

Health and Safety Commission Paper		HSC/04/123	
Meeting Date:	9 November 2004	Open Gov. Status:	Fully open
Type of Paper:	Below the line	Paper File Ref:	246/SASD/1019/2004
Exemptions:	None		

HEALTH AND SAFETY COMMISSION

HSC/E Workers' Safety Adviser Challenge Fund: Progress report and approval of the arrangements for the second round

A Paper by Stuart Bristow, Better Working Environment Division,

Advisers: Elizabeth Gyngell, Matthew Holder and James Whitman

Cleared by Jane Willis, Co-Director, Policy Group on 12 October 2004

Issue

1. To note the progress in taking forward the arrangements in support of the HSC/E Workers' Safety Adviser Challenge Fund and to approve the arrangements for the second round.

Timing

2. Routine.

Recommendation

3. The Commission is invited to:

- a) Note the progress of the management of the Fund and of projects to date; and
- b) Approve the arrangements in support of round two of the WSA Challenge Fund as set out **Annex 3**, "The WSA Challenge Fund – Information for Applicants: Second Round".

Background

4. Andrew Smith, then Secretary of State for Work and Pensions, announced the creation of the WSA Challenge Fund in October 2003. Funds of £3m (£1m in 2004/5; £1m in 2005/6; £1m in 2006/7) were granted to HSC/E to take forward the WSA Challenge Fund. The Chair launched the Challenge Fund on 31 March 2004. The closing date for applications for funding from round one was 7 May. At the Commission's meeting on 11 May, it was informed orally that seventy applications had been received. The Commission approved the management arrangements for the first round of the fund at that meeting (see HSC/04/45).

5. These arrangements include:
 - (a) A Challenge Fund Management Board of experts in health and safety and worker involvement to assess applications and advise HSE on progress with the fund;
 - (b) A Challenge Fund Manager to manage the work on a day to day basis;
 - (c) An independent evaluation of the effectiveness of the fund.
6. This paper reports to the Commission progress on the work of the Management Board, the appointments of a Challenge Fund Manager and an independent evaluator and on how the projects are performing to date. It also seeks the Commission's approval of revised Information for Applicants for awards from the fund in the second round.

Argument

Management Board

7. HSC/04/45 advised the Commission of the appointment by HSE of a nine-member Management Board, chaired by Professor Stephen Wood of the Institute of Work Psychology, University of Sheffield. A list of members is at **Annex 1**. The Commission agreed the respective roles of HSE, the Board and the Fund Manager in May and it is not proposed to change these. Members of the Board took up post on 21 May 2004 and their appointments run until 31 March 2005. They may be re-appointed for further one-year terms at HSE's discretion, subject to satisfactory performance.
8. The Board has met three times and is settling into its role. It meets again on 12 November. At its last meeting on 6 September, and subsequently by correspondence, it had a particularly detailed debate about the role and competence of WSAs. The revised draft Notes for Applicants reflect the views of the majority of the Board on this point, Richard Jones of IOSH dissenting. Mr Jones is concerned that WSAs may not be competent to give health and safety advice.
9. HSE's view reflects that of the majority of the Management Board. The term WSA stems from the WSA pilot in 2002, which tested a single model of stimulating worker involvement in which WSAs gave health and safety advice to employers. The Challenge Fund is different. Now we are testing (this year) twelve different ways of stimulating worker involvement and consultation. It is not the intention of every project that all WSAs will give health and safety advice; where they do not give such advice, their competence is not in debate. HSE continues to work with the Challenge Fund Manager to address Mr Jones' concerns.

Challenge Fund Manager and progress with projects to date

10. Following an open tender exercise, in July 2004 HSE appointed Project North East, a not-for-profit organisation based in Newcastle upon Tyne, to manage and administer the Challenge Fund. The Challenge Fund Manager's responsibilities include:
 - Assessing bids against the criteria set out in the Information for Applicants and making recommendations to the Challenge Fund Management Board;
 - Administering awards from the Challenge Fund, the financial management of the Challenge Fund including accounting to HSC/E for expenditure and auditing projects in receipt of awards; and
 - Monitoring progress and providing HSC/E and the Management Board with regular progress and financial management reports.

