Report on Management Approaches
in
NEW OSH ERA

New and Emerging Risks in Occupational Safety and Health (OSH) - Anticipating and Dealing with Change in the Workplace through Coordination of OSH Risk Research

Content

Introduction

NEW OSH ERA is an acronym for *New and Emerging Risks in Occupational Safety and Health (OSH) - Anticipating and Dealing with Change in the Workplace through Coordination of OSH Risk Research*. NEW OSH ERA is an initiative of 18 organisations from nine EU member states aiming at building a European dimension into the assessment of new and emerging risks in the workplace by rationalising and pooling of resources. The project is supported within the context of the 6th Framework Programme by the European Commission and is one of approximately 70 ERA-NET projects (ERA – European Research Area). The ERA-NET scheme is an instrument to support networking of funding organisations in order to initiate coordination of national or regional funding programmes. The overall aim of ERA-NETs is to build up the basis for joint activities in the field of research funding and, if possible, to create a common research funding budget for research institutions of EU member states. To build the basis for this ambitious aim it is necessary to exchange information about their work, organisational structure, review procedures and funding philosophies. This can be regarded as a first step of mutual learning.

Therefore the common aim of NEW OSH ERA is to implement joint activities and to promote OSH research at European level. One of the specific objectives of NEW OSH ERA is to collect information about public funding programmes in the participating countries.

The institutional members of NEW OSH ERA are key players in their countries concerning the knowledge about research on occupational safety and health as well as regarding the funding of research in that field. They fund and/or carry out OSH research on national level and also develop, implement and coordinate research funding programmes in these respective countries.

NEW OSH ERA is a partnership 18 research institutes, funding agencies, ministries from 9 EU Member States, and the European Agency for Safety and Health at Work


Finnish Institute of Occupational Health, FIOH, Finland


Finnish Work Environment Fund, FWEF, Finland


Finnish Ministry of Social Affairs and Health, Finland


Federal Institute for Occupational Safety and Health, BAuA, Germany

Central Institute for Labour Protection – National Research Institute, CIOP-PIB, Poland

Project Management Organisation for the Federal Ministry of Education and Research, Germany

Hauptverband der Gewerblichen Berufsgenossenschaften, Germany

National Research Centre for the Working Environment, NRCWE, Denmark
The Danish Working Environment Research Fund (AMFF) (research funding)

Federale Overheidsdienst Werkgelegenheid, Arbeid en Sociaal Overleg, FOD WASO, Belgium

Istituto Superiore per la Prevenzione e la Sicurezza del Lavoro, ISPESL, Italy

Swedish Council for Working Life and Social Research (FAS), Sweden

Fodor József National Center for public health & safety (FJOKK), Hungary

European Agency for Safety and Health at Work, Spain

European Agency for Safety and Health at Work, Spain

Hellenic Institute for Occupational Health and Safety, Greece

Ministry of Employment and Social Protection, Greece

Federal Ministry of Labour and Social Affairs (BMAS), Germany

Ministero della Salute, Italy

Ministry of Labour and Social Policy, Poland

The co-ordination of the whole project is administered by Prof. Kai Savolainen and Dr. Carita Aschan (Finnish Institute of Occupational Health).

To come to joint activities it is necessary to broaden the knowledge concerning management approaches in the member states. On the basis of this knowledge it will be possible to identify the strengths and weaknesses in different management approaches. This could be a basis for a benchmarking process and for elaborating a proposal for transnational activities as e.g. a joint call. With this action NEW OSH ERA aims to stimulate a deeper learning by analysing and evaluating the differences between programme activities. One of the tasks of NEW OSH ERA is therefore dedicated to management approaches and an overview of the national research management good practice in OSH related research programmes.

1 Methodology

To come to a deeper understanding of the management approaches in the member countries of NEW OSH ERA, two activities were carried out. In the first phase a questionnaire (see in the Annex) was developed and circulated among the partners. In the second phase a workshop was arranged where the partners came together to discuss the analysis of the questionnaire and to come to more detailed knowledge about the different management approaches.

The mission was focussed on members of NEW OSH ERA. Therefore the questionnaire was completed only by partner institutions. Poland, Finland, Greece and Italy also sent additional national reports where they resumed their funding particularities which were not explicitly asked for in the questionnaire but which are very informative for understanding their funding strategies.

A first draft of the questionnaire was developed by the German members of NEW OSH ERA, - PT-DLR, BAuA and HVBG - and was then discussed at a MANAGEMENT TEAM meeting of NEW OSH ERA. To improve the instrument members were asked for their comments. The final version of the questionnaire was agreed upon by all partners to survey the main features of programme management practices used by the NEW OSH ERA partner organisations.

The questionnaire consists of six sections:

1) Information about the ongoing OSH-related funding programme (e.g. title of ongoing OSH-related research funding programme, owner of the programme, existence of a project management organisation, responsibility assignment, kind of research)
2) Implementation approaches (time of submitting a project, place of publishing the call, persons/institutions allowed to submit an application, kind of information and documents for application, information about the STEERING COMMITEE, networking of projects)
3) Administrative procedures (number of projects starting per year, runtime of projects, amount of OSH funding during the years, funding sum, eligible costs, funding of international researchers)
4) Dissemination and implementation of research results (dissemination plan, end-users of results, valorisation, intellectual property rights, commercial activities)
5) Evaluation practices (monitoring of projects, reviewers, decision of funding, benchmarking process, evaluation process, quality management system)
6) European research funding activities (possibility of a joint budget, experience with joint international funding measures, obstacles for joint measures).

With help of the questionnaire qualitative and quantitative indicators were collected. In order to keep the required expenditure of time for the person filling in the questionnaire as low as

possible and in order to keep the answers simple and meaningful as many questions as possible were formulated as closed questions (quantitative questions). Questions were posed either as multiple choice questions or answers were requested in form of numbers (e.g. amount of funding for a project on average). In cases where of more comprehensive answers were needed, open questions were preferred (e.g. please give a description of the quality management system).

Except for the Hungarian Partner FJOKK, who currently being restructured, active members of NEW OSH ERA have contributed to the work of this work package and eleven questionnaires were analysed.

The analysis of the filled in questionnaires were presented in a workshop at BAuA in Dortmund in April 2007. During this event strengths and weaknesses were identified. Details were discussed in depth during two sessions: at the first one implementation and administration approaches were discussed, the second one dealt with dissemination and evaluation practices. The results of these sessions were resumed and presented by the moderators. Additionally some institutions represented “good practice” like quality management systems and the management of the national multiannual programme. The following chapter will give an overview about the results found out by help of the analysis of the questionnaire and the workshop.

2 Analysis of the questionnaire and workshop on management approaches of OSH related research funding programmes

2.1 INFORMATION ABOUT THE ONGOING OSH-RESEARCH FUNDING PROGRAMME

2.1.1 Basic data on OSH research funding[1]

When starting the analysis it was obvious that it is necessary to know more about the "basics" of OSH research funding in the partner countries. Therefore the first section of the questionnaire was asking about "Information about the ongoing OSH-research funding programme", in detail: Title of ongoing OSH research programme, web address of the funding programme, name of the programme owner, existence and duties and responsibilities of a programme management organisation, start and end of the OSH funding programme, the kind of research the institution carrying out the funding programme supports and whether there was a political decision to launch this specific research funding programme or whether it was a decision taken at administrative level. In table 1 the name of the OSH research funding programme, the web address of the programme and the starting and ending dates are summarised. As we know from the workshop in some countries programmes can last up to seven years. Nevertheless individual calls are possible in shorter intervals.

[1] If you want to know more about the thematic orientations of the programmes combined in NEW OSH ERA please read the "Overview of research funding programmes on OSH-related new and emerging risks" prepared by CIOP-PIB.

Participant name	Title of ongoing OSH related research funding programme	Web address of funding programme	Starting Date of OSH funding programme	Ending Date of OSH funding programme
Finnish Institute of Occupational Health, FIOH	Thematic (strategic) areas		03.2005	12.2010
Finnish Work Environment Fund, Työsuojelurahasto, FWEF	Exposure to physical agents		continuous	
Finnish Ministry of Social Affairs and Health, MSAHF	Funding of R&D projects ordered by OSH Department for the Ministry		continuous	
Federal Institute for Occupational Safety and Health, BAuA	Work Programme of BauA 2007-2010 (Arbeitsprogramm der BauA 2007-2010)		01.2007	12.2010
Central Institute for Labour Protection - National Research Institute, CIOP-PIB	National Programme on Adaptation of working conditions in Poland to EU standards		01.2002	12.2004
Project Management Organization at DLR, Project Management Organization for the Federal Ministry of Education and Research, PT-DLR	Prevention for occuptional safety and health	www.bmbf.de/foerderungen/4655.php	05.2007	03.2010
Hauptverband der gewerblichen Berufsgenossenschaften, HVBG	BG – Research Fund Prevention	hvbg.de Webcode: 1669850	continuous	
Working Environment Research Fund / Ministry of Employment, NRCWE The Danish Working Environment Research Fund (AMFF)	Occupational Health and Safety Research / Working environmental Research	www.at.dk/sw16094.asp	2008	
Federale Overheidsdienst Werkgelegenheid, Arbeid en Sociaal Overleg FOD WASO	OSH-research subprogramme of the Federal Programme European Social Fund 2000-2006 8 9 projects out of 26 financed by the Belgian federal government and the European Social Fund)	www.zerofini.be	01.2001	12.2006
Istituto Superiore per la Prevenzione e la Sicurezza del Lavoro, ISPESL	ISPESL Activity Plan 2005-2007	www.ispesl.de	08.2006	2008
Swedish Council for Working Life and Social Research, FAS	Different titles for different types of grants (projects, postdoc, networks, international scholarships etc). Calls are for research in FAS' areas of responsibility, of which OSH is one.	http://eklara.fas.se/LoggaIn.aspx?ReturnUrl=%2fDefault.aspx	continuous	
Hellenic Institute for Occupational Health & Safety, ELINYAE	"Competitiveness"		02.2006	06.2007
Ministry of Labour and Social Security	Tender for grants for the carrying out of surveys and researches about industrial accident researches and social medicine	www.lavoro.gov.it/Lavoro/md/AreeTematiche/tutela/saluteSicurezza/fondospecialeinfortuni.htm	04.2006	2008

2.1.2 Definition of “programme” and “project”

The approaches in the member institutions were so different that the presentation of the results has to start with a table of definitions. During the whole phase on the work on the collation of management approaches it was not possible for the partners to come to a general definition of the terms “research funding programme” and “project”. So every institution of NEW OSH ERA is invited to present its understanding of “project” and “research funding programme” (s. table 1). Keeping the differences in mind the report gets more and more understandable.

Institution	***definition „programme“***	***definition „project“***
FIOH	A programme is set up for a four year period. It is mainly a political programme by the ministry and it is linked to the elective period. Within FIOH there are two units which set up five specific programmes. The institutes’ executive and the administrative board decide on topics and structure.	This programme will mainly lead to restricted calls for projects
FWEF	Contextually in Finland with well running tripartite consensus there are several programmes, not so much on research than on proactive promoting (more campaign-like programmes/ dissemination and implementation) based on research and practical knowledges Inside these programmes we can, if applied, finance some boostering/intevention or evaluation research projects.	Project is a single financed time limited unit to carry out planned tasks and achieve the results. That can consist of research, consortia or networking partners, based on the proposal/research plan.
BAuA	BAuA has a framework programme, which defines the prior research areas for four years. (Strategy for ten years)	Approximately 107 projects were funded from 2002-05. A workplan with the ongoing and planned projects is published annually.
CIOP-PIB	A coherent cluster of research projects on occupational safety and health carried out within defined period under a set of common procedures (funding, reporting, evaluation, etc.) and goals, partly or wholly financed by	Separate research efforts based on scientific theories and hypotheses, with defined output and time schedule, and partly or wholly financed by the national government.

