

Workplace Injury Prevention Grants

Applicant Guidelines

February 2019

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About this document

Purpose

ACC will be offering Workplace Injury Prevention Grants to help solve workplace health and safety problems that affect multiple businesses and workplaces in a sector or industry group or supply chain.

This document supports applicants through the process of applying for funding in the first 2019 Workplace Injury Prevention Grants funding round.

This document provides:

- an overview of the funding application process
- guidance for preparing an application
- the assessment process and criteria and
- other information for consideration i.e. standard grants conditions.

How to contact us for support

If you have any questions which cannot be supported in this document, please also feel free to contact us by emailing injurypreventiongrants@acc.co.nz. For example, if you need any technical assistance with the online application portal.

Important dates

The key dates for the first funding round of 2019 Workplace Injury Prevention Grants are as follows:

Step	Description	Date
Funding round opens	Our online application portal "ARCUS" opens. Applicants can now register and submit applications through the online web portal www.https://rasp.com.au/reg/accwipg.aspx .	Noon, 28 February 2019
Funding round closes	Funding round closes. All applications to be submitted through the online portal	5pm, 28 March 2019
Applicants notified of funding round decisions	Applicants will be notified whether their application has been successful or not by email	End May 2019
Funding agreements finalised	All funding agreements for successful grants signed.	June 2019

Making your application online

We advise all applicants to apply as early as possible. Applications cannot be accepted after the close date and time. We will acknowledge receipt of each application by email.

Checking your project is eligible

Before your application can be considered, all eligibility criteria need to be met.

No	Criteria
1	Your project will demonstrate health and safety leadership and collaboration with other partners in your industry or supply chain.
2	Your project will create benefits contributing to improved health and safety in New Zealand for multiple workplaces.
3	Your organisation is applying for an amount between \$50,000 and \$500,000 (GST exclusive) per year over a maximum of three years.
4	Your organisation will contribute a minimum of 20% of the total cost of the project in cash and/or in-kind.
5	Your organisation is a registered legal entity in New Zealand.
6	Your organisation operates in New Zealand and the project will be undertaken in New Zealand.


Note: "organisation" can also be a collective of organisations

Registering for ARCUS

Applicants register and apply through the online application portal “ARCUS” which opens for applications from 12 noon, 28 February 2019 and closes at 5pm 28 March 2019.

To create your user login in ARCUS, please click this link <https://rasp.com.au/reg/accwipg.aspx>. You will receive your user login details within one business day.

Please note:

- you don't have to complete the application form all at once, you can save your application form at any time and come back later
- move between pages by clicking 'Previous' or 'Next', or by clicking section tags at the top of the page
- we recommend saving your work before navigating to a different section
- after 20 minutes of inactivity, you will be logged out and any unsaved information will be lost
- if you have any queries about the application process or if you need technical support, please email us at injurypreventiongrants@acc.co.nz
- For questions relating to your online application, please use the messaging system 'Messages' from the online application portal to contact us.
- completion of tables within ARCUS are also mandatory, ensure you select “table completed” tick box after each relevant table.
- branching questions (a question which leads into another question or required response) are indicated by this  icon. Further questions based on how you answer may be made available (e.g. question 4.9)

For more information please refer to [Appendix 1 – Navigating Arcus](#).

Completing the online application form

The following pages will guide you through the online application form.

The sections of the table shaded pale yellow indicates mandatory questions. You will not be able to submit your application unless you provide an answer.

1.0 Eligibility Gateway

Section/Online portal reference	Requirement
1.2-1.7 Eligibility Gateway	You need to meet all the eligibility criteria.

2.0 Application Summary

Section/reference	Requirement
2.2 Project title	Give your idea/project a short name – Use full words; no acronyms or abbreviations. This name will be used in media releases etc., and to refer to the project during its lifetime.
2.3 Project summary	Briefly describe what your project is about, which sector/industry it will make safer and how.

2.5-2.6 Project duration	Enter the proposed start date of your project and the duration in weeks. If your application is approved, we'll confirm these dates with you as part of finalising the funding agreement.
2.8 Grant categories	Select which category your project will fit. You may select more than one.
2.9 Industry classification	Select which industry your project will benefit. You may select more than one.

3.0 Applicant Details

Section/reference	Requirement
3.2 Legal entity	Enter the name of the legal entity applying for grants.
3.3 NZ business number (NZBN)	Enter the 13-digit number.
3.4 GST number	Enter if appropriate.
3.6-3.11 Primary contact person	This will be the only person who receives all communication relating to the application.