11. Of the 70 applications for awards received, 12 received funding. A summary of these projects is at **Annex 2**. The Challenge Fund Manager's first quarterly report (available on request) indicates that the projects are proceeding largely as planned. There have been some difficulties associated with getting some of the projects up and running in such a short time (and particularly over the summer period), but all projects have appointed WSAs. By the end of September there were 47.5 WSAs in post, which is almost a full complement, and 208 employers engaged with the Challenge Fund. The total target for employer engagement with the WSA portfolio is 773, so projects have made a strong start. There are no projects causing the Challenge Fund Manager concern, although they are seeking more information from some.

Evaluation

12. Following a limited tender exercise, HSE has contracted Greenstreet Berman to evaluate the effectiveness of the WSA Challenge Fund and in particular the impact of the WSAs on health and safety performance through increased worker involvement. They have had some difficulties associated with their appointment after projects had begun and the slow start projects have had. Nevertheless, a baseline survey of workers and their employers is underway. Some difficulties specific to the two construction projects are being addressed.

Changes to the Information to Applicants for round two.

13. In response to advice from the Management Board, HSE has amended the "Information Pack" that contains the arrangements for round two. It is now termed "Information for Applicants" and contains less background to the fund than the original. It is at **Annex 3**. The guidance on completing the application form that was previously in the form itself has been transferred to this document.

14. Apart from these presentational changes, information has been added on WSAs' role and competence, and it has been made clear that awards may be made for up to two years. The latter change was made in response to a request from the TUC, who pointed out that:

- Getting a project under way and delivering in a single year was extremely difficult;
- Single year funding is likely to lead to discontinuity in delivery, because some WSAs may accept other employment towards the end of the year to be certain of continuous employment; and
- Single-year projects will not give a clear view of what is likely to work in the longer term.

15. In addition, longer projects will reduce the administrative overhead on the projects and on the Challenge Fund manager, reducing costs.

16. HSE intends to ensure that the Fund retains its competitive nature and that it does not wither away because of a perception that all the money for year 3 has been allocated in advance. This will be done by ensuring that (assuming there are suitable applications for two-year projects), there is a mixture of one and two-year projects.

17. The Commission is invited to approve the arrangements at Annex 3.

Consultation

13. Within HSE. The Challenge Fund Management Board, the Challenge Fund Managers and the evaluators have been consulted on Annex 3.

Presentation

14. No specific presentational issues arise from this paper. The launch of the Challenge Fund attracted media interest. We will seek to gather publicity for the launch of round two.

Costs and Benefits

15. We will be assessing cost and benefits of the WSA approach as part of the evaluation exercise.

Financial/Resource Implications for HSE

16. Setting up the Challenge Fund has been a resource intensive exercise. However, now that the Challenge Fund Manager and other arrangements are in place, it is expected that the demands on HSE will ease.

Environmental Implications

17. None

Other Implications

18. None

Action

19. The Commission is invited to agree the recommendations at paragraph 3 above.

The Workers' Safety Adviser Challenge Fund Management Board

Professor Stephen Wood (Chair)	Institute of Work Psychology, University of Sheffield
Janice Bentham	Former WSA in the WSA Pilot
Jacquie Hill	Head of Occupational Health and Safety, Barclays plc
Richard Jones	Director of Technical Affairs, IOSH
Paul Reeve	Health and Safety Adviser, Electrical Contractors Association
Philip Russell	Proprietor, Russell Building Services
Rob Sneddon	National Health and Safety Officer, Community
Claire Sullivan	Senior Negotiating Officer, Chartered Society of Physiotherapy
Dr Luise Vassie	Lecturer in Health and Safety Management, University of Leicester

Workers' Safety Adviser Challenge Fund: Successful Projects in Round One

Name, location and status of lead partner	Other partners	Project location	Sector/s	Project description	Funding requested	No of WSAs
British Glass Sheffield Not-for-profit trade association	Ceramics & Allied Trade Union	GB-wide	40 Glass and Ceramic businesses	Two WSAs with a caseload of 40 organisations. By creating a partnership between trade associations, trade unions and the 40 companies involved, the project aims to raise awareness of the importance of health and safety at both employer and employee levels. The project aims to increase health and safety knowledge on topics such as risk management, hazard identification and training techniques.	£100k	2
Coalfields Regeneration Trust Rotherham Charity	Community Services UK Ltd TGWU	GB-wide	20 Voluntary and Community workplaces	The project will provide a system of worker safety advisors who will promote a health and safety culture of involvement, consultation, co-operation and partnership working within the Coalfields Regeneration Trust and its member organisations.	£64k	4