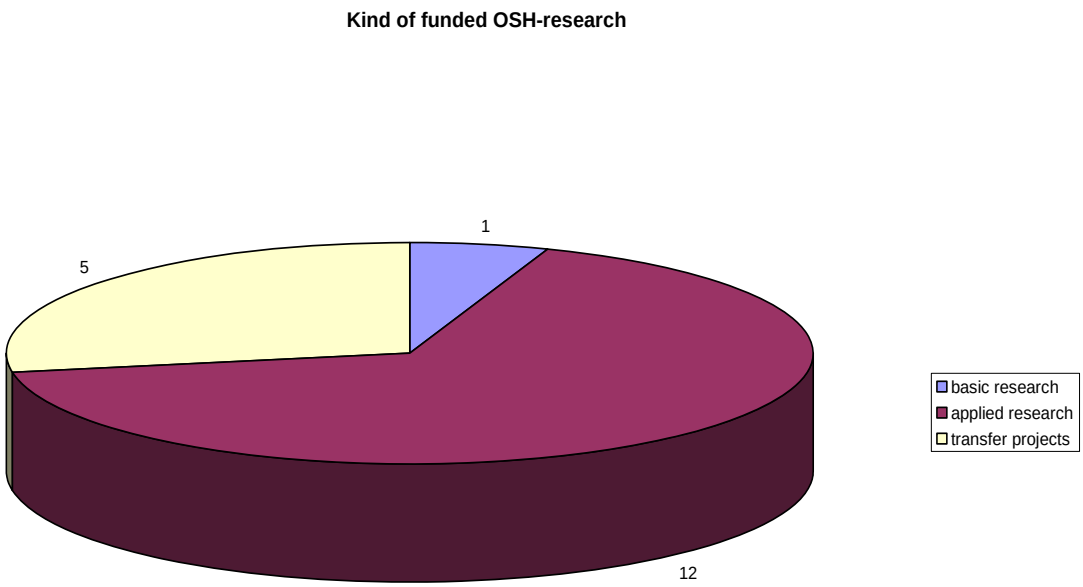
Institution	*definition „programme“*	*definition „project“*
	the national government.	
PT-DLR	PT-DLR disposes of a framework programme five to seven years, which defines priority research areas. Calls for projects are placed within this programme. Each project is evaluated ex ante by the scientific council which emits recommendations and guided by a dialogue between the ministry and PT-DLR.	Approximately 15 projects are funded within one call.
HVBG	HVBG has two ongoing programmes: prevention and rehabilitation. For this project only the prevention programme was chosen and there only the research projects dealing with emerging risks.	A project has an aim and is carried out by one or more donees. The usual time of a project is two years.
AMFF	A programme programme is a “headline” or frame within several projects exist.	A well defined work with a well-described working description or working hypothesis.
FOD WASO	a cluster of research projects on new and emerging risks financed partly or wholly financed by the national or regional government and/or by EU funds.	a more or less well-defined research effort on a particular aspect of new and emerging risks making part of a whole programme
ISPESL	ISPESL carries out a three year Activity Plan including extramural and intramural research projects. In the survey only extramural ones were considered.	Approximately, 365 projects were funded from 2002-2006.
FAS	To stimulate research within specific areas, FAS regularly awards longer period grants to research programmes at academic departments of excellence. Few programme grants go to occupational health and safety research but in 2007, two OSH centres (Karolinska Institute and Lund University) were awarded 10-year FAS Centre grants.	Project grants are the main form in which FAS supports research. Proposals are submitted by researchers and their scientific merit and societal relevance are assessed through a peer review process. In 2006, 124 out of a total of 724 project applications were in the field ¨work and health¨. Out of those 124 applications, 20

Institution	*definition „programme“*	*definition „project“*
		were approved and granted funding.
ELINYAE	The Ministry of Development has launched a general programme for supporting competitiveness in industry. Part of this umbrella-programme is one programme supporting the ELINYAE on his job for developing OSH infrastructure in different major economic sectors.	In the frame of the programme six projects were carried out covering key sectors of the national economy.
MINLAVORO	The Italian Ministry of Labour and Social Security manages a special Injury Fund consisting of grants for the carrying out of research projects about industrial accidents research and social medicine	Approximately, 70 projects were funded from 2002-2005.

Six members of NEW OSH ERA are funding organisations. The other half are project management organisations. The responsibility assignment between the decision making body (e.g. ministry) and the administrative body (e.g. project management organisation) are similar in all partner countries. The programme owner is the body that gives instructions to the project management organisation. It has a supervisory role to ensure that the programme objectives are reflecting the actual political debate in the country. It is responsible for the research fund and provides the fund to the research institutions which are carrying out the projects. For the programme owner they assign tasks to the project management organisations like e.g. administrative and programmatic issues, coordinating projects, evaluating and approving results of the funded projects and the funding programme.

2.1.3 Kind of research

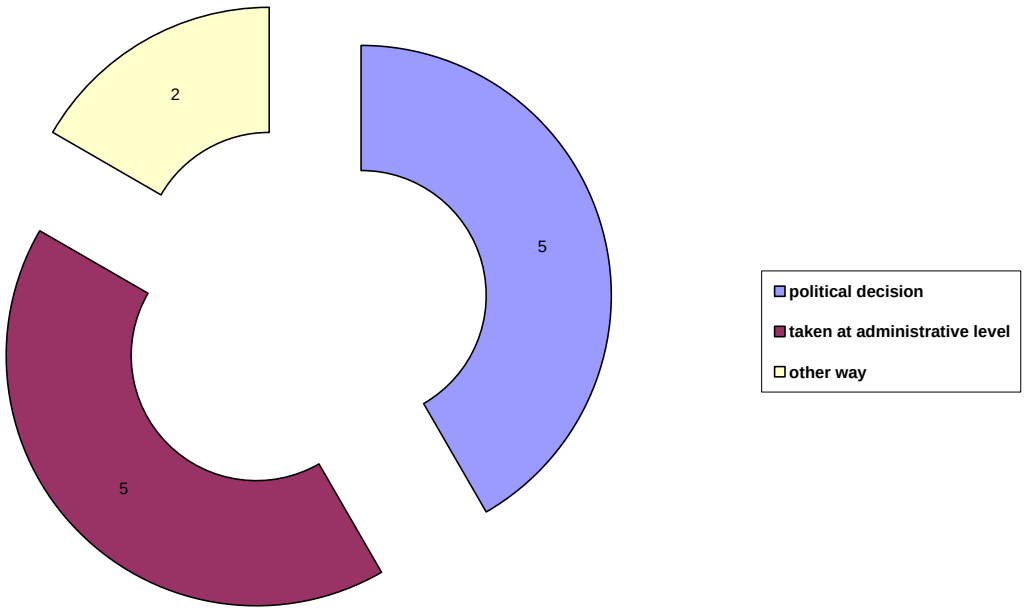
Question 8: Kind of research



The OSH-research funding organisations provide money according to different funding philosophies. From the information provided in the questionnaires by the NEW OSH ERA partners on one selected national funding research programmes, only in case of Poland there were data on basic research. It should be noted however that such research work is carried out also in other NEW OSH ERA partner countries.

2.1.4 The decision on launching of programme was taken at……

Question 9: Political Decision

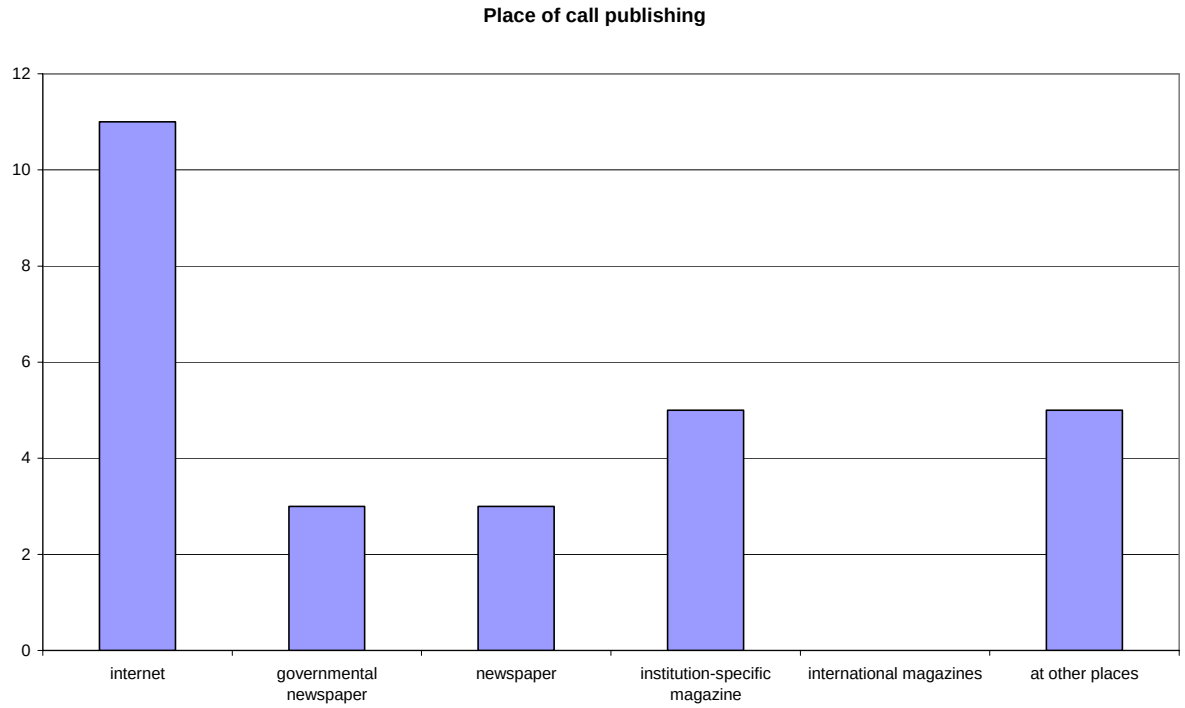


The decision on launching of the research funding programme was taken at administrative level by five partners. Another five partners are reporting that their programme is launched by a political decision. The OSH research funding programmes of FIOH and HVBG are launched by institution specific decisions. It seems that they are more or less independent from political tendencies.

2.2 IMPLEMENTATION APPROACH

2.2.1 Publishing of calls on OSH

Question 11: Place of publishing



Most of the partners are exercising restricted calls. MSAHF and HVBG are exceptions, they are conducting open calls. The advantage of the open call system at HVBG consist in the fact that the institute can operate flexible in regard to thematic margins as well as to temporal limitations. Therefore funding can react exactly to demands of the employers' mutual insurance associations. Nevertheless for all institutes closed calls are possible.

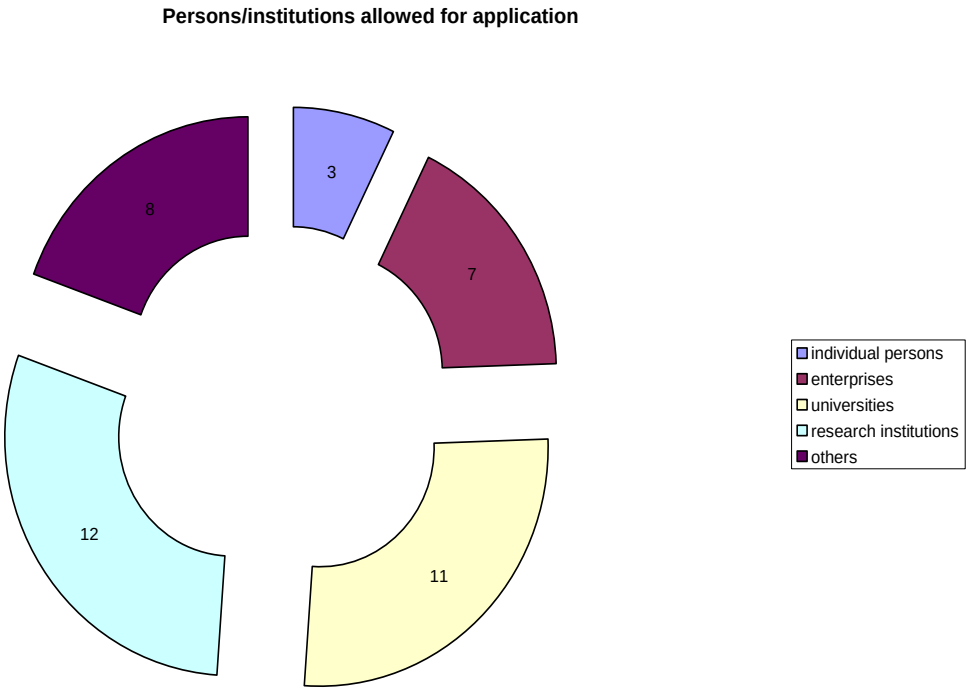
Nearly all partner institutions are publishing their call on the internet. Exceptions are CIOP-PIB, MSAHF and FIOH. CIOP-PIB indicated that no public call is published but that there is a certain deadline for submitting applications by researchers.

FIOH is not using the internet for publishing a call but the intranet and an extended email list. Therefore the internet is the most common medium to publish a call while international scientific magazines or public bulletins have no importance for publishing a call. This is another interesting fact against the background of increasing international interconnectedness. Possibly, this will change during the progress of NEW OSH ERA and the countries will inform each other about their calls by using also international magazines.

At PT-DLR each call is not only published in the "Bundesanzeiger" but also in the DLR newsletter and on the website of PT and the Ministry of Education and Research. Especially the newsletter has been proven as an effective way to bring project calls to researchers. The newsletter at present is received by some 350 researchers and institutes. Unfortunately the newsletter is only in German.