4.0 Project Description

Title/reference	Requirement
4.2 Problem/opportunity	Demonstrate how your project will enable sector leadership to address the problem or opportunity in workplace health and safety system.
4.3 Project objectives	Describe your project's main objectives and how will it deliver them. Use the 'SMART' format as described below. Specific - should target a specific area or answer a specific need Measurable - should be quantifiable Attainable - should be realistic, based on available resources and constraints Relevant - aligns with other business objectives to be considered worthwhile Time-bound - has a deadline or defined end.
4.4-4.5 Outcomes and benefits	Describe the outcomes of your project and the benefits it will create. Also, describe how the proposal will be evaluated, what the long-term benefits will be and how they will be measured. <i>For example:</i> Outcome -Develop a mobile hoist which is easy to transport in vehicles and by hand due to its compactness. Benefit - Reduction in back injuries due to lifting.
4.6 Industry collaboration	List all organisations that will collaborate with your organisation on the project and the reasons why you're collaborating with them.
4.8 Worker engagement	Describe how your project team will consult/engage with workers.
4.9-4.10 Location	If you have selected regional, also select which regions will benefit from your project.

5.0 Knowledge Transfer Plan

Refer to [Appendix 2](#) before answering this section.

Title/reference	Requirement
5.3-5.4 Collaboration and engagement	List your key project stakeholders and engagement approach, e.g. regular meetings or seminars.
5.5-5.6 Target groups	List who is being targeted to influence their thinking and practice: <ul style="list-style-type: none"> • target group • sector/industry • leaders/champions
5.7-5.8 Activities	List activities that will be undertaken to engage with target groups.
5.9 Practice and behaviour change	Describe what change/action you plan to achieve because of your project outcomes.
5.10 Monitoring and evaluation	Describe how you will know your Knowledge Transfer Plan is succeeding.
5.1 Sustainability	Describe how you will be able to sustain your project outcomes once your project has ended.

6.0 Budget, Milestones and Funding

Refer to [Appendix 3](#) before answering this question.

Title/Reference	Requirement
6.2-6.3 Project budget	The totals are not calculated automatically . All numbers need to be entered. Failure to do so can mean that an application may not progress.
6.4-6.5 Milestones	<p>Ensure that the total of all the columns matches the corresponding total funding in the project budget section for each milestone.</p> <p>Milestones are major stages or deliverables of a project and demonstrate the workings of how requested funds and expected project costs are calculated.</p> <p>Successful delivery of the milestones is critical for the project to achieve its overall objective and on successful completion of each project milestone, payment for the ACC contribution is then made.</p> <p>Your application's milestone table will become the main basis for contracting the project activities and deliverables so sufficient detail to enable ACC to monitor progress and substantiate payments is required.</p> <p>To ensure any payment action can be undertaken within a ACC financial year, we recommend having no milestones planned or due between 16 and 30 June in any year of the project's implementation.</p>
6.6-6.7 Other government funding	<p>Please disclose if you have received or applied for any government funding for the proposed project.</p> <p>If yes, please identify the amount of government funding, and the source [All amounts should be in New Zealand dollars and exclude GST].</p>

7.0 Project Governance

Title/Reference	Requirement
7.2 Governance	ACC needs to have confidence that applicants have a governance structure in place to provide guidance and advice to the project. ACC also needs to have confidence that applicants can demonstrate the project and its team members have the necessary skills to deliver a successful project. Project management, financial management and technical skills, plus a sound methodology, are required to deliver the project to the cost and timeframes stated.
7.3-7.4 Project team	Provide contact details, role and responsibilities, qualifications, experience for each of the key personnel involved in delivering your proposed project (including any personnel to be provided by sub-contracted parties).
7.5-7.6 Sub-contractors	If you're intending to use the services of sub-contractors to complete your project, please complete the table.
7.8-7.9 Risk assessment	Describe potential project risks and barriers to success and outline how they will be addressed. Refer to Appendix 4 for the risk management framework.

8.0 Other Information

Please attach any further information or supporting documentation to support or verify any statements made in your application. You may attach up to three documents. **Please make sure the file size for each attachment is under 4MB.**

Title/reference	Requirement
8.2-8.5 Other information	Please only submit your additional documents in the following formats: <ul style="list-style-type: none"> • Word • Excel • Powerpoint • PDF

9.0 Declaration

Title/Reference	Requirement
9.2-9.7 Declaration	A declaration is required acknowledging that: <ul style="list-style-type: none"> • the person submitting the application is authorised to submit the application on behalf of the legal entity • all the information supplied in this application is true, correct and complete. • the applicant has good health and safety performance, where applicable (i.e. you have not been investigated or prosecuted by WorkSafe NZ)

Submitting your completed application

Once you have completed the online application, go to the **Summary Tab** and select the **Submit** button (top right of the screen).

If the Submit button is greyed out, your application is not complete. Select **Completion Report** on the Summary tab. The completion report will show you those questions still outstanding. Select the section to the left to take you directly to the relevant question for completion.

Assessment criteria and process

Each application is assessed only on the information provided in the online application. ACC will appoint Assessors for their relevant subject matter expertise and experience to assist in the assessment of applications. The final funding decisions made are based on:

- the completeness of the application
- Assessor scores against the assessment criteria and moderation

Third Party Information

Each applicant authorises ACC to collect additional information from any relevant third party and to use that information as part of its assessment of the application.