<p>Community Ventures</p> <p>Middlesborough</p> <p>Charity</p>	<p>Development Trusts Association</p> <p>Amicus</p>	<p>GB-wide</p>	<p>20 Voluntary and Community workplaces</p>	<p>The project will provide a system of worker safety advisors who will promote a health and safety culture of involvement, consultation, co-operation and partnership working within the Development Trusts Association and its member organisations.</p>	<p>£62k</p>	<p>4</p>
<p>Enworks</p> <p>Manchester</p> <p>Voluntary</p>	<p>Groundwork West Cumbria</p> <p>Business Link East Lancashire</p> <p>Business Link North Manchester</p> <p>Groundwork Wirral</p> <p>Groundwork Environmental Business Services</p> <p>UNISON</p>	<p>North West</p>	<p>160 Construction, Hospitality, Retail and Voluntary SMEs</p>	<p>The project will create a service, in the North West from which health and safety training, advice and support can be provided to small firms. The service will help employers and their employees realise and deal with their responsibilities to health and safety. The ultimate aim of this project is that any small firm in the area will be able to access this support at no cost.</p>	<p>£100k</p>	<p>3</p>

Federation of Master Builders London Employers' Association	UCATT TGWU	South West	175 Construction SMEs	Through setting up a sustainable worker safety advisor scheme for the federation's members and their employees, the project aims to engage with the work force to increase their understanding of health and safety policies and practices on site, as well as develop communication between employers and workers.	£90k	3.5
GMB London Trade Union	Asbestos Control Division of the Thermal Insulation Contractors Association	Nottinghamshire, Leicestershire, Lincolnshire and East Yorkshire	19 Asbestos removal businesses	The project for the hazardous asbestos removal industry, aims through the promotion of worker involvement to create a positive health and safety culture and increased self-regulation within the industry. This will be done by promoting areas such as communication, positive health and safety attitudes and effective management techniques.	£40k	1

<p>Health@Work Liverpool</p> <p>Charity</p>	<p>Liverpool Chamber of Commerce</p> <p>Liverpool Business Partnership Group</p>	<p>Liverpool</p>	<p>40 Hospitality and Retail SMEs</p>	<p>Working within Liverpool's hospitality and retail industry, the project aims enhance the capacity of employers and employees to deal with health and safety issues. Worker safety advisors will work with employers and their staff to establish practices such as workplace safety representatives, risk assessments and disability access audits.</p>	<p>£74k</p>	<p>2</p>
<p>HealthWorks in London</p> <p>Newham</p> <p>Voluntary</p>	<p>London Borough of Newham</p> <p>UNISON</p> <p>Access Partners</p> <p>African Caribbean Business Network</p> <p>Newham Chamber of Commerce</p> <p>Newham Primary Care Trust</p>	<p>East London</p>	<p>500 SMEs</p>	<p>Working with small firms in East London the project aims to increase communication between employers and employees so that they can work together to improve health and safety standards. The project is particularly interested in promoting the use of 'body mapping' to help workers and their employers establish their occupational health needs.</p>	<p>£60k</p>	<p>2</p>

<p>Kirklees Metropolitan Borough Council</p> <p>Huddersfield Local Authority</p>	<p>Huddersfield South Primary Care Trust</p> <p>Central Huddersfield Primary Care Trust</p> <p>North Kirklees Primary Care Trust</p>	<p>Kirklees, West Yorkshire</p>	<p>Up to 470 SMEs</p>	<p>The project will create an integrated occupational health and safety support service; aimed at small firms and provided at no cost. Working actively with both employers and employees, the project aims to help them work together with areas such as policy, risk assessment and training.</p>	<p>£50k</p>	<p>2</p>
<p>Park Royal Partnership</p> <p>West London Not-for-profit urban regeneration company</p>	<p>GMB</p>	<p>Park Royal, West London</p>	<p>60 Food SMEs</p>	<p>Targeted at small firms in the West London food sector, the project aims to raise awareness of health and safety amongst the work force and increase communication between employers and their staff. To achieve this the project will provide services such as practical advice on health and safety issues, legislation and training.</p>	<p>£70k</p>	<p>1</p>