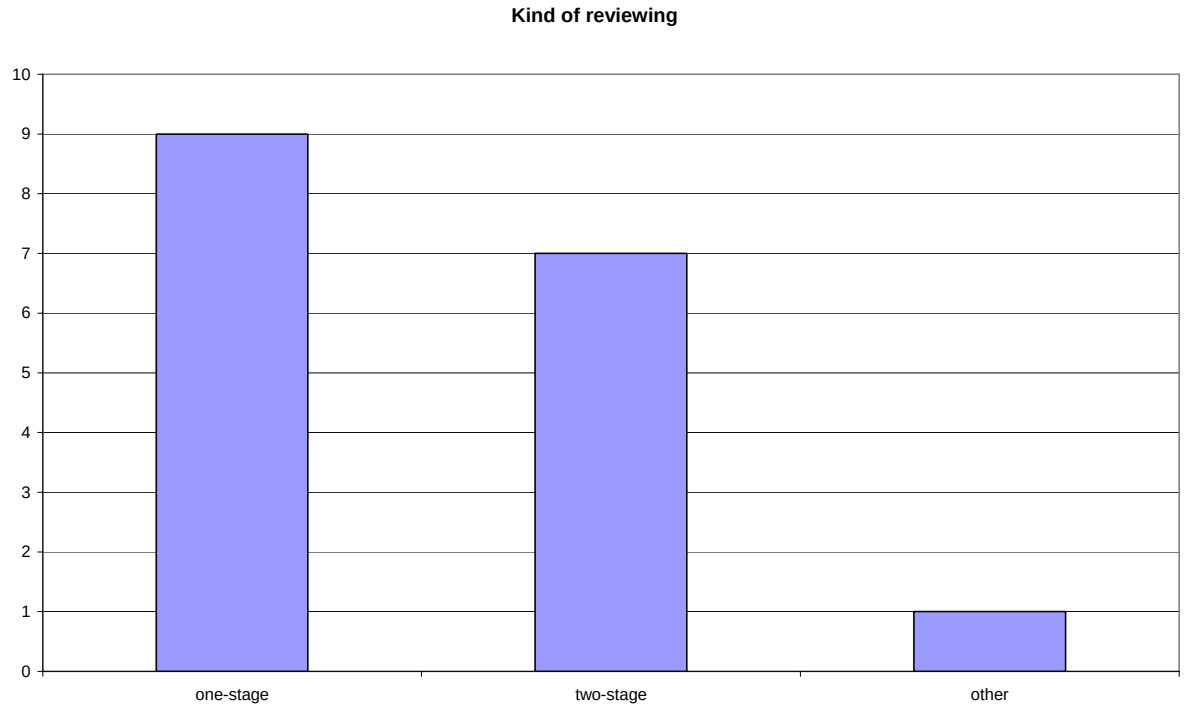
2.2.2 Persons/institutions allowed for application

Question 12: Who is allowed to submit an application?



Eleven members appoint a deadline for submitting proposals while two organisations allow applicants to send the abstract or the application at any time (MSAHF, HVBG). In most funding organisations, grant recipients are legal bodies such as universities, research institutes or enterprises. Hospitals are summarised under the category “others” and are with 8 nominations also a big group of institutions allowed for application. While in national OSH research programme in Poland enterprises may, in principle, participate in research but do not carry out projects as main research performers, at BAuA also companies can be funded and participate in research. At FIOH it is a special case because no individual but inter-institutional projects are funded, where enterprises can join the consortia. AMFF and ISPESL there are similarities: enterprises can be funded if they are co-operating in partnership with a research institute. The funding of enterprises is a tradition where so called combined projects are funded. Combined projects are carried out by consortia of research institutions and enterprises so that it will be guaranteed that the research results are flowing into practice. While mostly organisations (universities, research institutes and enterprises) are allowed to receive funds three institutions are funding individual persons, as can be seen in the graphic to question 12.

Question 13: Kind of procedure

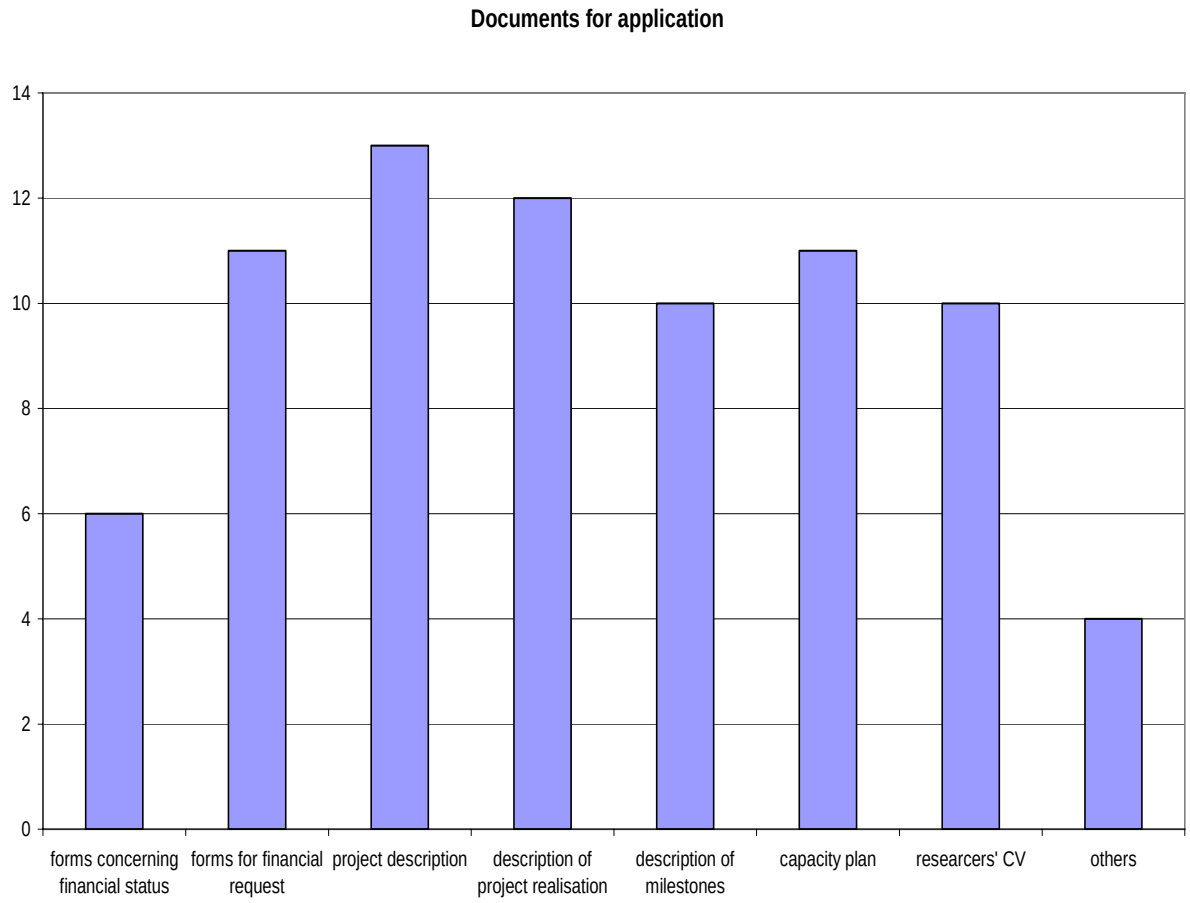


Within seven institutes applicants have to present at first a short version of the project idea. Only after this version has received a good vote, the complete application has to be submitted. Besides this two-stage procedure, nine institutes perform a one-stage procedure, where the complete application has to be presented at once. BAuA applies both procedures and a freehand allocation, e.g. only one institution is being considered. This procedure only comes into consideration if it is certain that only one particular institute can do the research in a very certain way on this particular issue (because of resources or know-how) or if it is a follow-up project and the first project has been done by the same institute. Also, in this case the budget should be less than 200.000 Euro and only nation-wide projects may be funded.

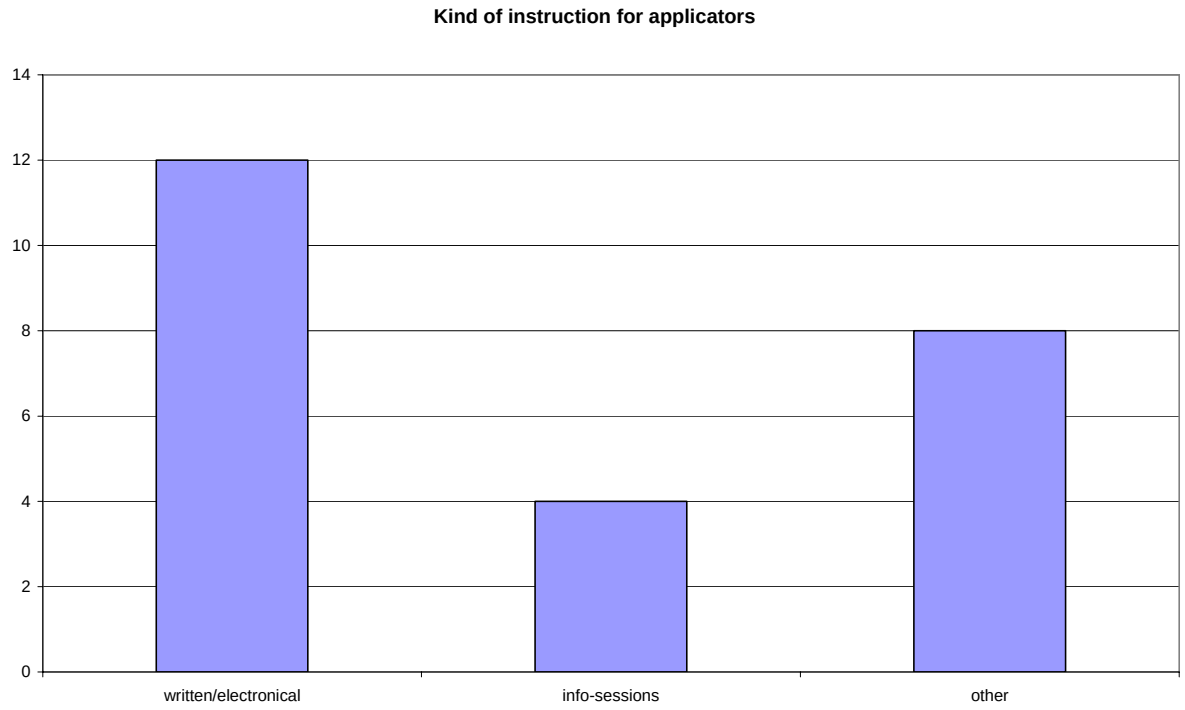
2.2.3 The application

In the era of information technology the summary of answers to question 14 is striking. Only four partners in NEW OSH ERA are offering electronic services for the preparation of applications. E.g. PT-DLR uses an electronic system for calls, project management, and financial management. The advantages are that it allows monitoring at any time, that all researchers can stick to the same format in any call, that it is certified (ISO) and that the same system is used by all ministries in Germany. At the Academy of Finland applications are done likewise, but the project management itself is done electronically. The system is not a browser-based so that 500 applications per year have to be transcribed by the institute.

Question 15: Documents for application



Question 16: Kind of instruction for application



As can be seen from the graphic concerning question 15 a lot of documents have to be prepared by the applicants. Understandably these requirements result in a lot of questions. The institutions of NEW OSH ERA strive for good customer service and have implemented ways for supporting the applicants in the preparation of an application. This takes place mostly in written and electronical form, during info-sessions and on the telephone (the respondents answering to the category “others” delivered consultancy by telephone). At FIOH counselling of applicants is done by external consultants in workshops of about 50 participants in six applying groups. Power point presentations about the particular procedure are presented.

What is the content of the information the applicants receive by phone, during info-sessions and in a written or electronical way (question 17)? At least formal requirements or how to use the electronic interface are elucidated and mainly general information about the structure of the project description is provided. Additionally, some institutions are commenting on the suggested themes and advert to or discuss the societal relevance, innovativeness and networking.

