b>
<b>Total GCU</b>	<b>39,362</b>		<b>-</b>		<b>39,362</b>	<b>-</b>
<b>Total Collaborators</b>	<b>-</b>		<b>-</b>		<b>-</b>	<b>-</b>
<b>GRAND TOTAL</b>	<b>39,362</b>		<b>-</b>		<b>39,362</b>	<b>-</b>
<b>Full Economic Cost</b>	<b>£39,362</b>		<b>£0</b>		<b>£39,362</b>	<b>£0</b>
<b>Funding available or price charged</b>	<b>-</b>		<b>£0</b>		<b>£39,362</b>	<b>£0</b>
<b>VAT price if applicable</b>					<b>£47,234</b>	

*A.M. 19a  
30/09/18*

<b>Summary</b>		<b>Summary</b>	
GCU Costs	£39,362	Collaborators Costs	0
Funding Available to GCU	£39,362	Funding to collaborators	0
<b>GCU profit or (loss)</b>	<b>£0 break-even</b>	<b>Collaborators profit or (loss)</b>	<b>£0 break-even</b>

<b>GCU Project Direct Costs</b>	<b>20,710</b>
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**Salary Sheet**

August '18 Pay Scales

Inflation INcluded

Increments INcluded

Start Date 01/10/2018

End Date 15/08/2019

Duration (months) 11

Duration (years) 0.92

**Research**

**Directly Incurred**

Researcher	Grade	6	Point	30	Project Year Breakdown		
50% fte for 10.5 months			100% FTE	Costed FTE			
	Hours per year (rate)		1650	825.00			
Duration Breakdown	Annual	Months	100%	50.00%	Actual Hours	Year 1	Total
01 Oct '18 - 31 Mar '19	£33,199	6	£16,600	£8,300	<b>412.50</b>	£8,300	
01 Apr '19 - 31 Jul '19	£34,189	4	£11,396	£5,698	<b>275.00</b>	£5,698	
01 Aug '19 - 30 Sep '19	£34,873	0.5	£1,453	£727	<b>34.38</b>	£727	
	Duration (months)	10.5	£29,449	<b>£14,724</b>	<b>721.88</b>	£14,724	£14,724
Basic Salary			£29,449	£14,724	96.25 days	£14,724	
S.A	19.30%		£5,684	£2,842	19.25 weeks	£2,842	
N.I.	13.80%		£4,064	£2,032	5.25 months	£2,032	
App. Levy	0.50%		£147	£74	0.44 years	£74	
<b>Total Salary</b>			<b>£39,344</b>	<b>£19,672</b>		<b>£19,672</b>	<b>£19,672</b>

SHLS/PSWAHS
FOCOS (Scholl Fund)
39.392

No.	GCU STRATEGIC GOAL	SPECIFIC RISK	IMPACT (i.e. severity)	LIKELIHOOD	GROSS RISK SCORE AS PER MATRIX (1-16)	MITIGATION ACTIONS, PROCEDURES/CONTROLS IN PLACE	RESIDUAL RISK SCORE AS PER MATRIX (1-16)	1. EARLY WARNING MECHANISMS 2. ACTIONS PLANNED	RISK OWNER	CONTROL OWNER / CO OWNERS
1	Provide the number of all relevant GCU Strategic Themes from list below	Provide clear detail of the project risk, and then using the table below evaluate the impact and likelihood of this risk without any controls in place. Note - once all risks are listed, please delete remaining lines to ensure that the average risk score is calculated correctly.	Minor	Unlikely	1	List all mitigating actions, procedures and controls which will then impact on the gross risk score to create a revised residual risk score.  These ratings are on a 1-16 scale on the research team. Early completion and submission of recruitment documentation will be sufficient.	1	List early warning mechanisms and other planned future actions which enhance the management of this risk, providing timelines where appropriate.	Name	Name(s)
2	1,5	Delayed recruitment of fixed term researcher	Minor	Probable	3		6	1. Not applicable. 2. Research team will plan interview dates and complete paperwork asap.	Gordon Hendry	Gordon Hendry
3	1,5	Lack of suitable candidates for fixed term researcher post	Significant	Unlikely	2	We anticipate that there will be sufficient applicants for this post.	6	1. Not applicable. 2. Research team will share details of the post via extensive networks.	Gordon Hendry	Gordon Hendry
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										

Overall Project Risk: 4

2

Overall Project Risk

GCU 2020 Strategic Themes

- 1 Transforming Lives
- 2 Enriching Cities & Communities
- 3 Innovating for Social & Economic Impact
- 4 Engaging Globally
- 5 Aligning for the Common Good

Impact

	Minor	Significant	Serious	Major
Certain	4	8	12	16
Probable	3	6	9	12
Possible	2	4	6	8
Unlikely	1	2	3	4

This risk assessment form must be completed and submitted with every Research, Innovation and Enterprise (RIE) Proposal Approval Form for Research & Commercial Proposal authorisation.