<p>Sheffield Occupational Health Advisory Service</p> <p>Sheffield Charity</p>	<p>Voluntary Action Sheffield</p>	<p>Sheffield</p>	<p>50 Voluntary SMEs</p>	<p>To provide voluntary sector organisations with a framework, involving both employers and employees, for preventing accidents and ill health to both themselves and their clients. The project will include services such as the provision of self-reporting systems and stress management techniques.</p>	<p>£33k</p>	<p>1</p>
<p>UCATT London Trade Union</p>	<p>Construction Confederation</p> <p>National Federation of Builders</p>	<p>Midlands</p>	<p>130 Construction SMEs</p>	<p>Working with small firms in the West Midlands construction industry, this project aims to improve health and safety management. Using worker safety advisors the project aims to motivate workers to take an active role in preventing accidents and ill health in the workplace, and promote the benefits of worker involvement to employers.</p>	<p>£69k</p>	<p>2.5</p>



The Workers' Safety Adviser Challenge Fund

**Working in partnership with workers and employers to secure improvements in
health and safety**

*Information for Applicants: Second Round
(April 2005 – March 2006)*

The Workers' Safety Adviser Challenge Fund

Background

Worker involvement and consultation in health and safety

Workers who have a voice, influence and responsibility on health and safety matters are safer and healthier than those who do not. By involvement we specifically mean relationships between workers and employers based on collaboration and trust – essential elements if we are going to build the partnerships necessary to produce real improvements in health and safety.

The Government, the Health and Safety Commission and Health and Safety Executive have re-affirmed their commitment to putting measures in place that will help us to achieve the goal of proper and effective involvement and consultation with all workers on health and safety. The Workers' Safety Adviser (WSA) Challenge Fund is one such measure.

About the Workers' Safety Adviser Challenge Fund

The WSA Challenge Fund is a grant scheme designed to increase worker involvement and consultation, through the intervention of the Workers' Safety Adviser, as a means of building partnerships in the workplace and driving improvements in occupational health and safety. Since achieving partnership in the workplace is the key driver, applications must come from groups of partners. Applicant organisations could be looking to work together in partnership for the first time or to build on existing relationships. Partners in a project might be, for example:

- The management of a single organisation and its workers or the workers' trade union;
- A trade association, an organisation or organisations in that sector, a Chamber of Commerce, trade unions and other key stakeholders;
- A Business Link or Learning and Skills Council and local organisations or a trade association, trade unions and other key stakeholders.
- A charity or other voluntary organisation and a trade union.

This list is by no means exhaustive. The term "partnership" is used in this context to mean a close working relationship based on shared interests and mutual support.

Projects for support under the Challenge Fund are invited on a competitive basis during fixed rounds. Projects must focus on developing and improving worker involvement and consultation in occupational health and safety in the workplaces that are the subject of the award. The focus of the Challenge Fund is on small and medium-sized organisations employing up to 250 employees.

The Government has allocated funding of £3 million over a three-year period:

- £1 million in the First round – July 2004 – March 2005
- £1 million in the Second round – April 2005 – March 2006
- £1 million in the Third round – April 2006 – March 2007

The funds made available by the Government have to cover not only the awards but also the costs of managing and administering the Challenge Fund. The costs of evaluating the effectiveness of the Challenge Fund will be met from other sources.

The maximum award of a grant available to an organisation and its partners in each year of the Challenge Fund is £100,000. Where a cost of a project exceeds £100,000 in each year the partners will be expected to supplement an award from their own resources. VAT costs have to be met by the organisation from the award.

Eligibility

Any organisation or individual based and trading in Great Britain is eligible to apply for an award from the Challenge Fund, but those applying for an award must identify one or more partners who will also be participating in the planned project, and have secured their agreement to participate.

Applications may come directly from organisations intending to work in partnership or from organisations representing the partners, for example:

- Employers' associations
- Trade unions
- Workers
- Employers
- Voluntary organisations
- Local authorities
- Chambers of commerce
- Academic bodies
- Consultancies

“Partners” in this context means different stakeholders seeking to work together in partnership in workplaces that are the subject of the award from the Challenge Fund. The Health and Safety Executive cannot be a partner in an application.

Organisations that were granted a Challenge Fund award to undertake projects during the first round can apply for continuing support during the second and third rounds; performance in the first year will be taken into account in assessing the application. In this round, applicants may apply for funding for one or two years, but, to maintain the Fund's competitive nature, applications for two years' funding will need to demonstrate how the outcomes that will be achieved will be significantly improved compared to those that would be achieved from two one-year projects.