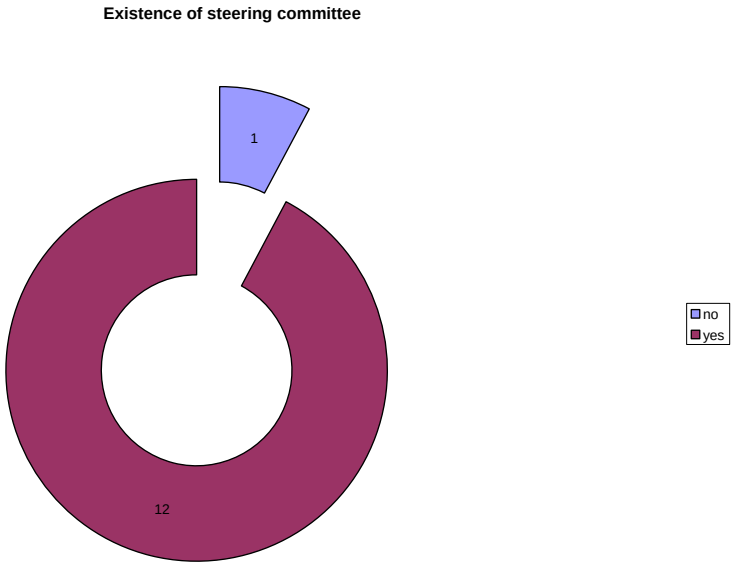
The answers to question 18 “Are there any guidelines for the reviewers to assess the applications?” present a very clear picture: all 13 member organisations of NEW OSH ERA offer such guidelines. At AMFF teamwork is common: the scientific evaluation is done by the scientific board and formal requirements are checked by the strategic board, including social partners.

There is a common consent about the most important features of a successful application (question 19). Predominantly scientific excellence and theoretical feasibility combined with

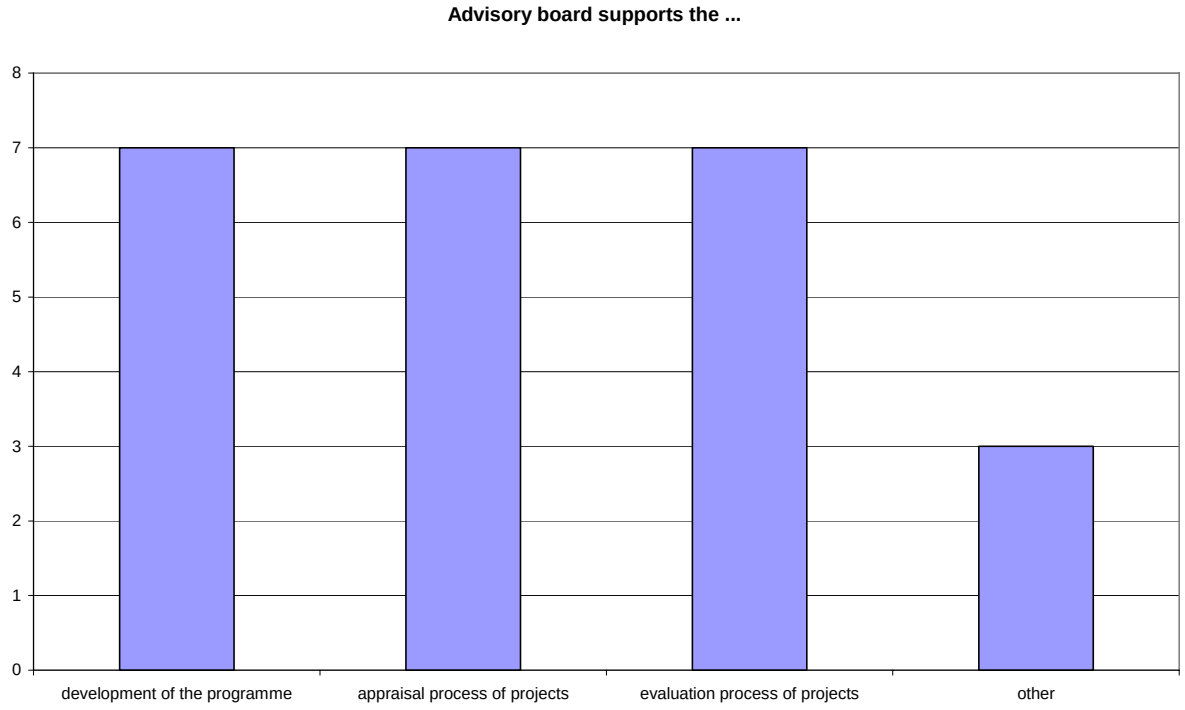
originality and innovativeness are named on the top of all lists. Compliance with formal requirements like e.g. quality of research plan, realistic financial plan, a project description understandable also for non-experts and a realistic time-schedule are self-evident. Sometimes the institutions submitting an application have to prove their scientific requirements and competence. It is also underlined that the subject must be relevant for various industrial branches. Researchers have to prove the societal relevance or need and user orientation of their submitted projects. Especially the relevance to the target group 'employees' is a criterion of a successful application. Concerning the application, researchers have to prove that their project results can be implemented in practice. Therefore at PT-DLR an intended co-operation between scientific institutes and small and medium enterprises (SMEs) is obligatory. Whether a project is selected for a thematic area is decided after a concrete description by the project group.

2.2.4 The advisory board

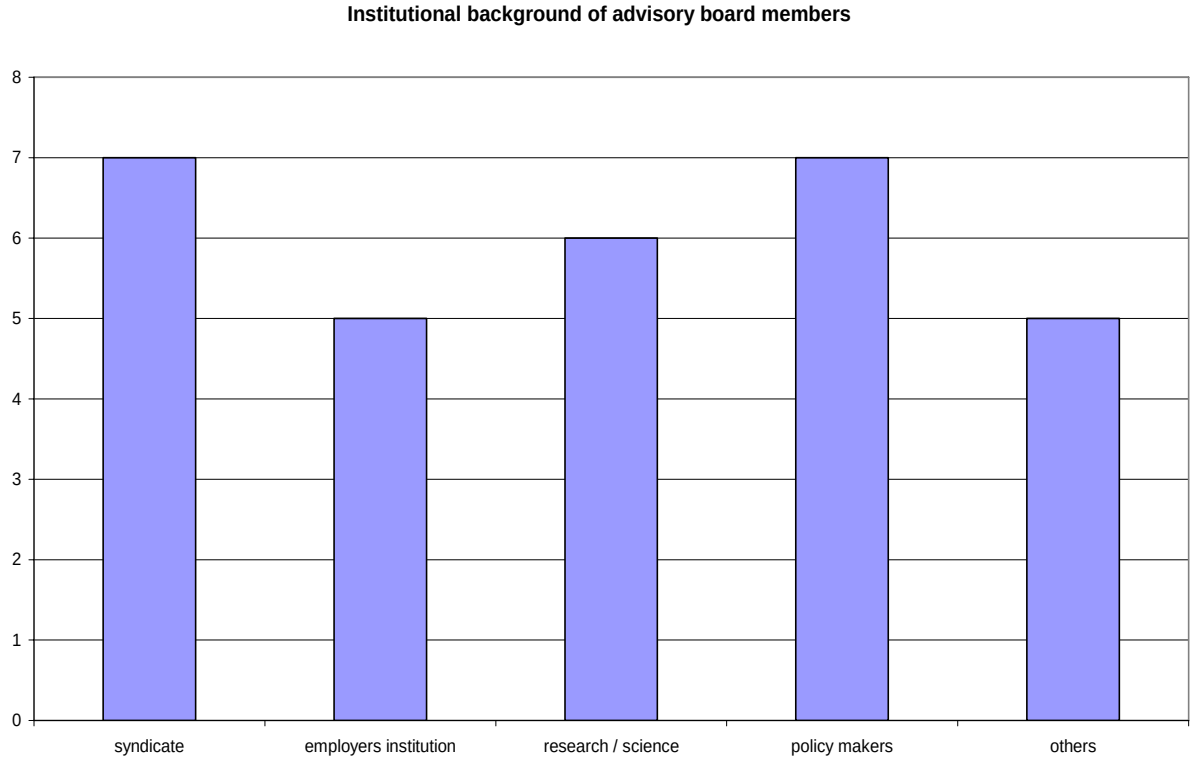
Question 20: Existence of a STEERING COMMITEE



Question 21: Advisory board supports the …



Question 22: Background of members of the advisory board



With the exception of one member of NEW OSH ERA all research funding programmes of the network are accompanied by an advisory board. Because of an interim situation (change from one research funding programme to another) PT-DLR has no advisory board at the moment. But in general there is an advisory board during the whole programme and an ad-hoc circle of experts to help the project management organisation, by means of guidelines, to identify the best projects to be funded.

Only at HVBG the members of the advisory board are appointed by the programme managers, in most cases the programme owner is responsible for the appointment. At the category “others” political bodies like the ministries are indicated for the appointment. At FIOH the director general is responsible. HVBG states that open calls, which are practiced at HVBG, require an advisory board. Projects are guided by the advisory board which is project specific (not fixed). The advisory board of five members gives advice to the project team, ensures usability and transferability of results. At ISPESL the evaluation of the programme is done by the advisory board, as well as the compliance of the single projects with the programme requirements. The project itself is evaluated by a more specific committee.

Regarding the graphic concerning question 22 the STEERING COMMITEEs in the institutes are in general composed of external persons representing syndicates, employers and research institutions. Here again FIOH represents a special case because its advisory board is the extended governing board of the institute. At FWEF the members of the advisory board are nominated for a three year period and the membership is rotating. Three to five reviewers are edition one application in order to obtain scientific excellence.

2.2.5 The contribution of social partners to OSH research funding programmes

Nine partners of NEW OSH ERA revert to the help of social partners for realising the aims of the research funding programme. Mostly the social partners are helping to transfer the project results to the public and are facilitating access for the researchers to the practice e.g. to working places. At FWEF they are directly participating in the projects (only if necessary), at AMFF they are members of the advisory board and at HVBG they define goals for the research projects. But they are also assigned with superior tasks like helping to initiate new research funding programmes and calls (PT-DLR) or they participate in the evaluation of projects (CIOP-PIB).

2.2.6 Instruments for networking

With four members not all partner institutes are attaching importance to instruments of networking. At PT-DLR instruments within projects are developed together with enterprises, both enterprises and research institutes receive financial support and are obliged by contract, project descriptions include a description of co-operation and efforts on transfer strategies. So PT-DLR does supervise the realisation of networking itself. CIOP-PIB in Poland is so ambitious concerning this activity that they have implemented an own Forum. The function of this Forum is described by CIOP-PIB:

> OSH Leaders’ Forum is a body composed of enterprises interested in shaping safe and healthy working conditions and institutions acting for the benefit of OSH. The Forum was

set up to make use of projects' deliverables. The primary goals of the Forum are the following (CIOP-PIB):

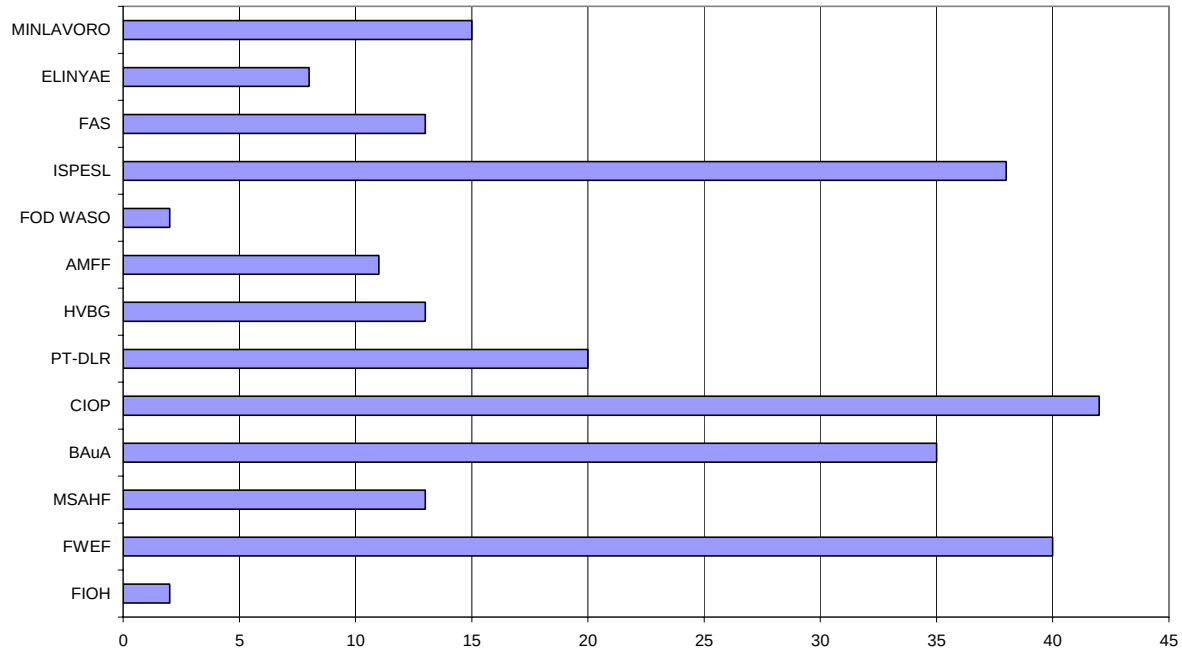
a) Fostering contacts between the Institute and entrepreneurs that make practical use of advancements in science and technology thus shaping work conditions in line with the requirements of the Polish labour code;
b) Initiating OSH-related research, educational and publishing activities targeted at protection of health and life of workers;
c) Creating a platform for professional exchange of experience in OSH: analysis of reasons for occupational risks, accidents prevention, in particular dangerous breakdowns and catastrophes.