To facilitate discussions between us and third parties, each applicant waives any confidentiality obligations that would otherwise apply to information held by a third party, except for commercially sensitive pricing information.

Applicant clarification

ACC may at any time, request from any applicant clarification of its application as well as additional information about any aspect of its application. Applicants will endeavour to provide in a timely manner the information requested.

Where an applicant does not respond adequately or within a reasonable time, their application may not progress and may be eliminated from the process.

Assessment and decision-making

In evaluating applications, the Assessors may also take into account any of the following additional information:

- matters of trust and confidence
- any other relevant information that ACC may have in its possession.

ACC has the sole discretion to determine which projects will receive funding. ACC may impose any additional conditions it sees fit, prior to funding being approved.

Refer to [Appendix 5](#) to review assessment criteria.

Confidentiality

Information in applications will usually be limited to the ACC team, Assessors, and other ACC staff. However, if we receive two or more applications that are similar in nature, we may ask those applicants to work together in an amalgamated project. In this instance, information may be shared between applicants.

Confidential Information

ACC and the applicant will each take reasonable steps to protect Confidential Information and, subject to the conditions outlined in “confidentiality of grants information” below and without limiting any confidentiality undertaking agreed between them, will not disclose Confidential Information to a third party without the other’s prior written consent.

ACC and the applicant may each disclose Confidential Information to any person who is directly involved in the grants process on its behalf, such as officers, employees, consultants, contractors, professional advisors, Assessors, partners, principals or directors, but only for the purpose of participating in the grants.

Confidentiality of grants information

Applicants acknowledge that ACC’s obligations are subject to requirements imposed by the Official Information Act 1982 (OIA), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. ACC will not be in breach of its obligations if confidential information is disclosed by ACC to the appropriate authority because of suspected collusive behaviour. Where ACC receives an OIA request that relates to an applicant’s Confidential Information ACC will consult with the applicant and may ask the applicant to explain why the information is considered by the applicant to be confidential or commercially sensitive.

Further information on the Official Information Act 1982 can be found at on the Ombudsman website at <http://www.ombudsman.parliament.nz/>.

For the duration of the grants, to the date of the announcement of the successful applicant, or the end of the grants process, the applicant agrees to keep the grant strictly confidential and not make any public statement to any third party in relation to any aspect of the grant, the grant process or the award of any Funding Agreement without ACC’s prior written consent.

An applicant may disclose grant information to any person described above but only for the purpose of participating in the grant. Reasonable steps to ensure that such recipients do not disclose Confidential Information to any other person or use Confidential Information for any purpose other than responding to the grant is required to be taken by the applicant.

Standard grants conditions

Disclaimer

ACC will not be liable in contract, tort, equity, or in any other way whatsoever for any direct or indirect damage, loss or cost incurred by any applicant or any other person in respect of the grant process.

Nothing contained or implied in the grant, or grant process, or any other communication by ACC to any applicant shall be construed as legal, financial or other advice. ACC has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be updated.

To the extent that liability cannot be excluded, the maximum aggregate liability of ACC, its agents and advisors is \$1.00.

Ethics

Applicants are expected to behave and act in an ethical manner. ACC recommends applicants should not attempt to influence or provide any form of personal inducement, reward or benefit to any representative of ACC or the Assessors in relation to the grant.

An applicant who attempts to do anything prohibited may be disqualified from participating further in the grant process.

Applicants must not engage in collusive, deceptive or improper conduct in the preparation of their applications or other submissions or in any discussions or negotiations with ACC. Such behaviour will result in the applicant being disqualified from participating further in the grant process.

Costs of participating in the grant process

Each applicant will meet its own costs associated with the preparation and presentation of its application and any negotiations.

Ownership of documents

The grant application and its contents remain the property of ACC. All Intellectual Property rights in the grant remain the property of ACC or its licensors. ACC may request the immediate return or destruction of any or all grant documents and any copies. Applicants are to comply with any such request in a timely manner.

All documents forming the application will, when delivered to ACC, become the property of ACC. Applications will not be returned to applicants at the end of the grant process.

Ownership of Intellectual Property rights in the application remain the property of the applicant or its licensors. However, the applicant grants to ACC a non-exclusive, non-transferable, perpetual licence to retain, use, copy and disclose information contained in the application for any purpose related to the grant process

No binding legal relations

Neither the grants, nor the grants process, creates a process contract or any legal relationship between ACC and any applicant, except in respect of:

- the applicant's declaration in its application
- the application Validity Period
- the applicant's statements, representations and/or warranties in its application and in its correspondence and negotiations with ACC
- the Assessment approach to be used by ACC to assess application
- the standard grant conditions set out herein
- any other matters expressly described as binding obligations.

Elimination

ACC may exclude an applicant from participating in the grants if ACC has evidence of any of the following, and is considered by ACC to be material to the grants:

- the applicant has failed to provide all information requested, or in the correct format, or materially breached a term or condition of the grant
- the applicant contains a material error, omission or inaccuracy
- the applicant is in bankruptcy, receivership or liquidation
- the applicant has made a false declaration
- the applicant has been convicted of a serious crime or offence
- there is professional misconduct or an act or omission on the part of the applicant which adversely reflects on the integrity of the applicant
- the applicant has outstanding ACC levies
- the applicant or organisation collaborating with the applicant in making the application for a grant has been prosecuted for breaches under health and safety legislation (historic or pending).