Projects may cover one workplace or a number of workplaces.

We welcome applications from organisations that wish to encourage the involvement of freelance or temporary workers, or those who do the bulk of their work in temporary projects.

The application form: guidance notes

Question 1: Lead partner information

Each application must identify a lead partner who will be responsible for the management and administration of the Challenge Fund award for the whole project and who will be the point of contact with the Challenge Fund Manager.

“Nature of the organisation” means a description of the organisation’s role: for example, employers’ association, trade union, employer, voluntary organisation, local authority, Primary Care Trust, Chamber of Commerce, University, college, consultancy, etc.

The contact name will be the contact name for all correspondence (including acknowledgement of receipt of the application form) and general project issues.

The senior contact for the lead partner will generally be more senior and give board (or equivalent) level support to the project. The senior contact for the lead partner is the person required to complete the lead partner’s declaration at question 18. The lead partner contact’s details may be published in any press releases issued by HSE about the Challenge Fund if the project is awarded funding.

Question 2: Other organisations that form the partnership, including full names and nature of the organisation.

Question 3: What is the overall aim of the project?

If your project is successful this summary will be used in the HSE press release. Please use no more than 100 words.

Question 4: What are the project’s objectives?

Projects may have few or many objectives, but partners must be clear about what they intend to do and how they will do it. You should list the objectives in no more than 500 words, being as specific as possible.

Question 5: Describe the project in detail.

Your description should include:

- Information about the nature of the workforce whose involvement you want to encourage, and the health and safety challenges it faces.
- The inputs required to keep the project on track, including milestones and activities to reach these. Please note that projects need not necessarily involve the WSA(s) giving advice on health and safety.
- The outputs that will be generated by the project in terms of improved arrangements for worker involvement and consultation on occupational health and safety. You should specify in particular the nature of the worker involvement that your project seeks to achieve.
- The outcomes that you expect the project will deliver, including the business and social benefits that will result from improved health and safety (e.g. a reduction in accidents, a reduction in days lost).
- The overall project objectives to which these will contribute (e.g. changes that will lead to more effective and inclusive worker involvement).
- An estimate of how much benefit is expected.
- How success will be measured.

Meeting the Challenge Fund criteria

The next few questions are intended to help you provide evidence of how your project will meet the Challenge Fund criteria on page 10.

Question 6: How will the project focus on a partnership approach?

Applications are expected to demonstrate a distinctive focus on partnership on occupational health and safety and a clear awareness of the intended benefits both for employers and workers. You should explain the process by which employers and workers will, with the assistance and support of the Workers' Safety Adviser, tackle the objectives of the project; what role each partner will undertake; and how the partners will work together to deliver the objective of the project.

Question 7: Ensuring the competence of the WSAs relative to their role.

The aim of the WSA role under the Challenge Fund is to facilitate worker involvement in health and safety. It is not to substitute for this worker involvement or to take responsibility for decisions about the mechanisms required to achieve that worker involvement. That is the role of the project partners in conjunction with the workers involved. The project applicants have discretion to define the precise nature of the WSA's role to fit the particular circumstances of the project, but it is likely that the role will include:

- Gaining knowledge of the health and safety issues in the workplaces in the project, e.g. through workplace tours.
- Facilitating communication between workers (and their representatives, where appropriate) and employers and getting people to think through health and safety matters together.
- Consulting in depth with workers and employers on health and safety matters.
- Working with employers and workers to help them identify and manage risks to occupational health and safety.
- Recommending actions to control risks, including helping to identify training needs.
- Giving advice on structures and processes designed to improve worker involvement and consultation.
- Providing the partners, the Challenge Fund Manager and HSE's evaluators with any information that they require to monitor and evaluate the project and Fund.

To facilitate worker involvement, to ensure that the WSA will have credibility amongst those he or she meets and that any advice given on occupational safety and health is sound, the partners must demonstrate that the WSAs named in the proposal (or, where they have yet to be recruited, that the selection criteria against which they will be selected) have the following:

- Good communication, facilitation, presentation, persuasive, diplomatic, team working and interpersonal skills, and the personality and confidence to be acceptable to and welcomed by employers and workers;

- Relevant, up-to-date knowledge and experience of the environment or sector in which they will work;
- Sensitivity to know the limits of their competence and when and how to seek appropriate advice;
- Sensitivity to appreciate that the role of the WSA is to facilitate and advise and not to substitute for the involvement of workers; and
- Where the project envisages that the WSA will give advice on occupational health and safety, an appropriate accredited qualification in health and safety.