Part of the CIOP-PIB's Programme results (testing methods, assessment criteria, etc) is implemented by the national conformity assessment system comprising testing laboratories and notified bodies operating for the benefit of manufacturers of OSH-related products".

2.3 ADMINISTRATIVE PROCEDURES

2.3.1 Amount of projects starting per year

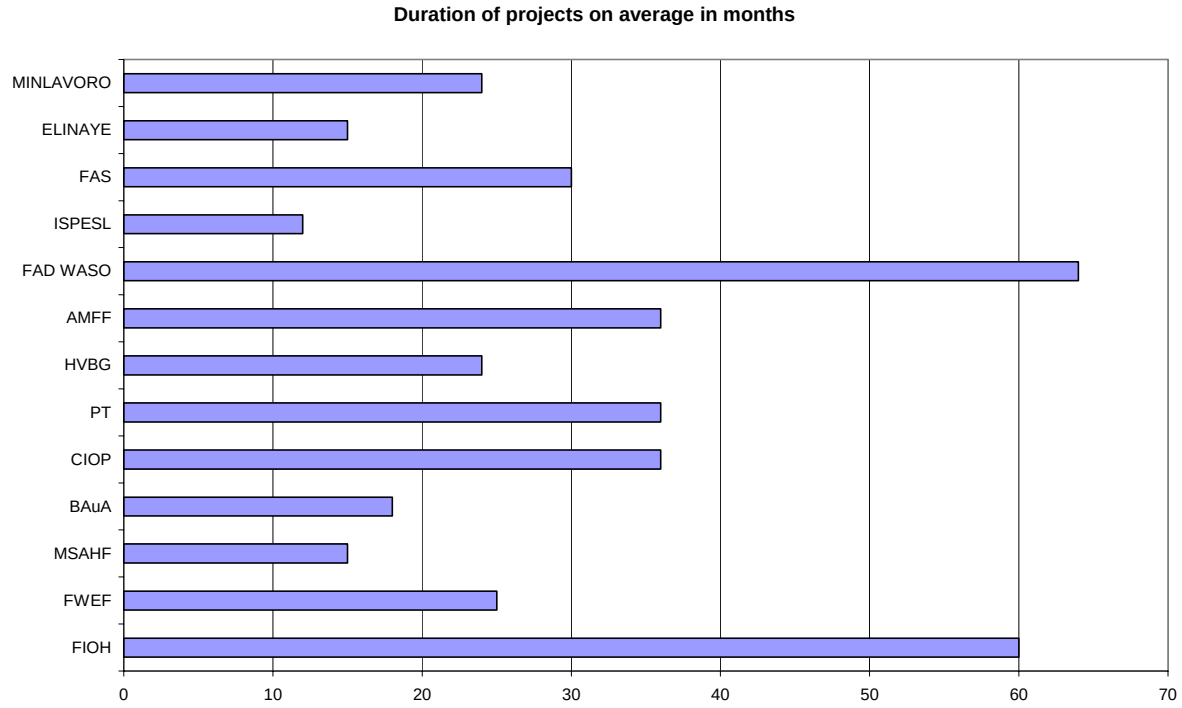
Question 27: Amount of projects starting per year



The number of projects starting per year is extremely different. These differences can be explained by the fact that some institutes only counted OSH projects in a very strict sense. Others referred to all projects carried out in a certain programme, e.g. CIOP-PIB. The projects at CIOP-PIB stick to a three year programme; all projects are carried out at the same time. There are 126 three-years-projects which all started at the programme start.
Quite similarly, to understand the number of projects given by FIOH it is important to know that FIOH understands the term “project” in a broader sense, related to the framework: they are five-year-programmes. Currently there are about 25 to 30 research projects within these programmes that start annually. The typical duration is about 2-3 years.
Something similar is true for the Finnish Work Environment Fund (FWEF): The number in the questionnaire is only related to OSH projects in a very strict sense. There are additionally some further multi target projects that also cover some OSH aspects.
The statement that FJOKK answered “0 projects” can be explained by the fact that FJOKK is mainly a research institute itself. It receives only grants. In long term average BAuA funds some 35 projects annually.

2.3.2 Duration of projects

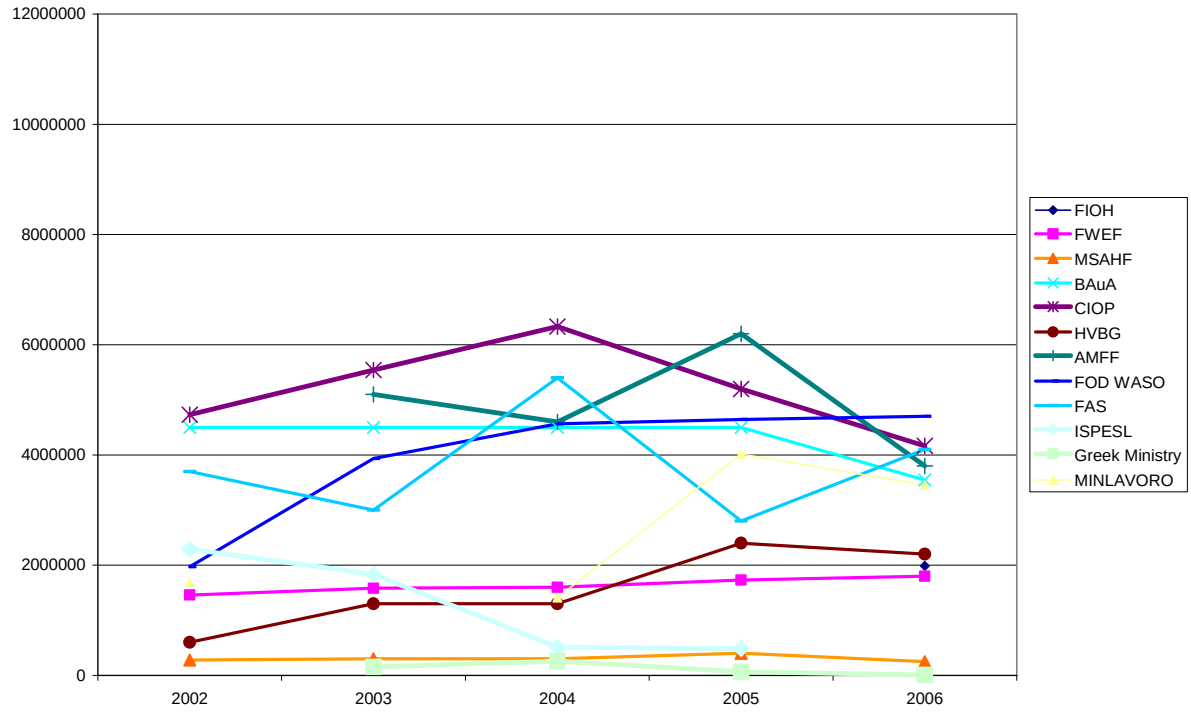
Question 28: Duration of projects on average in months



Also the funding duration of projects varies between 12 and 63 months, with an average of 30 months. Usually, a grant comprises travel, personal, overhead material costs and fee for experts. Only a few institutes are also funding leasing and subsistence costs.

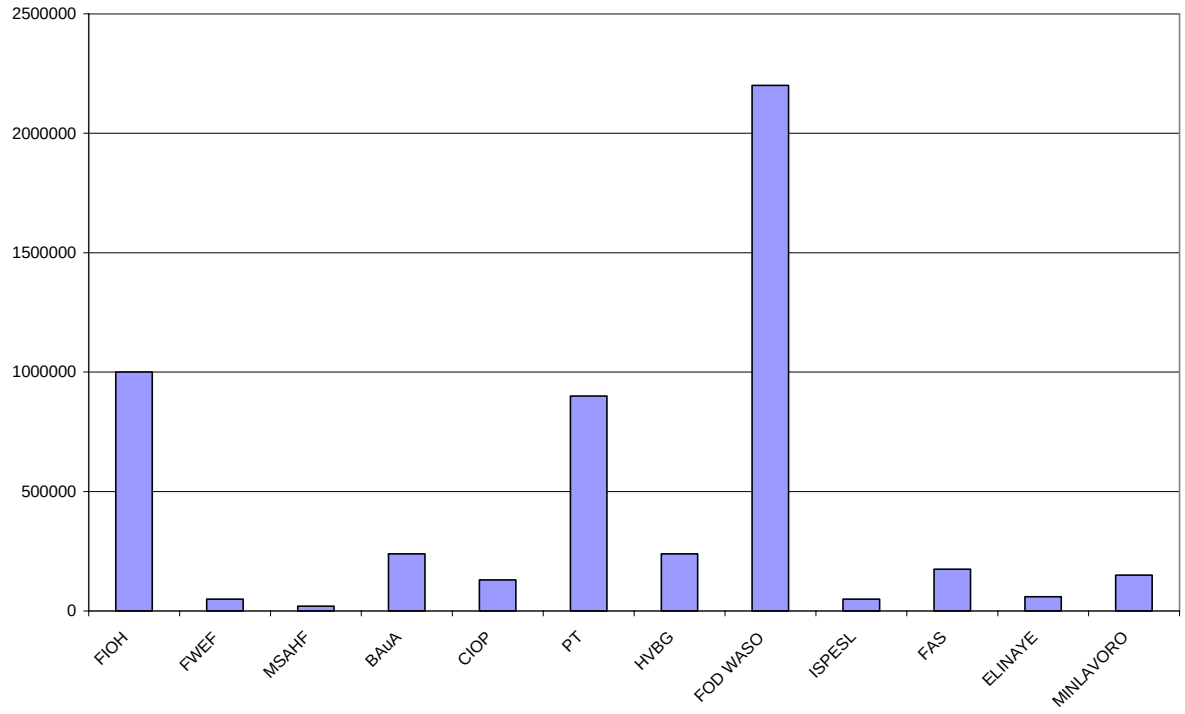
2.3.3 Funding sums in NEW OSH ERA

Question 29: Funding sums for OSH-programmes from 2002 until 2006



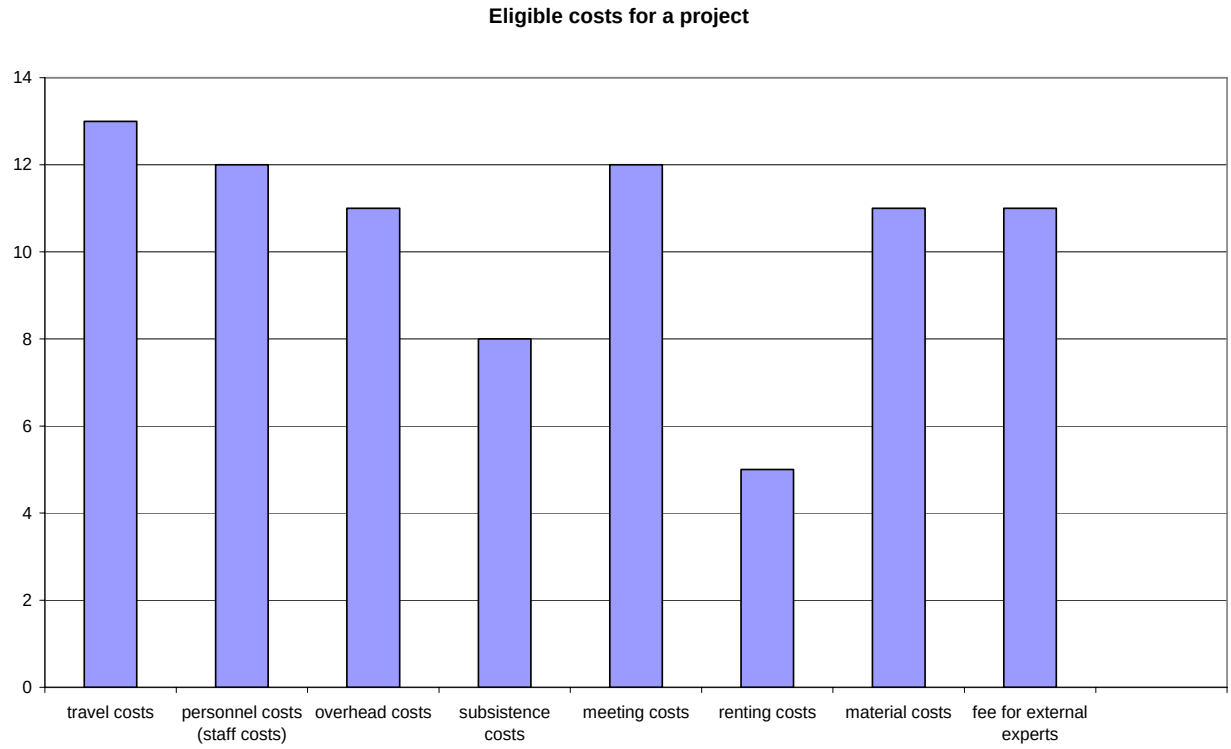
In Europe no general trend can be identified regarding the development of the funding sums for OSH-research funding programmes from 2002 until 2007. Especially for CIOP-PIB, AMFF and FAS the curves do not show a clear tendency. Particularly ISPESL has to denote the development of a declining OSH-funding budget during the time span. A very confident development can be identified for FOD WASO, HVBG and FWEF.