New Zealand law

The laws of New Zealand shall govern the grant and each applicant agrees to submit to the exclusive jurisdiction of the New Zealand courts in respect of any dispute concerning the grant or the grant process.

Other important information

Tax

ACC does not provide tax advice. If needed, applicants should seek advice from tax specialists about how any funding granted may affect their tax positions.

Publicity

ACC reserves the right to use information regarding funded projects for publicity purposes. This includes releasing publicly the names of successful applicants, a high-level summary of successful projects including the amount that has been awarded.

Intellectual Property

All new material developed through the project must be made publicly available. ACC supports the principle of 'public good' and this is reflected in the Intellectual Property clause of the ACC funding agreement.

Ownership of Intellectual Property rights in the application remain the property of the applicant or its licensors. However, the applicant grants to ACC a non-exclusive, non-transferable, perpetual licence to retain, use, copy and disclose information contained in the application for any purpose related to the grant funding process. Pre-existing Material and/or Third Party Material that is required for the project-generated Intellectual Property to be used effectively will also need to be made available.

Issues and complaints

An applicant may, in good faith, raise with ACC any issue or complaint about the grants, or the grants process and ACC will consider and respond promptly and impartially to the applicant's issue or complaint.

Both ACC and the applicant agree to act in good faith and use their best endeavours to resolve any issue or complaint that may arise in relation to the grants.

Appendix 1 - Navigating ARCUS

Appendix 1 - Navigating Arcus



Homepage/Workplace Injury Prevention Grants

Section Tabs

Summary
Once you've completed your application, return to the summary tab to submit your completed application.

Questionnaire (Application Form)
Complete all 9 sections

Messages
Use this tab to send us a message if you have any questions about your application

Submit your completed application.

Completion report
Shows you what you still need to complete. From the completion report, select the section to the left to take you directly to the relevant question for completion.

Next →

Move between pages by clicking 'previous', 'next' or 'back', or by clicking the **section tabs** at the top of the page

Homepage/Workplace Injury Prevention Grants/Questionnaire

Messages
Use this tab to send us a message if you have any questions about your application

There are **9 sections** to the questionnaire.

Click the arrows to navigate back and forth between each section.

Questions shaded pale yellow are mandatory.

Progress bar
0% Complete (Questionnaire Completion)

1. Eligibility Gateway 2. Application Summary 3. Applicant Details 4. Project Description 5. Knowledge Transfer Plan 6. Budget, Milestones and Funding 7. Project Governance

1.0 Eligibility Gateway (Gateway)

1.1 Before you can apply for funding, you need to meet all the eligibility criteria below. If you're eligible, you'll then be able to complete the grant application.

The eligibility criteria are:

- 1.2* Your project will demonstrate health and safety leadership and collaboration with other partners in your industry or supply chain. Yes No
- 1.3* Your project will create benefits contributing to improved health and safety in New Zealand for multiple workplaces. Yes No
- 1.4* Your organisation is applying for an amount between \$50,000 and \$500,000 (GST exclusive) per year over a maximum of three years. The amount of funding we approve will depend on the scope of your project and the health and safety improvements your project aims to create. Yes No
- 1.5* Your organisation will contribute a minimum of 20% of the total cost of the project in cash and/or in-kind. Yes No
- 1.6* Your organisation is a registered legal entity in New Zealand. Yes No
- 1.7* Your organisation operates in New Zealand and the project will be undertaken in New Zealand. Yes No

← Previous Next →

Move between pages by clicking 'previous', 'next' or 'back', or by clicking the **section tabs** at the top of the page

Appendix 2 - Knowledge Transfer Plan

ACC is emphasising the need for knowledge transfer to assist in enabling project outcomes past the end date of the project. Knowledge Transfer is the process of engaging relevant sector/industry stakeholders and organisations to promote project outcomes. The Knowledge Transfer Plan (Plan) aims to create awareness of the project, share new knowledge and lessons learnt, contribute to changes of policy and practice, and influence changes in behaviour.

This means project outcomes are shared with other sector/industry stakeholders to help improve workplace health and safety. The Plan is intended to be of benefit to both ACC, the Grantee and the health and safety system.

How should the Plan be used?

The Plan should seek to enable and support project outcomes. It will create a pool of workplace health and safety champions who are committed to sharing and fostering growth within the health and safety system by openly sharing results and findings of projects.

How knowledge is shared will have a big impact in enabling sustainable improvements in the health and safety system.

How do I develop my Plan?