What is an appropriate accredited qualification in health and safety will depend on the definition of the WSA's role. Such qualifications can be acquired by any of the following routes (though this is not an exhaustive list):

- Courses leading to a nationally accredited qualification such as an N/SVQ in Occupational Health and Safety;
- Courses leading to a qualification from the National Examination Board in Occupational Safety and Health (NEBOSH);
- Courses leading to a University qualification in health and safety;
- British Safety Council courses; or
- TUC courses.

The qualifications required for a WSA to advise on health and safety are at N/SVQ level 3 or equivalent, e.g. TUC Certificate in Occupational Health and Safety, NEBOSH Diploma (part 1), or the British Safety Council's Diploma in Safety Management.

Question 8: What specific health and safety initiatives will be explored and developed that are key to the organisation's objectives and the health and safety of workers in it?
Describe here how your project will tackle specific health and safety and worker involvement problems that are important to organisations and their workers.

Question 9: How will the planned improvements brought about through participation in the project be sustained in the longer term?
Demonstrate how the results of your project will be sustained after funding ends.

Question 10: What innovative features does your project have?
We welcome applications that are innovative and experimental. Describe the innovative features of your application.

Question 11: How will you ensure your project provides value for money and is cost effective?
The aim is to optimise awards from the Fund to ensure that as much of the resource as possible goes in to the front line work of the WSAs and the delivery of the planned outputs. Show how your project would be cost effective.

Question 12: State why the project could not go ahead without funding assistance.
State why and how HSE funding will help the project go ahead, and why you would not otherwise be able to carry out the project without support from the Challenge Fund. This is sometimes termed "additionality".

Additionality simply means describing what activities will be undertaken or what changes will take place that would not otherwise happen if the Government did not provide funding.

Where an organisation makes a large profit or has substantial resources, a case for funding assistance is more difficult to argue than for a small, cash-constrained organisation. However, the Challenge Fund recognises that often, organisations would like to undertake activities to improve worker involvement in health and safety but hesitate to commit scarce resources. Government funding can act as a catalyst to help an organisation find the resources to bring these projects to the top of the agenda. We would expect you to support these arguments within your application.

Question 13: If you are applying for two years' funding, state how what will be achieved will be significantly better than what will be achieved with one year's funding.

You may apply for one or two years' funding in this round. However, HSE wishes to ensure that the third round next year is not over-subscribed, thus reducing the chance for other good projects to receive funding. If you wish to apply for two years' funding, you must therefore demonstrate that there will be significant benefits to the outcomes of the project from receiving an award for two years. These benefits should be quantified as far as possible. The Management Board may recommend that a two-year application receive only one year's funding. The award of one year's funding in these circumstances neither guarantees nor precludes funding in the third round of the Challenge Fund, which would need to be the subject of a fresh application. If you do not want to be considered for one year's funding, please state this clearly.

Question 14: What is the project timetable?

This should show who does what and when they will do it. It should include sufficient information and milestones to help the lead partner, all other partners and HSE, the Challenge Fund Manager and Management Board to keep track of progress. Projects should begin by 1 April 2005.

The timetable will help you in setting target dates for completing tasks vital to delivery of the project objectives. You should list the project objectives and the dates by which you expect to complete them in the table. Add further rows if necessary. Complete the table for year 3 **only** if you are applying for two years' funding.

Question 15: Describe the financial and project management arrangements you will put in place if you receive funding.

Please limit your response to no more than 500 words.

Question 16: Funding the project

Please complete the table showing total costs for the project, broken down by budget heads. Second round awards will have to be spent in the period April 2005 – March 2006, unless you receive an award covering two years. Do not complete the column for year 3 unless you are applying for two years' funding.

Please break down personnel costs to give an indication of the amount of time in days spent on the project, e.g. "personnel costs of £10,000 in 2005/6 will fund 80 days on the project". Please note that the maximum award for year 2, April 2005 – March 2006, will not exceed £100,000.