Signed : Principal Investigator

Signed : Executive Dean / Head of Function

Gordon Hendry

Date: 15/06/2018

*(Signature)*

Date: 15/06/2018

In signing this form the Dean of School or Head of non-School University Function confirms that an assessment of risk in relation to the proposed activity has been appropriately undertaken.

15<sup>th</sup> August 2018

To whom it may concern,

RE: RESOURCING REQUEST FOR RESEARCHER 1A for project: A randomised controlled trial of pre-fabricated versus customised foot orthoses for people with rheumatic arthritis: the FOCOS RA trial [Foot Orthoses – Custom v Off the shelf in rheumatoid arthritis].

The FOCOS trial is a project being run by Dr Kellie Gibson at the University of East London in collaboration with Profs Jim Woodburn, Martijn Steultjens and Dr Gordon Hendry at Glasgow Caledonian University (total value of proposal £212,993, original total amount to GCU £29,432, funded by the Scholl Podiatry Research Fund). Original finances for GCU have been completed and the original account has been closed but the project is still ongoing due to delays.

This project has recently received an unfunded extension (letter attached) due to delays with recruitment. Within this letter the Scholl Funding Committee recommended use of an underspend to fund the recruitment of a Research Assistant. We have calculated that this underspend would fund a Researcher 1A at GCU at 0.5FTE for a period of 10.5 months based on an October 1<sup>st</sup> start date (budget form attached). We have confirmation in the form of a letter from UEL (attached) that they are happy to transfer funds to GCU for this post in full upon receipt of an invoice.

I have completed a resourcing request form for the creation of this new fixed term post. I have commenced the PAF process (15<sup>th</sup> August 2018) for creation of a new budget code so that the funds can subsequently be transferred to GCU and recruitment for this new post can commence.

If you require any further details or action from me, please do contact me as soon as possible.

Many thanks and kind regards,



Gordon Hendry

Senior Research Fellow, School of Health and Life Sciences

[gordon.hendry@gcu.ac.uk](mailto:gordon.hendry@gcu.ac.uk)

Ext 3635



**School of Health, Sport and Bioscience**

Head of School: Dr Marcia Wilson

School office: 020 8223 4153

7<sup>th</sup> August 2018

Dear Sir / Madam,

Please accept this letter as approval for Dr Kellie Gallagher to use funds from her Scholl grant to hire a research assistant. The amount that is authorised is £39,392 and the recruitment process will take place at Glasgow Caledonian University (GCU). This post will be for 10.5 months at 0.5FTE with an approximate start date of 1<sup>st</sup> October 2018 pending recruitment outcomes. Payment will be made in full on receipt of invoice from GCU. The University of East London is in full support of this request.

Yours sincerely,

Dr Marcia Wilson

Head of School

## McKinnon, Alan

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**From:** Hendry, Gordon  
**Sent:** 30 August 2018 13:24  
**To:** McKinnon, Alan  
**Cc:** RIE Costings  
**Subject:** Re: Costing for a new researcher

Hi Alan,

This funder funds the full FEC and I can confirm £39,362 is the correct amount coming to GCU from UEL.

Best wishes

Gordon

Sent from my Samsung Galaxy smartphone.

----- Original message -----

**From:** "McKinnon, Alan" <Alan.McKinnon@gcu.ac.uk>  
**Date:** 30/08/2018 13:18 (GMT+00:00)  
**To:** "Hendry, Gordon" <Gordon.Hendry@gcu.ac.uk>  
**Cc:** RIE Costings <rie.costings@gcu.ac.uk>  
**Subject:** FW: Costing for a new researcher

Hi Gordon,

The PAF for this researcher post has made its way through the signing process but before I pass it on to management accounts can you confirm the amount coming to GCU?

The award letter in the attached PAF states a value of £39,362, but this figure includes Estates and Indirects, and as the funding is from a charitable organisation at source I'm not sure we'd be due to recover these costs. The PAF itself does state £19,672 is coming to GCU, so if it's an error on the letter from UEL then I expect management accounts will want either a new letter or an email confirming the actual amount to invoice for.

Many thanks,  
Alan

Alan McKinnon  
Finance and Costings Administrator | Research, Innovation & Enterprise | Glasgow Caledonian University |  
70 Cowcaddens Road | Glasgow | Scotland | United Kingdom | G4 0BA |  
T: +44 (0)141 273 1221 | E: Alan.McKinnon@gcu.ac.uk



University for the Common Good

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**From:** McKinnon, Alan  
**Sent:** 12 July 2018 16:49  
**To:** Hendry, Gordon