Question 30: Funding sum for a project on average



2.3.4 Eligible costs

Question 31: Eligible costs



The graphic for question 31 “eligible costs for a project” shows, that besides renting and subsistence costs, nearly all kind of costs like travel, personnel (staff costs), overhead, meeting (congresses, workshops etc.) and material (e.g. costs for paper, literature, office equipment, equipment for tests and experiments) and fee for external experts who are not part of the project team (e.g. speakers for workshops etc.) are eligible in most institutes. Only renting costs (e.g. costs for room rent, laboratories etc.) and subsistence costs (catering on congresses, workshops etc.) are only eligible within a few member institutions. ELINYAE is the only institute in NEW OSH ERA, where personnel costs are not considered to be eligible. Only fees for external experts with specific work contracts are funded.

2.3.5 Funding of international researchers

Question 33: Is funding of international researchers possible?

Unexpectedly the funding of international researchers is possible at the majority of institutes (question 31). This indicates that co-operation in funding activities with other countries is not so complicated as expected and can be interpreted as a sign that a joint call may not be too imaginative. Looking more in details to the answers, it gets obvious that the funding of international researchers is at some institutes possible but under the following restrictions:

- the application has to be done in the language of the country where the fund is located
- a lot of effort is needed to make a more frequent participation possible
- language barriers
- national regulations
- a contribution to the need of the funding country is obvious

In Greece there is a special case: only Greek organisations could apply for the programme and especially only ELINYAE. In calls for external experts for the separate projects ELINYAE can entrust international researchers.

A discussion in the following workshop revealed that funding of international researchers seems to be a general problem because of the system of national fundings: everybody prefers to fund own – national – research institutes. CIOP-PIB reported that an external institute was never funded because it was never invited to apply within the existing programme. The calls only go out to CIOP-PIB. To allow for external applications, one had to change the ministry's application policy. HVBG reported that an external application is possible. Currently, a French laboratory participates in a BG research project. However, a lot of effort would be needed to expand the participation to international applicants. Also in ISPESL, it is possible for foreign institutes to apply. However, the application has to be done in Italian, which seems to be the largest barrier. An even more open approach is realised by FWEF. All researchers are invited to participate. The application can be done in English. The only requirement is that a possible contribution to the work life in Finland has to be obvious: e.g. an OSH project about work on citrus plantations will not be funded.

As a summary, it can be stated that the language barrier for external applicants is obvious.
Another problem can lie in national regulations (legal systems, taxes) which are not always familiar to international applicants.
The biggest challenge seems to lie in national thinking: many national research programmes prefer to fund national researchers and not to "give away" funds to external experts. A change in national thinking seems to be necessary: sharing budget does not mean to "waste" money on foreign researchers, but can be a key step towards carrying on research effectively and avoiding duplication of work.

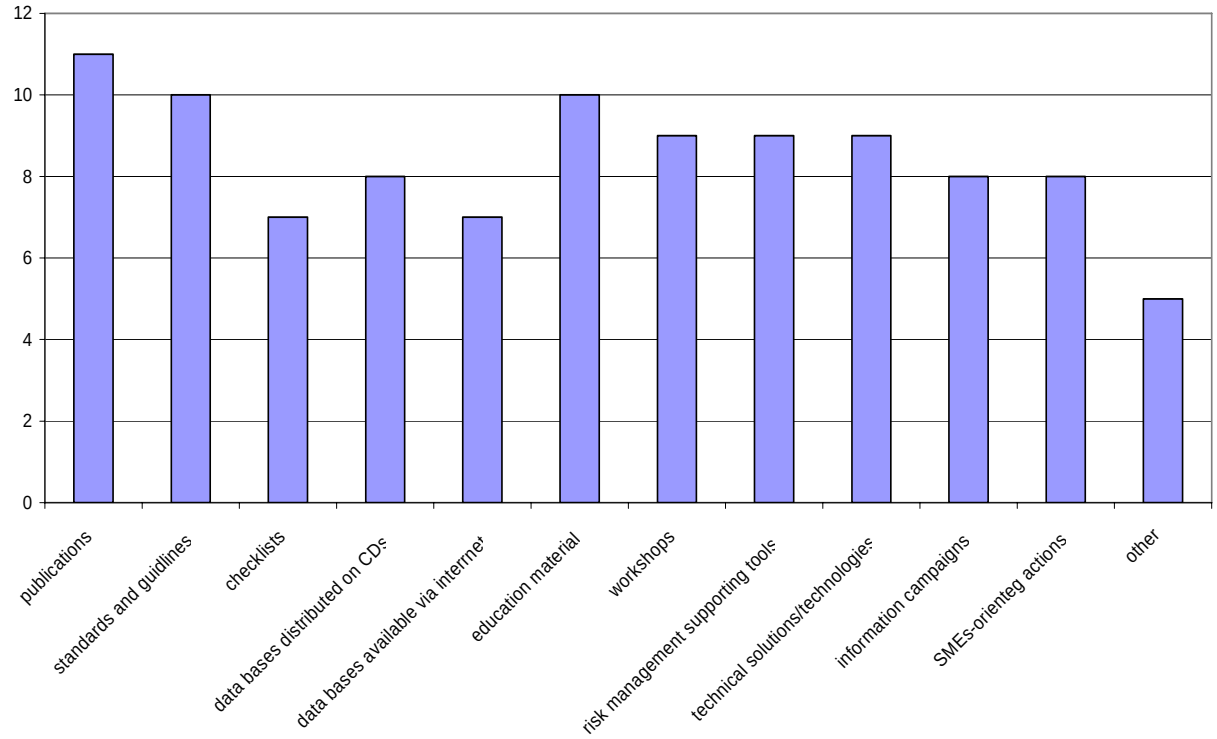
2.4 DISSEMINATION AND IMPLEMENTATION OF RESEARCH RESULTS

2.4.1 Dissemination

The dissemination culture in the participating institutions and countries is heterogeneous, although common experiences and similarities could be identified: eight (from 13) partners oblige projects to present a dissemination plan before the project starts. The purpose of writing a dissemination plan is to ensure the course of the project and the quality of its results and to support the project to define specific target groups. Public funded research generally looks for guarantees that results will be published and directed to an interested audience. Additionally, the dissemination plan should contain responsibilities within the project (in case of multiple partners) who will publish what kind of information.

The general purpose of a dissemination plan – as e.g. in case of PT-DLR/BMBF – can be broadened in order to oblige funded projects to care about dissemination or appliance of the results also after the active funded phase of the project. The exploitation of results is part of the contract between the Ministry and the project managing organisation and shall ensure the application and use of results not only under the pilot conditions of the project, but also under real (market driven) conditions.

Question 36: Forms of dissemination of project results



Two NEW OSH ERA partners delegate the decision upon a possible dissemination completely to the researchers. These projects decide in a flexible and short-term manner upon the form of dissemination. If the decision upon the dissemination is not only up to researchers, but also to the funding institution, - as this is the case at eleven partners -, most

of the partners agree upon a dissemination plan before and use between five and eleven instruments for dissemination (average: 7).

2.4.2 Publication of project results

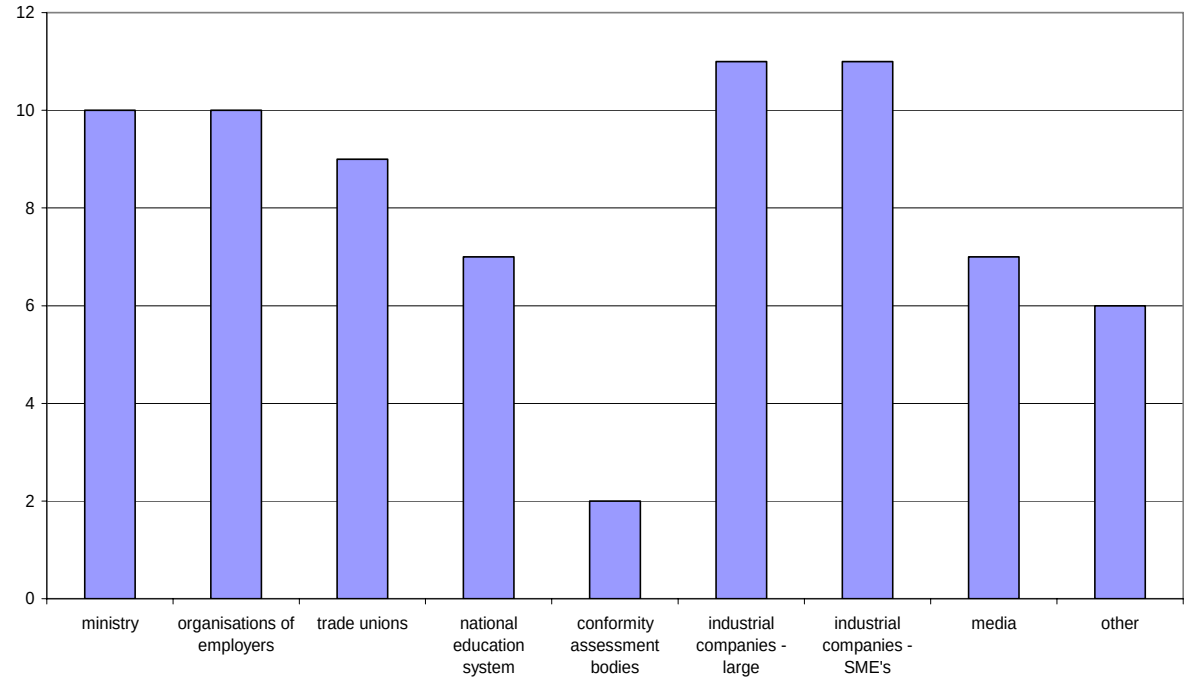
Publication in scientific journals is the most common way to disseminate the results of a programme, followed by standards & guidelines and educational material. Some partners do have good experiences in special forms of dissemination:

a. CIOP-PIB prepares educational material also for a wider audience as e.g. for pupils, teachers and scientists.
b. In Finland, mainly at FWEF, results are published also on radio and TV. To support researchers in knowing the best channels to address TV/Radio and writing press releases in the adequate language FWEF organises regularly training seminars. The participants of these seminars are researchers, the moderators and trainers journalists.
c. At BAuA, the German Occupational Safety and Health Exhibition (DASA) provides an extraordinary platform for presenting results to a broad audience. BAuA also distributes data bases on CDs.
d. In Denmark, the most popular way for dissemination is by direct approach to the target group in form of seminars and workshops.
e. ISPESL publishes his research results in its bilingual scientific magazine edited in 5000 copies. Moreover, a very important fair targeted to SMEs is organized every year in Bologna.

The forms which are chosen for the dissemination should be in relation to the end-users of the results.

2.4.3 Target groups

Question 37: End-users of programme deliverables



In general, the industrial companies are the main end-users of the programme deliverables. The results of NEW OSH ERA projects target mainly three main groups: Policy makers/stake holders, social partners and appliers.

BAuA and CIOP-PIB sometimes target exclusively policy makers and stakeholders as both institutions realise (among other kinds of research) research on contract of ministries. In most projects recommendations for stakeholders can be generally included, but do not represent the main goal of the project. CIOP-PIB and HVBG also target ”conformity assessment bodies” that can be e.g. European bodies responsible for standardisation and/or CE type examination (certification) in the case of e.g. PPEs. Furthermore also employees, consultants, the German Occupational Safety and Health Exhibition (DASA), prevention services and national health system are target groups of project results in NEW OSH ERA.