To develop an effective Plan, it requires a clear understanding of the problem, the solutions hoped to be achieved and the systems into which we expect these solutions to be applied. **The online application process provides tables to be completed.**

In the online application, you'll need to provide information about:

1. Collaboration and engagement

Identify the key stakeholders (including ACC) you will engage with during the project. How will you engage with these stakeholders? Enable easy, regular and effective communication. Some examples are meetings, seminars, email communication, newsletters and website updates.

2. Target groups

Identify the target group(s) in your sector/industry that you will share your project outcomes with. Include any other sectors/industries that would also benefit. Who are the likely leaders/champions that will be involved? Think about credible influential advocates and ways to tap into their support.

3. Activities

You'll need to develop activities to engage with your target group(s). There's lots of different ways of getting your message across and engaging with stakeholders. Before you decide on your chosen activities consider both your target group and the idea you want to promote and what you want to achieve i.e. do you want to raise awareness of a new technology or idea or do you want the target group to adopt a technology or idea?

Some example activities are email updates, newsletters, text messages, collaborative workshops, industry association meetings, seminars, conferences, websites.

You may want to provide activities that:

- reflect the actual work of the participants
- enable participants to compare their own experiences with the new technology, innovation or ideas
- share the new knowledge in a way that makes it easy for people to access information when it is needed, for example, websites can make information available beyond the life of the project.

4. Practice and behaviour change

What change/actions do you hope to achieve as a result of your project outcomes?

Demonstrate the change/actions that you'd like the target group(s) to adopt within their own organisations.

5. Monitoring and evaluation

This is to show how you're progressing with the project's desired practice change. Consider what success might look like, as measured through changed attitudes, behaviours and practices amongst the target group(s). Provide success measures and the data that will be collected against them.

Some specific indicators of success may include:

- your project outcomes are recognised by your wider sector/industry
- the information from your project is widely available and readily accessible
- there is a growing group of people with knowledge and understanding based on your project outcomes
- people have changed behaviour or practices.

6. Sustainability

Outline how you'll maintain the sustainability of your project outcomes after ACC funding has ended.

Appendix 3 - Budget, Milestones and Funding

ACC does not provide grants funding for the following activities and expenditure:

- long-term on-going costs of an organisation, business, community group or trust
- long-term on-going costs of a trial or project
- capital expenditure
- retrospective costs
- local or central government fees or charges
- commercial product trials
- product commercialisation
- Intellectual Property Rights development for private good
- international travel
- sponsorship
- study fees or
- costs associated with publishing journal articles or peer review.

In-Kind contributions

In-kind contributions are materials, equipment or services contributed to the project. No money will change hands, but costs still have a value and can be used as part of the co-funding contribution. These can come from other organisations and individual stakeholders involved in the project, and sector or industry bodies. The contributing co-funder needs to provide a figure of how much likely co-funding they would contribute.

Valuing In-Kind contributions

For a contribution to count as 'in-kind', the contributor should incur actual and real costs resulting from their direct involvement in the project. For example, a project manager engaged for the project, using a vehicle, or giving up time to deliver a project workshop. This does not include undertaking activities that form part of their normal day-to-day duties. Refer below on how to calculate the value of examples of in-kind contributions.

Budget development

- accommodation – Budget for and book standard (as opposed to deluxe or superior) class rooms
- transport
 - Road travel cost estimates should be calculated using the IRD mileage rate or the Automobile Association rate. Details are available on the IRD website at: <http://www.ird.govt.nz/business-income-tax/expenses/mileage-rates/emp-deductions-allowances-mileage.html#01>.
 - Domestic flight costs should be estimated at the lower end of the pricing scale. Flights should be booked at the lowest fare price available at the time of booking or the 'best fare of the day', considering the most time efficient and cost-effective options. Unnecessary overnight stays should be avoided. ACC does not fund international travel.
- Overheads – overhead costs may be included with some restrictions. The budget to only include overhead costs expected to be incurred those existing prior to the project starting are not eligible
- Project support costs - these should be valued at the lower of actual cost or market value (e.g. cost of hire, workshop costs and catering)

- Personnel - personnel costs should be valued at rates that allow for overheads, administrative costs and local travel expenses, which form part of the work done by an individual. These expenses cannot be claimed separately. When the value of in-kind personnel contributions is estimated, the following rates should be used:
 - Rate A: \$190 per hour for consultants, scientists, lawyers, accountants and expert advice
 - Rate B: \$110 per hour for technical, scientific expertise or professional advice, expert project managers and
 - Rate C: \$40 per hour for general administration and those not covered by Rate A or B.

Co-Funding Section

Enter the details of all the parties providing cash and in-kind co-funding to the project. Indicate whether the co-funding has been confirmed or has 'provisional' status and is yet to be finally confirmed. Co-funding commitments do not need to be confirmed at the time an ACC application is submitted but written confirmation is required before a Funding Agreement can be signed.

Milestone Deliverables

A project completion report is required as a deliverable in the final project milestone.

Milestones should not be due between 16 and 30 June in any year of the project's implementation. ACC's financial year ends on 30 June, so milestone deliverables and invoices is to be submitted in time for the review, approval and payment process to take place in the same financial year in which the work was undertaken. This means that while an ACC grant may last up to three years, final reporting is due no later than two weeks prior to the end date of the project.