To be eligible, costs must be directly incurred in producing outputs agreed as a condition of the Challenge Fund award. These may include:

- Direct costs of personnel involved for the time spent on project work;
- Up to a reasonable level of overheads and office equipment costs where they are specific to the project;
- The development or delivery of training packages related to the project's objectives;
- Dissemination/meeting costs relevant to the project work, e.g. hire of venue for conference;
- Promotion/publicity material for in-house or external promotion of the project;
- Reasonable travel and subsistence costs relevant to the project.

Capital costs, including buildings, equipment and machinery, are not eligible costs. Costs for employing temporary staff to replace employees involved in project activities are not eligible.

All projects will be audited by the WSA Challenge Fund Manager at least once during the lifetime of the project.

It is not expected that WSAs will require additional health and safety training, other than induction into the project and its workplaces, and familiarisation with the WSA Challenge Fund. Induction specific to the project and any additional training that, in exceptional circumstances, is required is the responsibility of the lead partner. The costs of any additional training cannot be included in the project costings.

Question 17: Are you or a member of your partnership already receiving financial support from public funds for any element of this project or similar activity? Please identify the provider of any public funds you are currently receiving and the purpose of the support. Please identify the provider of any public funds you are currently receiving and say what it is for. Please explain any abbreviations you use.

Question 18: Declaration by all partners

All partners must sign the declaration. Continue on a separate sheet if necessary.

How to apply

The Health and Safety Executive invites applications for funding from the second round to be made between 1 December 2004 and 21 January 2005. Applications must be made using the application form available at **[to be completed]** and must be in writing. Electronic applications will not be accepted.

The completed application form, signed by all the organisations intending to collaborate, together with evidence of the financial viability of the lead partner must be sent to the WSA Challenge Fund Manager: Project North East, 7 -15 Pink Lane, Newcastle upon Tyne, NE1 5DW by 21 January 2005. Proof of posting will not be accepted as proof of delivery.

If necessary, partners can supply a letter of consent if they are not able to sign the form. Financial viability can be demonstrated by the last two years' annual accounts. If accounts are unavailable or are more than six months old, draft or management accounts for the latter period should be provided.

Assessment of applications

First, the WSA Challenge Fund Manager will assess proposals against the award criteria below. The Challenge Fund Manager will then score and rank the applications. The Challenge Fund Management Board will then consider applications, together with Challenge Fund Manager's assessment. The Management Board, appointed by the Health and Safety Executive, is made up of nine experts in the field of worker involvement and/or health and safety drawn from representatives of trade associations, employers' organisations, trade unions and other key stakeholders. Final decisions on awards will be taken by HSE, based on the recommendations of the Challenge Fund Management Board.

Award criteria.

Applications should demonstrate:

- **Partnership working**, both between the project partners and between workers and employers in workplaces. Partnerships must be strong and viable;
- That WSAs with the right **competence** to do the job expected of them can be recruited. The WSAs' roles must be clearly specified and the people selected to fulfil the WSA role must have the competence to do the job;
- That effective worker involvement and consultation will be **achieved**. "Bottom up" worker involvement must be generated and WSAs must not become substitutes for worker involvement. The prediction that improvements in health and safety arrangements, behaviour and indices will follow must look feasible;
- That worker involvement and consultation, and health and safety changes will be **sustained**; and
- **Additionality** – that is that the project would not have gone ahead or on a much smaller or slower scale without support from the Government. An award from the WSA Challenge Fund should act as a spur and initiate partnership activity.

Applications that fail to demonstrate these points adequately will not be successful. In the event that competing applications score equally on these criteria, the Board will consider the following factors in making its recommendations to HSE:

- **Innovation** – The aim is to stimulate the testing of a variety of models to encourage greater worker involvement. Innovative approaches are welcome.
- Good **value for money** and cost effective. The aim is to optimise the award to ensure that as much of the resource as possible goes in to the front line work of the WSA and the delivery of the planned outputs.
- Tackles sectors (either business or geographic) where **worker involvement and consultation on health and safety has historically not been strong**.
- Tackles sectors (either business or geographic) with **significant health and safety problems**.

Applications for awards must clearly set out how the resources will be used, what resources of their own they plan to invest, identify the employing organisations and their workplaces at which the award will be directed and the outputs (both volume and time) that will be achieved.

