

<b>Committee</b>	UHI North, West and Hebrides Board
<b>Subject</b>	Business Development – Project Approval Process
<b>Action requested</b>	<input type="checkbox"/> For information only <input type="checkbox"/> For discussion <input checked="" type="checkbox"/> For recommendation <input type="checkbox"/> For endorsement <input type="checkbox"/> For approval
<b>Summary of the paper</b>	The purpose of this paper is to seek approval of the project approval process
<b>Resource implications</b>	Staff time to develop process
<b>Risk implications</b>	Risk of not securing appropriate approval to continue to make grant and funding applications
<b>Date paper prepared</b>	October 2023
<b>Date of Board / Committee meeting</b>	1 <sup>st</sup> Nov 2023
<b>Author</b>	Interim VP Operations and Director of Research and KE
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan	The project links directly to the draft research and BD strategy to secure non SFC income
<b>Island communities</b>	The rural and islands college merger may have an impact on the Western Isles and islands covered by West Highland College that is different to other communities. As part of the merger process, the University will undertake an Island Communities Impact Assessment.
<b>Status</b> (e.g., confidential, non-confidential)	Non confidential
<b>Freedom of information</b>	Yes
<b>Consultation</b> How has consultation with partners been conducted?	Research and BD staff have been consulted, as has the ELT and F&GP Chair for guidance – Revisions agreed with research staff, Director of Finance and Principal

## RECOMMENDATION

Following a review of the research projects and reporting and monitoring, it is recommended that the UHI NWH Board of Management note and approve the following amendments to the ANF Process

### Amendments

Scope Page 3	<b>A.</b> Amended to <£10k <b>B.</b> Amended to >£10k
Table 1 Page 5	<b>A.</b> UHI NWH Comp amended to <£10k
Table 1 Page 5	<b>Proposal submission:</b> removal of Director of Finance or Principal
Table 1 Page 5	<b>Acceptance of Funding:</b> removal of Director of Finance or Principal
Table 1 Page 5	<b>B.</b> Amended to <£10k and <50k <b>Proposal submission:</b> added 'shared with VP Ops for ELT information'
Table 1 Page 5	<b>Acceptance of Funding:</b> removal all except Principal
Table 1 Page 5	<b>C: Proposal Submission</b> – added 'shared with VP Ops for ELT information and submitted to F&GP for information'
Table 2 Page 6	<b>A.</b> UHI NWH Comp amended to £10k
Table 2 Page 6	<b>Proposal submission:</b> removal of Director of Finance or Principal
Table 2 Page 6	<b>B</b> Amended to £10k and £50k
Page 7	<ul style="list-style-type: none"> <li>Current Research PM will manage and monitor successful projects with Director of Research/VP Operations/Finance Director or Principal signing up to £50k of spend within approved budget</li> </ul>

## Procedure for submission of funding proposals

### Purpose

The aim of this document is to set out the procedure for the development and submission of funding applications by staff members of UHI North, West and Hebrides (UHI NWH) The procedure covers proposals submitted directly by UHI NWH and those submitted via UHI Executive office (UHI EO).

The procedure has been developed for Research and Knowledge Exchange Submissions. However, its usage will be extended to other funding applications, with adaptation if required.

### Scope

The procedure specifies levels of delegated authority in making submissions. Procedures are outlined for proposals in which the total potential financial value to UHI NWH (in actual income and excluding 'in-kind' contributions)

- A. <£10k
- B. >£10k and <£50k and
- C. >£50k

submitted either by UHI NWH (Table 1) or via UHI EO (Table 2).

### Advance Notification Form (ANF) [see accompanying proforma \(ANF NWF 080823.doc\)](#)

The ANF is the mechanism used to collate and share information regarding each proposal. It will be used for proposals submitted directly by UHI NWH and those submitted via UHI EO to minimise duplication of efforts. The ANF will serve as an initial 'expression of interest', with information being added as the proposal develops toward submission.

Each ANF will be assigned a discrete folder in the 'proposals' area of the Research and Knowledge Exchange SharePoint site. Folders will be sorted according to the six thematic priorities in the UHI NWH Research and Knowledge Exchange Strategy, i.e., Energy, Pollution, Peatlands, Society, Tourism and Education. The folder will be used as the depository for the ANF and all submitted documentation, e.g., proposal, letters or support, budgets, etc.