Agreement of milestone completion and approval of payment is at the sole discretion of ACC.

Reporting Requirements

All projects that are funded through ACC are required to submit reports against each of the contracted milestones. It is expected a successful project will have around 3-4 milestones per year. Payments will be made when the success measures of each milestone are completed to ACC's satisfaction. All reporting is due before or on the milestone due date.

Reporting documents should consist of:

- completion of the milestone report
- attachment of any supporting documents which provide evidence of the milestone completion (eg reports, presentations project plans, etc.)
- an invoice for the milestone amount. All GST registered projects must submit a GST compliant tax invoice.

Appendix 4 - Risk Management Framework

The Risk Management Framework is to assist in assigning the appropriate risk rating to the risks identified.

PROJECT CONSEQUENCE ASSESSMENT MATRIX					
	MINOR	MODERATE	SIGNIFICANT	MAJOR	SEVERE
TIME	Insignificant delays, minimal impact on project timeline.	Non-critical tasks are not completed on time.	Critical tasks not completed on time. Likely downstream impacts to project timelines and delivery dates. Timeline is behind schedule.	Key milestones are missed and significant delay to the project delivery date. Timeline is behind schedule with a key date or critical missed.	Severe impact to schedule, missed critical fixed delivery dates. Significantly behind schedule with multiple key dates/ milestones missed.
COST	Financial loss or budget overrun the lesser of 10% or \$250k of phase/project.	Financial loss or budget overrun the lesser of 10-15% or \$500k of phase/project.	Budget overrun the lesser of 15-20% or \$1M of phase/project. The value of change requests and/or variations exceeds 10% of budgeted project contingency.	Budget overrun the lesser of 25% or \$1.5M of phase/project. The value of change requests and/or variations exceeds 25% of the budgeted project contingency	Budget overrun above 33% or \$2M of phase/project. The value of change requests and/or variations exceeds 50% of the budgeted project contingency.
QUALITY	Insignificant impact on overall quality of product or service. No action required to achieve planned business outcomes.	Minor impact to the quality of the output, remedied without additional cost. Limited/few hazards identified or created	Moderate impact on the quality of output Additional activities or cost required to remedy quality issues Failure to meet legal or regulatory requirements, and/or potential litigation or penalty Notifiable incident.	Considerable impact on quality. Requires significant additional effort during/post project to achieve acceptable levels of performance. Serious harm injury. Non-compliance with legal requirements - potential litigation	Severe impacts on the quality of the product or service delivered. Without remediation the product is considered to be unstable and not fit for production use. Death of an individual.
SCOPE ACTIVITIES OUTPUT	No impact on project deliverables. All intended outcomes are achievable.	Minor impact on deliverables, and 'nice to have' functionality No impact to intended outcomes some workarounds in place.	Moderate impact to deliverables - 'could have' functionality not delivered. Reputation damage or moderate cultural impact	Major impact to deliverables with 1-2 'must have' features not delivered. Require significant work rounds. Significant loss of business efficiency	Severe impact to project deliverables, more than 2 'must have' not delivered. Product/ service not delivered key intended outcomes for the business. Sustained and

		Some adverse public reaction or cultural impact.	Loss of business efficiency	Numerous and/or major hazards are identified	significant loss of business efficiency
RESOURCES	Insignificant impact to resourcing, manageable within the overall baseline for project delivery.	Minor impact to approved project resourcing requiring additional resource and increase in overall effort.	Moderate impact to approved project resourcing requiring additional short-term resource and increase in overall effort. Insufficient adequately skilled dedicated project resources	Major impact to approved project resourcing requiring multiple additional resources with increase of effort Insufficient adequately skilled dedicated project resources	Severe impact to approved project resources requiring significantly more resources for an extended period of time to achieve the agreed project outcomes.
BENEFITS AND OUTCOMES	No impact in overall ability to realise planned benefits. Additional effort or workarounds required to achieve the intended benefits.	Minor impact in ability to realise planned benefits. Some of the less fundamental benefits may not be fully realised.	Moderate impact on ability to realise benefits. Additional effort/ manual tasks to achieve benefits. Minor impact to intended outcomes. Reduced likelihood of attaining primary objectives.	Major impact on ability to realise benefits. Significant additional work required to achieve benefits. Noticeable impact to intended outcomes. Incident/events/ variations greatly reduce attainment of primary objectives.	Critical benefits will not be realised by the project. Significantly reduced probability of attaining primary objectives. Variation and scope changes significantly erode expected benefits.

Risk is defined as “the effect of uncertainty on objectives”. To expand on this, risks can be described as events that, if they happen, could affect you achieving your objectives. Implicitly, this description incorporates three common characteristics regarding risks, in that they:

- are future focused - risks could happen, in the future
- are uncertain - it's uncertain whether risks will happen
- could impact objectives - if risks happen (eventuate), they could affect you achieving your objectives.