Results of applications

Acknowledgements will be sent to all applicants soon after the closing date for second round WSA Challenge Fund awards of 21 January 2005. The Challenge Fund Manager will write to all applicants in March 2005 informing them whether their project has been successful or not.

Successful applications

If your application is successful, HSE will send an offer letter that will set out the terms and conditions of the WSA Challenge Fund award. You will be required to sign the offer letter and a collaboration agreement accepting these terms and conditions and return it to the WSA Challenge Fund Manager. You will also be required to indemnify the HSE and the Challenge Fund Manager in respect of any liabilities or claims arising from the work of the WSA. You should ensure that you have adequate insurance and that this is budgeted for in your application.

Costs incurred before the issue of an offer cannot be considered. If you start your project before the formal offer letter is signed and returned to the WSA Challenge Fund Manager, you do so at your own risk.

Payments from the Fund are made monthly and in arrears direct to the lead partner. You will be required to break down the costs covered by the monthly invoice for payment and provide a report of spend against budget and a budget forecast for the remaining period covered by the award.

Once the WSA Challenge Fund Manager and HSE are satisfied that all criteria for the claim have been met, they will make a payment to the lead partner to cover the expenditure, in line with the conditions set out in the offer letter that will be sent to the successful applicants.

The Challenge Fund Manager will give the lead partner in the project a progress report form that must be completed and returned to them on a quarterly basis. Project progress will be judged against the objectives and milestones you provide in your application. The Challenge Fund Manager's agreement must therefore be sought in advance of any deviation from the original project in content or timescale.

It is also a condition of the award that the WSA Challenge Fund Manager can ask to see all documentation relating to the conduct and progress of the project, project spend and all claims. The Challenge Fund Manager reserves the right to undertake *ad hoc* audits. The Challenge Fund Manager's accounts are subject to annual and *ad hoc* audit by HSE.

A final report must be sent to the Challenge Fund Manager within three months of the completion of the project. Final payment is dependent on the submission of the final report to the satisfaction of the Challenge Fund Manager and HSE.

Evaluation

An independent evaluator has been appointed to evaluate both the Challenge Fund overall and individual projects. They will be in regular contact with all successful projects, which must comply with any requests for information.

Unsuccessful applications

Unsuccessful applicants will receive an explanation for the decision that was made. If you are dissatisfied with the reasons for the decision, you have the right to have the decision reviewed by the Deputy Director General (Policy) of HSE. Details of how to apply for a review will be sent with the letter notifying you of the decision.

Publicising the projects

The Health and Safety Executive reserves the right to publish the names of successful applicants and projects. We would like to publicise successful projects more widely and will therefore seek permission to use specific material on a case by case basis.

Further information

Contact the WSA Challenge Fund Manager:

FAO Les Johnson
Project North East
7 -15 Pink Lane
Newcastle upon Tyne
NE1 5DW

Tel: 0191 261 6009
Fax: 0191 245 3785

You can also visit HSE's Workers' Safety Adviser Challenge Fund website on <http://www.hse.gov.uk/workers/involvement/wsachallenge.htm> .

Frequently asked questions

1. Can a project be solely about training ?

In principle, this is possible. In any organisation training is an important part of developing partnership between employers and workers. But if it is to have any real value, the decision about health and safety training, or training to promote better worker involvement and consultation, must be arrived at through joint discussions between managers and workers. If training is introduced by a top-down approach and workers are not fully involved, this does not demonstrate a partnership as required by the WSA Challenge Fund criteria.

To meet the WSA Challenge Fund criteria, training should be provided to enable the two parties to develop their health and safety relationship together. It should be provided as a result of consultation between the employers and the workers.

2. If we are already developing partnership-type projects, can we apply for funding towards that existing activity?

You can apply to the WSA Challenge Fund for support if you are developing new initiatives that help to strengthen partnership and improve health and safety within the organisation. You should demonstrate that the work for which you are seeking support adds significant value to earlier efforts, is distinct from the main project and could not be undertaken without Government support.

You will need to provide a strong additionality argument in your answer to question 12 on the application form.

3. Which partner should submit costings and financial information?

If the project is taking place in one organisation between the employer and the workers then the application form need only be completed once by the organisation. If there is more than one organisation involved in a partnership, then each organisation needs to signify on the application form their agreement to participate.

The lead partner in the project should provide financial reports and requests for payment to the Challenge Fund Manager on a monthly basis.