2.4.4 Valorisation and patents

Valorisation like e.g. commercial exploitation does not play an important role in the programmes on OSH research funding. In the Finnish Ministry it is excluded as it is too small. At PT-DLR/BMBF – as well as in most other partner countries - commercialisation is not part of funded research projects. Projects funded by PT-DLR/BMBF receive support for performing research, also applied research, even if a concrete product stands at the end of the project. A pilot appliance can be part of the project. The Ministry for Research and Education (BMBF) funds only research and pilot applications. For introducing a product to the market or obtaining a patent, other Ministries (e.g. Ministry for Economy) provide support

within special programmes. The only partners having commercial activities related to their research funding programme (question 41) are the following:

- FIOH describes measures like marketing, selling services and supporting services like consultation and training that are taking place together with the research project.
- FWEF reports that consultation, training, publishing, product development are possible parts of a programme.
- CIOP-PIB offers divers types of publications, such as brochures, books, manuals to ensure a wide public access and the usage of deliverables. Various types of events such as workshops, seminars, conferences are organised to evoke the interest and the attention of the public. In case of technical solutions, license agreements and implementation agreements are concluded with manufacturers.

A remarkable difference exists between CIOP-PIB/FIOH/ISPESL and all other partners. The three organisations are patent holders and also receive some income from these patents. At FIOH the instrument of valorisation was introduced recently. Therefore FIOH is currently gaining experience with the commercialisation of the results.

Institution	**Title of patent**
ISPESL	“A method for assessing the structural integrity of buried LPG tanks based on a noise emission technique”
FIOH	“Laitteisto ja menetelmä aivojen toimintatilan määrittämistä varten” (Equipment and method for determination of the mode of brains)
CIOP-PIB	“Active noise reduction earmufes”
	”Antivibration protective gloves”
	“Method of fabrication of melt blown fibres and equipment to produce melt brown materials”
	“New ecologically-friendly and fire-safe rifid polyurethane foames”

Concerning the question who owns the results of the research (question 39), there is no common answer. In some countries it is the initiator, in others the applicant and in some the ministry. None of the partners could report about negative experiences with intellectual property rights. Conflicts have not arisen until now.

2.5 EVALUATION PRACTICE

2.5.1 Monitoring of financial matters

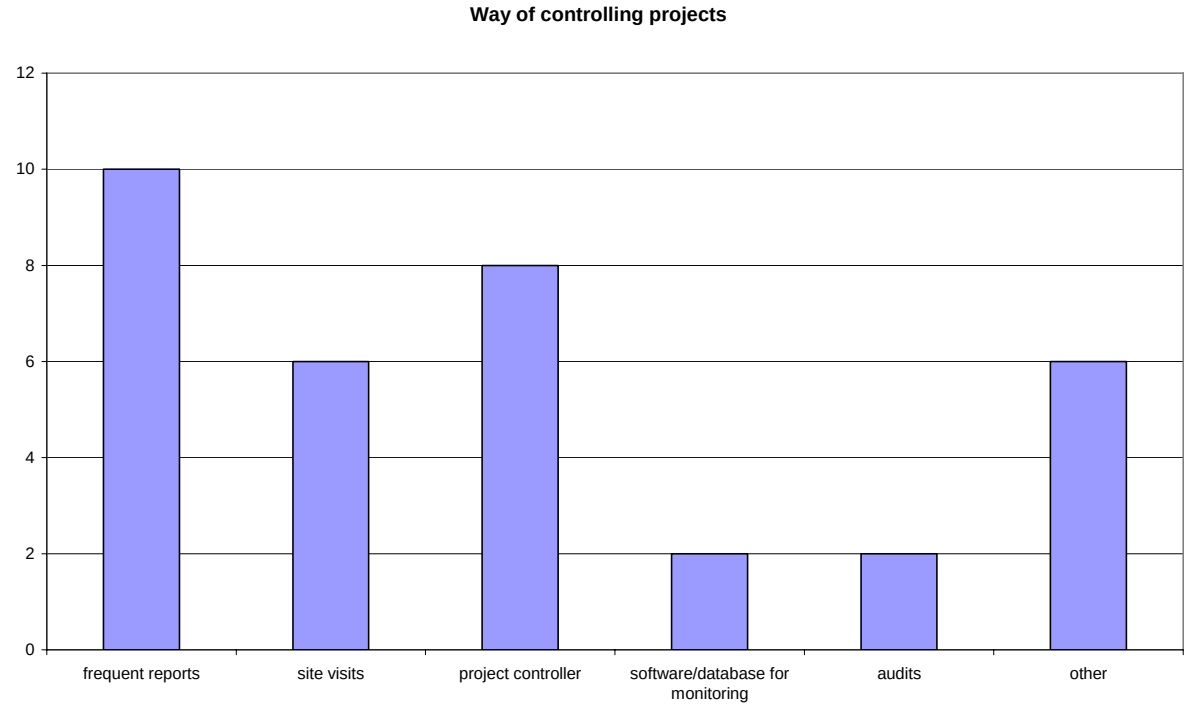
For the monitoring of the financial matters, nearly all partners use interim and finance reports, also audits are very common (question 42). At ELINYAE in Greece the electronic version of the financial report form is itself helping the beneficiary of the programme to realise his progress through the various indicators and take corrective actions. Unit A controls the finances by checking all the invoices and legal status of all procedures (e.g. procurement processes). Unit B then further controls the accounting consistency of all payments and, indirectly, controls the work in Unit A. Examples of quantity indicators are, e.g. percentage of work performed compared to the anticipated progress, number of publications, etc. CIOP-PIB has similar procedures, but the Ministry has to be involved. The Federal Cel ESF (FOD WASO) has developed a database and a manual for the financial monitoring. A discussion about formative and summative evaluation has shown that the most preferred form is a mixture of these two procedures.

2.5.2 If a project does not run as planned

If a project does not run as planned, as asked in question 43, most of the partners hold back payments and then interrupt or stop the project. At BAuA first an informal way is taken, good contacts between the partners is therefore a precondition. Then regulations in the contract are reconsidered. The worst case scenario means that the contract will be cancelled. Some partners are also able to go to court. To avoid these extreme steps, finding a reasonable solution is always a priority. Therefore it is useful to implement procedures in advance in the contract how to deal with problems.

2.5.3 Way of projects controlling

Question 44: Way of controlling projects



Most of the partners use frequent reports to control projects. Eight even have a project controller. Three partners answered that they have meetings to control the process, e.g. of the advisory board. At BAuA the financial and technical issues are controlled separately.

2.5.4 Review

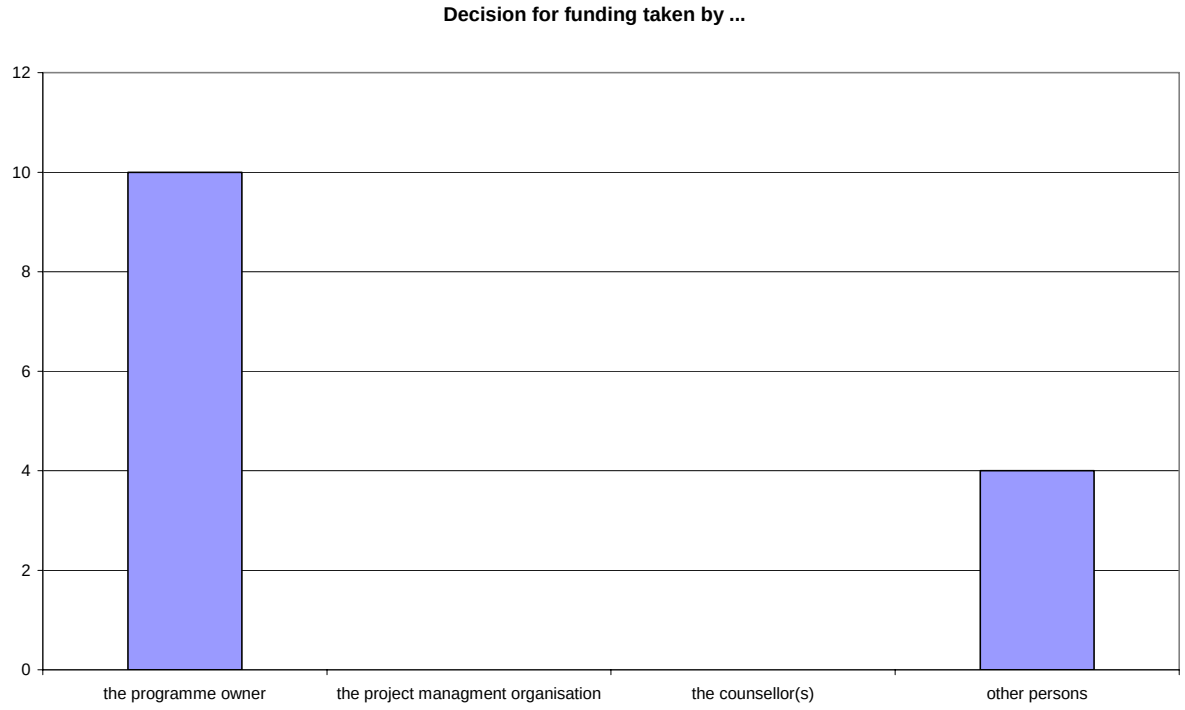
The number of reviewers varies from one up to ten (question 45). At BAuA about two or three reviewers evaluate the applications. In Greece only one evaluator from the managing authority for the operational programme “Competitiveness” evaluated the application of ELINYAE. It was a feasibility evaluation and the application fits to the aims of the programme. ISPESL has usually five evaluators; in comparison to the others this is quite a lot. The evaluators read the application on their own, than they meet and have a discussion. The evaluators are researchers, not external persons.

A general agreement is that one evaluator is not enough, but five could be too many. Three or four reviewers are a good manageable number of reviewers. Nevertheless the quality might be useful to follow a systematic approach of evaluation.

FIOH and AMFF are the only partners who report that the applicants receive the names of the reviewers (question 46). Knowing the name of the reviewers allows a close and constructive contact between reviewers and applicants. On the other hand there might be problems with the independency of the evaluation process! Half of the partners receive detailed results of the reviewers (question 47).

2.5.5 Final decision for funding

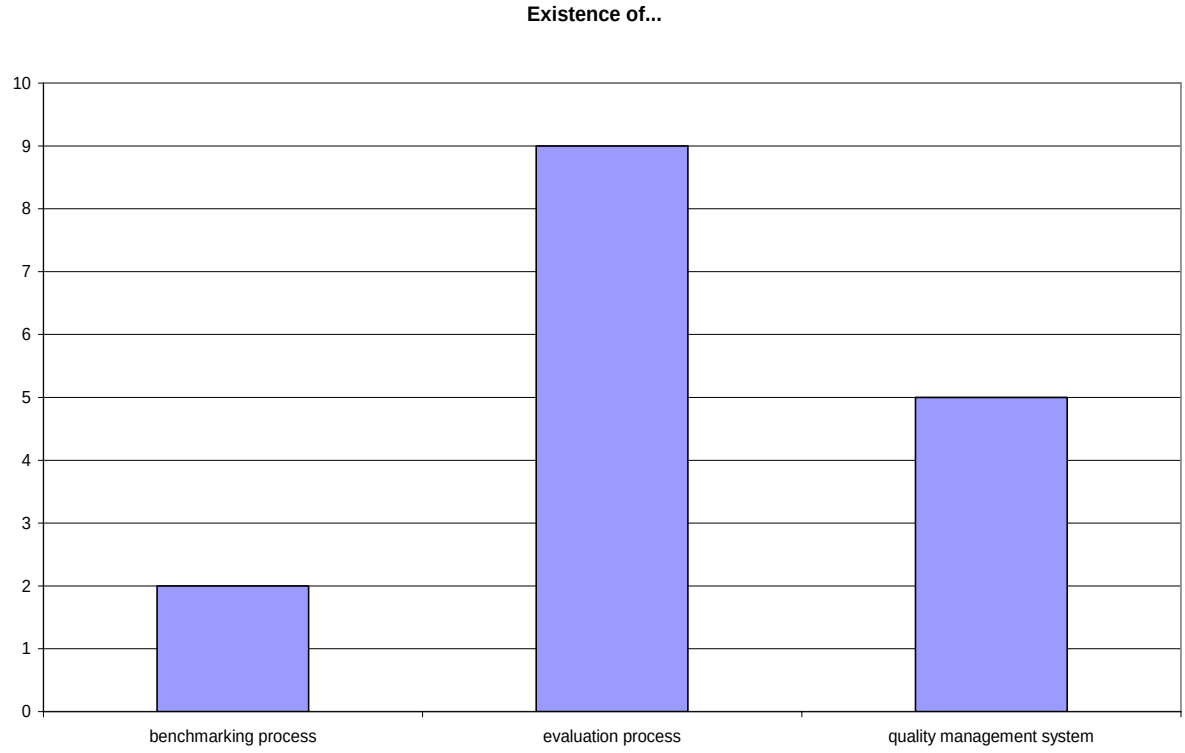
Question 48: Decision for funding taken by…



Except for FIOH, BAuA and FAS, the programme owner has the right to decide who will be funded. Further given answers were: the director, the competent unit and the advisory or strategic board.