Applicants are required to complete a Risk Profile Assessment (RPA) as part of the application process. The benefits include:

- a consistent, structured approach to identifying and managing risk
- supports the achievement of the aims and objectives of the project by managing risks that may otherwise impede success
- encourages an open and transparent culture where risk discussion and awareness are supported
- better decision-making practices that support risk informed choices, prioritise actions and distinguish between alternative courses of action
- encourages an understanding of the risk environment within which the project/ACC operates
- provides assurance to Project Board/ACC that critical risks are being identified and managed effectively.

Risk tolerance and acceptability

This matrix below is used to determine risk rating by combining the consequence and likelihood levels. The assessment is used to determine the severity of the risk and identify those which are unacceptable to the Project Board/ACC and require management attention and further treatment. It also forms the basis of ongoing monitoring.

Likelihood	Consequence				
	<i>Minor</i>	<i>Moderate</i>	<i>Significant</i>	<i>Major</i>	<i>Severe</i>
<i>Almost Certain</i>	Low	Medium	High	Very High	Very High
<i>Likely</i>	Low	Medium	High	Very High	Very High
<i>Possible</i>	Low	Medium	Medium	High	Very High
<i>Unlikely</i>	Low	Low	Medium	Medium	High
<i>Rare</i>	Low	Low	Low	Medium	Medium

Example - Risk profile assessment

Describe the risks associated with changing suppliers, implementing the products and services – i.e. transition from existing arrangements, implementation, and relationships with existing suppliers, internal or external capacity and capability to manage/deliver/change.

Risk	Impact	Severity	Likelihood	Rating	Mitigation strategy
The supplier does not perform in accordance with key performance measures(KPIs)	<ul style="list-style-type: none"> Time delays in meeting business objectives and reaching outcomes Additional cost and effort to manage the performance of the supplier 	Significant	Likely	High	Apply due diligence to check the supplier's capacity to deliver against KPIs and check performance ratios.
The supplier does not deliver the services	<ul style="list-style-type: none"> Unable to perform key business operations / processes No supply of the products/services for a period of time while new supplier is selected. Cost to re-tender and select a supplier Cost of transition to a new supplier 	Major	Rare	Medium	Perform reference checks and financial stability checks.
Services are not provided in accordance with quality standards	<ul style="list-style-type: none"> Client health and safety at high risk Reputational damage Increased liability cost to rectify issues 	Severe	Possible	Very High	Check the supplier's certifications and capability and audit checks of employees.
Products are not delivered on time.	<ul style="list-style-type: none"> Time delays in meeting business objectives and reaching outcomes 	Moderate	Unlikely	Low	Perform reference checks with other customers.

Appendix 5 - Assessment Criteria

Your application will be assessed against the following criteria:

Section	Description
Project Description	
Strategic alignment Significance of problem or opportunity Section 4.2	<p>The proposal aligns with the Workplace Injury Prevention Grants investment priority and give a clear reason why the project is necessary. Improve the quality of customer experience and outcomes and adopts a customer-centric approach for its design and delivery.</p> <p>The proposed initiative is strongly relevant for the New Zealand workplace health and safety system, industry/ sectors, and workers. The application:</p> <ul style="list-style-type: none"> clearly describes the outputs and outcomes the initiative will generate describes how significant the problem/opportunity is to workplaces benefitting from the proposal demonstrates the feasibility of the proposal, cross sector collaboration, justification of the requested grant amount, impact and sustainability of the project. Also, engagement with workers/staff clearly identifies target groups or audiences who will benefit from the initiative being funded, and describes the benefits to New Zealand workers, employers, workplaces, industry/ sectors and/or occupational groups provides sufficient evidence of research or other substantiation supporting the basis for the proposal. <p>The proposed initiative does not significantly duplicate or overlap with on-going or completed projects, programmes, or research programmes. The application demonstrates an innovative approach with appropriate linkages to other work. This includes:</p> <ul style="list-style-type: none"> description of what is innovative about the initiative what new practices, methods, models or frameworks will be generated and indicates how the project provides a unique contribution to health and safety that no other resource can provide.
Objectives Outcome and Benefits Collaboration Reach	<p>The application provides evidence that they can deliver on the proposed initiative and that the objectives (in SMART format) can be achieved in the timeframe and with the requested funding.</p> <p>The application demonstrates the potential benefit to accrue the industry sector (or group)/ supply chain and to other New Zealand sectors or groups:</p> <ul style="list-style-type: none"> providing an outline of the project outcomes, outputs and associated performance measures that demonstrate achievement of project aim and providing an outline of the proposed evaluation and monitoring of the project plan. <p>The application demonstrates support from relevant parties, including those industry sectors affected by the health and safety challenge being addressed, workers being impacted, the regulator or any other relevant party.</p> <p>When relevant the application includes evidence of:</p>