The ANF used will be the version of the form used across UHI, modified to accommodate the operational and governance requirements of UHI NWH. The template will be stored on the Research and Knowledge Exchange SharePoint site and updated as required. Instigators should therefore refer to this template rather than modify or adapt historical ANFs.

## The approval process

### Key points

- Acceptance of funding for successful proposals with a UHI NWH income component of >£50k will require the approval of UHI NWH Finance and General purposes Committee (or by action of the Chair).
- Those with a competent value of <£50k may be accepted by the party stipulated in the letter of award (subject to adherence to the procedure of approval and submission outlined below).

In all cases, the instigator should first discuss the proposal idea or opportunity with their line-manager and (if different) the most relevant theme leader.

Where there is agreement on the merit of developing the proposal, the instigator should complete the ANF, as far as possible. The theme leader should then:

- provide constructive feedback on the proposal (drawing upon wider experience where required)
- advise whether the proposal should be submitted via UHI NWH or UHI EO
- decide on the financial value of the proposal to UHI NWH and follow the appropriate procedure (as outlined in Tables 1 and 2 below)

1. Proposals to be submitted via UHI NWH

Where proposals are to be submitted via UHI NWH, i.e., UHI NWH will be the legally and financially responsible entity, the following procedure should be followed.

Table 1.

Proposal conceptualisation	Proposal development	Proposal submission	Acceptance of funding
<b>A. UHI NWH component &lt;£10k</b>			
<ul style="list-style-type: none"> <li>- <b>Instigator</b> with support of <b>Line Manager/Theme Leader</b></li> </ul> <p><b>Initial ANF reviewed + approved by Theme Leader</b></p>	<ul style="list-style-type: none"> <li>- <b>Instigator</b> with support of <b>Line Manager/Theme Leader</b></li> <li>- <b>Grants and Contracts</b></li> <li>- Collaborators</li> <li>- Supporters</li> </ul> <p><i>Grant and contracts set up project folder on SP</i></p> <p><i>Instigator add ANF to SP</i></p>	<ul style="list-style-type: none"> <li>- <b>Instigator</b> with approval of <b>Theme Leader</b></li> </ul> <p>Or, as appropriate:</p> <ul style="list-style-type: none"> <li>- <b>Head of Research and Knowledge Exchange</b></li> </ul> <p><i>Instigator add proposal documentation added to project SP folder</i></p>	<p><b>Instigator, Theme Leader, Head of Research and Knowledge, Exchange,</b></p> <p><i>Letter of award, contracts etc. added to project SP folder</i></p>
<b>B. UHI NWH component &gt;£10k and &lt;£50k</b>			
<ul style="list-style-type: none"> <li>- <b>As A</b></li> <li>- <b>+</b></li> </ul> <p><b>Revised ANF reviewed + approved by Research Management Group</b></p>	<ul style="list-style-type: none"> <li>- <b>As A</b></li> </ul>	<ul style="list-style-type: none"> <li>- <b>As A</b></li> <li>- <b>Shared with VP Ops and onwards to ELT information and endorsement by Principal</b></li> </ul>	<p><b>Principal</b></p>
<b>C. UHI NWH component &gt;£50k</b>			
<ul style="list-style-type: none"> <li>- <b>As B</b></li> </ul>	<ul style="list-style-type: none"> <li>- <b>As A</b></li> </ul>	<ul style="list-style-type: none"> <li>- <b>As A</b></li> <li>- <b>Shared with VP Ops and onwards to ELT information and endorsement by Principal and submitted to F&amp;GP for information</b></li> </ul>	<p><b>Review and approval by UHI NWH Finance and General purposes Committee or Board as appropriate</b></p>

2. Proposals to be submitted via UHI Executive Office (EO)

Where proposals are to be submitted via UHI EO i.e. UHI will be the legally and financially responsible entity the following procedure should be followed.

Table 2.