2.5.6 Existence of benchmarking process, evaluation process, quality management system

Question 49, 50, 51: Existence of benchmarking process, evaluation process, quality management system



One partner has a benchmarking process, nine have an evaluation process, and five a quality management system.

Benchmarking was differently interpreted by the partners. E.g. PT-DLR does not have a real benchmarking process. PT-DLR interpreted benchmarking as comparing the institution with other organisations.
Greece interpreted it as comparison of a project to another. The Greek Ministry of Development has introduced quantitative and qualitative indicators for each project. However no benchmarking process among projects was put in place. BAuA reports of a benchmarking process, but only concerning the different tenders. The criteria are references, compensation of personal outfall, technical qualification, equipment, software, personnel-plan, schedule, plan of result-presentation, plausibility of finance-plan, costs of personal and materials and self-financing. Basically a benchmarking process and having quantifiable indicators is regarded as useful but sometimes it is difficult to compare projects. In some cases the indicators do not fit.

Nine partners report of having an evaluation process. FWEF for example has a nine stage procedure. Amongst others the scientific advisory board and the management board deliberate on the applications.

MSAHF, BAuA, PT-DLR, HVBG and CIOP-PIB have a certain quality management. Some of them gave a presentation about their system during the workshop. Those partners who don't have but would like to have a quality management could learn from those who have good experiences with it.

3 Conclusion

These analyses presented in this report are based on the filled-in questionnaires, national reports and the workshop on management approaches in NEW OSH ERA. The experiences of thirteen partners about the whole management process of OSH research funding from implementation and administrative procedures and dissemination up to implementation of research results is taken into consideration. The aim was to come to a deeper knowledge of strength and weaknesses in the managing process of OSH research funding. It was not possible to find the best way to manage OSH research. Instead the results showed a big variety of management approaches in European countries. All institutes are applying efficient ways to manage research and to inspire the National and European OSH landscape under the special institutional, political and financial circumstances. For a better understanding of the core of the different funding philosophies a table summarising the different definitions of “project” and “programme” is presented (see chapter 2.1).

The variety of approaches is reflected in the discussion during the workshop about a budget for a common call for tender that is planned for the future. The discussion revealed that in times of decreasing budgets, some people ask why to share the rest with further – international – partners. The problem of the ERA NET approach is not that much a question of budget, but a question of mind set and a problem of communication. But in fact, sharing budget can be a key step towards carrying on research effectively and avoiding duplication of work.

Although the presented data is far from being comprehensive, it shows the variety and also the similarities between different funding organisations. Besides its NEW OSH ERA-internal significance it is expected that this report will be a basis also for external funding agencies to get an overview about different management approaches and to present a guideline for research funding activities.

Additionally this report will also be used as a basis for the next step in NEW OSH ERA: to gain more thorough understanding on research management and administrative practices in national programmes related to OSH in the partner countries and to detect potential barriers that may be obstacles of collaboration. A guide for joint calls and an action plan will be elaborated to reinforce the implementation, supervision and evaluation of the common NEW OSH ERA strategy.

Annex
Questionnaire on management approaches of OSH related research funding programmes

INTRODUCTION

Target group

This questionnaire is addressed mainly to the members of NEW OSH ERA. In case you think it is necessary to collect information about other institutes in your country (national OSH research institutes, universities or other research institutes carrying out research on OSH as part of their activities as well as other organisations that fund OSH research within the country) for writing the national report, please feel free to circulate the questionnaire.

Time frame

The questionnaire pertains solely to **one research funding programme** and covers the period **from 2002 onwards**, i.e. it covers programmes which were launched in or after 2002 and are now completed, programmes that are still ongoing and programmes that are about to be launched. If in this period a given institution has been running more than one OSH-related research funding programme (in parallel or consecutively), **please refer all answers to the most exemplary programme in your country.**

Objectives of the questionnaire

Specific objectives of the questionnaire are:

2. to gather information regarding the management of the national OSH related research funding programmes.
3. to identify and analyse national overviews of management approaches in the area of OSH for further development of joint research programmes.

Definitions

It is very important for the comparison of the answers that the respondents interpret the questions in this questionnaire in the same way. For this reason the following definitions have been used:

Research funding programme

A coherent cluster of research projects on new and emerging risks carried out under a set of common procedures (funding, evaluation, etc.) and goals, partly or wholly financed by the national government, other national funding organisation and/or EU funds.

Research project

Separate research efforts with defined output and time schedule and partly or wholly financed by the national government, other national funding organisation and/or EU funds.

Instructions for filling in and return of the questionnaire

Given that the questionnaire is filled in and sent electronically, do not feel limited by the size of the rows under the questions. You can be as detailed as you feel necessary.

We kindly ask you to fill in the questionnaire electronically and send it back with the national report to stephanie.sill@dlr.de until **15.01.2007**. In case of any questions do not hesitate to contact our questionnaire team: orban.henrietta@baua.bund.de or stephanie.sill@dlr.de.

Country	Institution filling in the questionnaire

INFORMATION ABOUT THE ONGOING OSH-RELATED RESEARCH FUNDING PROGRAMME

1. Title of ongoing OSH related research funding programme

2. Web address (URL) of the funding programme
www.

3. Name of the programme owner (institution initiating the funding programme)

4. Apart from the programme owner, is there an institution (e.g. project management organisation) carrying out or coordinating the funding programme?
☐ No > go to question 6 ☐ Yes

5. How is the responsibility assignment between the decision making body (e.g. ministry) and the administrative body (e.g. project management organisation) designed?

6. Name, position and contact details (tel., fax, email address) of a person responsible for the management of the OSH-Programme:
Name: Position: Tel: Fax:

email:

7. When was the OSH funding programme or OSH-call officially published and when will it probably end? *(year/month/day)*	
Starting Date:	Ending date:

8. What kind of research does the institution carrying out the funding programme support?
☐ basic research
☐ applied research
☐ transfer projects

9. Was there a political decision to launch this specific research funding programme or was this decision taken at administrative level?
☐ political decision
☐ taken at administrative level
☐ other way, please describe:

IMPLEMENTATION APPROACHES

10. Do researchers and/or research organisations have the possibility to submit a project proposal at any time or to a certain deadline?
☐ any time (open call)
☐ deadline (restricted call)
☐ other procedure *(e.g. mission oriented research, please describe)*:

11. Where is the call published?
☐ on the internet

☐ in the governmental newspaper

☐ in newspapers

☐ in the institution-specific magazine

☐ in international magazines

☐ at other places *(please indicate)*:

12. Who is allowed to submit an application?
☐ individual persons
☐ enterprises
☐ universities
☐ research institutions
☐ others *(please describe)*:

13. Do you have a one-stage or/and two stage application procedure?
☐ one-stage procedure (the complete application is presented)
☐ two-stage procedure (just after a short version has passed the first step of the application process the complete application has to be presented)
☐ none of both, but *(please describe):*

14. Do applicants have to use electronic services to prepare an application?	
☐ No	☐ Yes

15. What kinds of documents are requested for submitting an application?
☐ forms concerning financial status
☐ forms for financial requests
☐ project description
☐ description of project realisation
☐ description of milestones
☐ capacity plan
☐ researchers' CV
☐ other (please describe):

16. What kind of instructions is given to applicants to prepare the proposal? How are they counselled?
☐ written / electronic manual ☐ info-sessions ☐ other:

17. What is the content of these information?

18. Are there any guidelines for the reviewers to assess the applications?	
☐ No	☐ Yes

19. What are the most important features of a successful application?
a) b) c) d) e) f)

20. Is there a STEERING COMMITEE or advisory board for the research funding programme?	
☐ No > go to question 24.	☐ Yes

21. The advisory board supports the…
☐ development of the programme ☐ appraisal process of projects ☐ evaluation process of projects ☐ other *(please describe)*:

22. Which institutional background do the members of the advisory board have?
☐ syndicate / employees representation
☐ employers institution
☐ research / science
☐ policy-makers
☐ others *(please indicate):*

23. Who appoints the members of the advisory board?
☐ the programme owner
☐ the programme manager
☐ others *(please name the function)*:

24. Do social partners help realising the aims of the programme?	
☐ No	☐ Yes *(please describe)*:

25. Are there instruments implemented to support the networking between the project managers and enterprises?	
☐ No > go to question 27.	☐ Yes

26. What kind of instruments is used to support the networking between the project managers and enterprises?
g)
h)
i)
j)
k)
l)

ADMINISTRATIVE PROCEDURES

27. How many projects are starting per year on average?
projects

28. How long do the projects run on average?
months

29. Please indicate the amount of the funding for the OSH funding programme in the last five years (in Euro).
2002:
2003:
2004:
2005:
2006:

30. How much is the funding sum for a project in Euro on average?
Euro

31. What are eligible costs in the project?
☐ travel costs
☐ personal costs
☐ overhead cost
☐ subsistence costs (e.g. catering)
☐ meeting costs (congresses, workshops etc.)
☐ leasing costs
☐ material costs
☐ fee for experts
☐ others *(please describe):*

32. The researchers and/or research organisations receive money for the project when…
☐ they send the interim report
☐ they send the final report
☐ they are signing the contract
☐ other way *(please describe):*

33. Is it possible to fund international researchers and/or research organisations?	
☐ No > go to question 35	☐ Yes

34. Please describe under which circumstances researchers and/or research organisations from abroad can be involved.

DISSEMINATION AND IMPLEMENTATION OF RESEARCH RESULTS

35. Are project managers obliged to write a dissemination plan?	
☐ No	☐ Yes

36. What are the forms of dissemination of the programme results?

- ☐ Publications in scientific journals
- ☐ Standards or guidelines
- ☐ Checklists
- ☐ Data bases distributed on CDs
- ☐ Data bases available via internet
- ☐ Educational materials or training aids (including software tools)
- ☐ Workshops and training courses on OSH
- ☐ Risk management supporting tools
- ☐ Technical solutions/technologies
- ☐ Information campaigns
- ☐ SMEs-oriented actions
- ☐ Other *(please describe)*:

37. Who are potential end-users of the final programme deliverables?

- ☐ Government: ministry *
- ☐ Government: ministry *
- ☐ Organisations of employers
- ☐ Trade unions
- ☐ National education system
- ☐ Conformity assessment bodies
- ☐ Industrial companies – large
- ☐ Industrial companies – SMEs
- ☐ Media
- ☐ Other *(please indicate)*:

*) Please provide full name of the ministry

38. Is valorisation (i.e. commercial exploitation) part of the programme? If yes, please specify to what extend (in % of the budget).

39. Who owns the results of the research (intellectual property rights)?

40. How many patents have been yielded so far within your research funding programme?
patents

41. Are there any other commercial activities related to the research funding programme?

EVALUATION PRACTICES

42. How are financial matters monitored during and after the project?

43. What happens if a project does not run as planed (e.g. if milestones are not fulfilled, if enterprises are declared bankrupt etc.)?

44. How is the progress of a project controlled?
☐ frequent reports ☐ site visits ☐ project controller ☐ software / database for monitoring ☐ audits ☐ other *(please describe):*

45. How many reviewers (except the members of the advisory board) evaluate the applications?
reviewer

46. Do the applicants receive the name(s) of the reviewer(s)?	
☐ No	☐ Yes

47. Do the applicants receive detailed results of the review(s)?	
☐ No	☐ Yes

48. Who decides at last instance if a project will be funded?
☐ the programme owner
☐ the project management organisation (if existing)
☐ the counsellor(s)
☐ other person(s) *(please indicate the organisation and position)*:

49. If there is a benchmarking process, please describe.	
☐ No	☐ Yes, please specify the basic elements:

50. Please describe the evaluation process for the OSH research funding programme (if any).

51. Do you have a quality management system?	
☐ No	☐ Yes, please specify the basic elements:

FURHTER COMMENTS

52. Do you have further comments e.g. any specifics/aspects concerning your research funding programme which we have not asked about?

Please fill in the following questions only if your organisation is member in the NEW OSH ERA-Project.

EUROPEAN RESEARCH FUNDING ACTIVITIES

53. In your opinion, would it be possible (at that time) to build up a joint pot for European projects?
☐ No
☐ Yes
☐ not possible to answer yet

54. Does your organisation have experiences with joint international funding measures?	
☐ No > go to question 56	☐ Yes

55. On which level did/do you participate on EU-common research activities?
☐ low level (on a scale from for instance a-posteriori-clustering of national research projects)
☐ high level (to synchronized national calls, to joint, internal calls)
Please describe your experience:

56. In general terms, where do you see the main obstacles for joint funding measures of European countries?

Thank you for your contribution to our work!