Sections 4.3 – 4.10	<ul style="list-style-type: none"> adequate and appropriate consultation with overarching organisations to facilitate agreement regarding the design and implementation of the project support of stakeholder groups not directly involved in, but affected by the initiative, e.g. employers, workers, trade unions, industry and/or professional associations.
Knowledge Transfer	
Amplification and sharing - Knowledge Transfer (KT) Plan Sections 5.3 – 5.11	<p>The application demonstrates that the results from the initiative can be disseminated through networks, and the project team has the capability to develop and implement a robust Knowledge Transfer (KT) Plan that will lead to expected outcomes.</p> <p>Where relevant, the KT plan includes evidence of:</p> <ul style="list-style-type: none"> the applicants' capability to successfully distribute, commercialise, extend, share or implement the result of the initiative to achieve its outcomes collaboration with other stakeholders in the health and safety system, and how these networks will be fostered monitoring and evaluation processes to ascertain KT Plan success being able to maintain sustainability after the conclusion of funding.
Project Funding/ Milestones and Governance	
Project budget/ milestones/ and funding Ability to deliver and Project Management discipline Sections 6.2 – 7.9	<p>The application provides evidence that the grants, or any financing from other sources, will have adequate financial support to achieve the objectives of the proposal. The application describes:</p> <ul style="list-style-type: none"> how the Injury prevention Grant funding and the applicant co-investment will be used to deliver on the proposal's objectives whole of life costs of the initiative any supporting third funding, and any funding sought unsuccessfully justification for purchasing equipment, including the detail on purchase, lease or rental of equipment and relevance to the proposed initiative <p>The project plan needs to demonstrate a clear link between the project's objectives, deliverables and budget expenditure items, and include defined project milestones, start dates, and completion dates.</p> <p>The application provides evidence of:</p> <ul style="list-style-type: none"> clear goals, critical milestones and realistic timeframes to ensure completion within specified time a comprehensive, reasonable and achievable work plan is appropriate to the size of the initiative. The plan includes stop-go points and an exit strategy a robust risk identification/management. Potential risks (including dependencies) are adequately assessed and relevant mitigation measures identified sound project governance and project management that will provide oversight and direction (e.g. Prince2, Managing Successful Programmes (MSP) methodologies), including financial management and technical skills are applied to the initiative the capacity of the applicant to effectively deliver the project plan.

Appendix 6 - Glossary of Terms

Term	Description
Applicant	The eligible legal entity (or group of entities), which has applied for a workplace injury prevention grant.
Application	Description of the application, developed and submitted to ACC to be considered for workplace injury prevention grant funding.
Application Form	The online application form and declaration prescribed by ACC and used by the applicant to complete and submit their application.
Business Day	Any week day in New Zealand, excluding Saturdays, Sundays, New Zealand (national) public holidays and all days from Boxing Day up to and including the day after New Year's Day.
Confidential Information	<p>Information that:</p> <ul style="list-style-type: none"> • is by its nature confidential; • is marked by either ACC or an applicant as 'confidential', 'commercially sensitive', 'sensitive', 'in confidence', 'top secret', 'secret', 'classified' and/or 'restricted'; • is provided by ACC, an applicant, or a third party in confidence; • ACC or an applicant knows, or ought to know, is confidential. <p>Confidential information does not cover information that is in the public domain through no fault of either ACC or an applicant.</p>
Conflict of Interest	<p>A Conflict of Interest arises if an applicant's personal or business interests or obligations do, could, or be perceived to, conflict with its obligations to ACC under the application for a injury prevention grant. It means that the applicant's independence, objectivity or impartiality can be called into question. A Conflict of Interest may be:</p> <ol style="list-style-type: none"> a. actual: where the conflict currently exists; b. potential: where the conflict is about to happen or could happen, or; c. perceived: where other people may reasonably think that a person is compromised.
Deadline for Applicants	The deadline that Applications are to be submitted by the applicant.
e-RFX	Electronic Request for X (e.g. tender). Acronym for the online tendering system.
Funding Agreement	The written agreement entered by ACC and each successful applicant for the delivery of the project(s).
Grantee	The successful applicant that enters a Funding Agreement with ACC. Also includes Recipient.

GST	The goods and services tax payable in accordance with the New Zealand Goods and Services Tax Act 1985.
Intellectual Property	All intellectual property rights and interests, including copyright, trademarks, designs, patents and other proprietary rights, recognised or protected by law.
Non-Public Service Departments	As defined by the State Services Commission, see https://www.ssc.govt.nz/state_sector_organisations
Point of Contact	ACC and each applicant are required to appoint a Point of Contact. This is the channel to be used for all communications relating to the application and contract management.
Project	A description of a project which the application has been submitted for. This encompasses all activities, steps, tasks or elements for which an applicant is seeking grant funding.
Public Service Departments	As defined by the State Services Commission, see https://www.ssc.govt.nz/state_sector_organisations
Statutory Crown Entities	As defined by the State Services Commission, see https://www.ssc.govt.nz/state_sector_organisations
Sub-Contractor	A firm or person that carries out work for a company as part of a larger project.
Successful Applicant	An applicant whose application is determined by ACC to conditionally receive funding.