Proposal conceptualisation	Proposal development	Proposal submission	Acceptance of funding
<b>A. UHI NWH component &lt;£10k</b>			
<ul style="list-style-type: none"> <li>- Instigator with support of</li> <li>- Line Manager and (where different)</li> <li>- Theme Leader</li> </ul> <p><i>Initial ANF reviewed + approved by Theme Leader</i></p> <p><i>Revised ANF submitted UHI Grants and Contracts</i></p> <p><i>UHI Grants and Contracts establish project file and issue proposal number</i></p>	<ul style="list-style-type: none"> <li>- Instigator with support of</li> <li>- Line Manager and / or (where different)</li> <li>- Theme Leader</li> <li>- Grants and Contracts (UHI NWH and EO), and as appropriate</li> <li>- Collaborators</li> <li>- Supporters</li> </ul> <p><i>Instigator and UHI Grants and Contracts update ANF</i></p>	<ul style="list-style-type: none"> <li>- Instigator with approval of</li> <li>- Theme Leader</li> <li>Or, as appropriate</li> <li>- Head of Research and Knowledge Exchange</li> </ul> <p>Completed by instigator via UHI Grants and Contracts</p>	<p>UHI Grants and Contracts / Deputy Principal Academic and Research or</p> <p>Instigator, Theme Leader, Head of Research and Knowledge Exchange as appropriate</p>
<b>B. UHI NWH component &gt;£10k and &lt;£50k</b>			
<ul style="list-style-type: none"> <li>- As A</li> <li>+ Revised ANF reviewed + approved by Research Management Group</li> </ul>	<ul style="list-style-type: none"> <li>- As A</li> </ul>	<ul style="list-style-type: none"> <li>- As A</li> <li>- Shared with VP Ops and onwards to ELT information and endorsement by Principal</li> </ul>	<ul style="list-style-type: none"> <li>- As A</li> </ul>
<b>C. UHI NWH component &gt;£50k</b>			
<ul style="list-style-type: none"> <li>- As B</li> </ul>	<ul style="list-style-type: none"> <li>- As A</li> </ul>	<ul style="list-style-type: none"> <li>- As A</li> <li>- Shared with VP Ops and onwards to ELT information and endorsement by Principal and submitted to F&amp;GP for information</li> <li>-</li> </ul>	<p><i>Noted by UHI NWH Finance and General purposes Comm or Board as appropriate</i></p> <p>UHI Grants and Contracts / Deputy Principal Academic and Research</p>

### Successful proposals

Successful' projects are considered to be those that have been approved according to the process above and have secured funding.

### Letters of Agreement, Contracts etc

'Successful' projects are those that have been approved according to the process above and have secured funding. Requirements of 'successful' projects will be framed by a Letter of Agreement, Contract or similar. Upon receipt such contractual information should be stored with the ANF in the relevant folder on Sharepoint.

### Project reporting, monitoring and audit

There is a diverse array of potential funders, each with particular financial reporting, progress monitoring and project closure requirements. In addition, new funding calls emerge, and monitoring and reporting requirements evolve. Therefore, it is not possible to stipulate a procedure covering all these variables, rather the following general principles will be applied.

- It is the shared responsibility of all involved in undertaking and managing project activity to ensure that the requirements below, and those of the funder are met.
- Reporting, monitoring and audit requirements will follow any letter of agreement or contract.
- Any variances agreed will be logged, and relevant documentation stored in the project folder in SharePoint.
- Management of funding will be compliant with the relevant policies and procedures of UHI NWH and /or UHI as appropriate.
- Budgets will be subject to general audit by UHI NWH and / or its appointed agents.
- Retention of documentation will follow the policy of UHI NWH
- Current Research PM will manage and monitor successful projects with Director of Research/VP Operations/Finance Director or Principal signing up to £50k of spend within approved budget

### Project closure

The method of closing a project varies from funder to funder. Again, general principles will be applied.

- It is the shared responsibility of all involved in undertaking and managing project activity to ensure that the project closure requirements are met
- All relevant documentation pertaining to closure should be stored in the proposal folder on SharePoint
- Retention of documentation will follow the policy of UHI NWH

*Footnote to reviewers – the process below makes certain assumptions, i.e., there will a NWH Head of Research and Knowledge, Exchange (or similar), and a NWH Research Management Group (or equivalent) and that there will be a Theme Leader for each of the 6 areas prioritised in the NWH Strategy (Energy, Tourism, etc.).*