



**He Kaupare. He Manaaki.  
He Whakaora.**  
prevention. care. recovery.

# Workplace Injury Prevention Grant Applicant Guidelines

Funding Round – March 2024



## Purpose of this document

The purpose of this document is to support applicants through the application process in the March 2024 funding round of Workplace Injury Prevention Grants.

This document provides:

- an overview of the funding application process
- the Investment Priority for this grant round
- guidance for preparing an application
- the assessment process and criteria
- additional support material on the application process is available on our website. <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/>

## How to contact us for support

If you have any questions about the application guidelines or process, please feel free to contact us by emailing [injurypreventiongrants@acc.co.nz](mailto:injurypreventiongrants@acc.co.nz). E.g. if you need technical assistance with the online application portal, Survey Monkey (SM) Apply.

Note that we will only review applications once the application process has closed. We cannot provide advice on specific applications before the assessment.

Note: These guidelines are subject to potential changes prior to the Online Application Portal Go-Live date of 04 March 2024. Please ensure you review the guidelines prior to submission of your application.

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# Workplace Injury Prevention Grants

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The Workplace Injury Prevention (WIP) Grants is an ACC programme that provides funding (in the form of co-investment) and support to eligible organisations to solve workplace health and safety challenges in New Zealand workplaces.

The vision for grants is to become a catalyst for major health and safety improvements. The grants will connect internal and external ‘agents of change’ to positively impact New Zealanders through developing, sharing, investing in, and implementing solutions for common and relevant workplace health and safety problems.

## How much funding is available

Eligible organisations can apply for \$50,000 to \$500,000 (excluding GST) per year for a maximum of three years (i.e. the maximum funding available to one organisation is \$1,500,000 for a three-year intervention).

## Types of projects we’ll help fund

The WIP Grants are available for the following categories:

### **Innovation**

These projects focus on developing, implementing and evaluating original and practical solutions to specific workplace health and safety challenges, by applying innovation across the health and safety system.

For the purposes of the WIP Grants, innovation is the creation and implementation of new or improved processes, products, services and methods of working which result in improvements in the efficiency, effectiveness or quality of health and safety outcomes.

Therefore, the innovation funding category can be applied to:

- Systems and methods: innovative design, enhancement and/or implementation of systems, methods, services, process or procedures that change and improve the health and safety of defined environments and workplaces.
- Technology/Engineering: innovative design, improvement, build and/or dissemination of a technological, engineering, operational or infrastructure change that enhances health and safety.

### **System Capability Development**

These projects focus on designing, testing, developing, and sharing solutions that build the workplace health and safety capability of New Zealand as a system. This includes the capability of all agents that play a role in workplace health and safety performance and the ability of these parties to work collaboratively and effectively to continuously improve the system’s performance.

Successful applications will clearly and concisely demonstrate how the initiative addresses system gaps, diffuses safer practices, or creates a sustainable mechanism to improve health and safety performance.

## Who can apply

Only organisations can apply, not individuals. Organisations need to be a registered legal entity to apply, for example a business, trust, university, or union. Applicants can also be a collective of organisations.

Organisations that are in the Accredited Employer Programme (AEP) are also eligible to apply for a grant.

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However, your project will be assessed based on the potential benefits created for workers who are covered by the ACC scheme. E.g. health and safety improvement for contractors who work on your worksites.

## Eligibility

Only applications that meet all eligibility criteria will be considered for the Workplace Injury Prevention Grants. The eligibility criteria are:

### Application objective/content

- Clearly aligns with the investment priority for this funding round.
- Demonstrates health and safety leadership and collaboration with other partners in your industry/sector or supply chain.
- Creates benefits contributing to improved health and safety in New Zealand workplaces.
- Is **not** for subsidising a health and safety solution or product for specific businesses. E.g. health and safety systems, equipment or machinery, training or education programmes.

### Applicant organisation

- Is a registered legal entity in New Zealand.
- Operates in New Zealand and will undertake the project in New Zealand.

## Funding

- Is for an amount between \$50,000 and \$500,000 (GST exclusive) per year for a maximum of three years. If successful, the amount of funding we approve will depend on the scope of your intervention and the health and safety benefits your intervention aims to create.
- Will be co-funded by participating organisations. The co-funding amount must be at least 20% of the requested ACC contribution and can either be in cash or in-kind.
- Is not for funding any of the following activities and expenditure:
  - long-term (i.e. more than three years) on-going costs of an organisation, business, community group, or trust
  - long-term on-going costs of a trial or project
  - capital expenditure including heavy machinery, motor vehicles, laptops, etc.
  - 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.

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## Important dates

The key dates for the March 2024 funding round of Workplace Injury Prevention Grants are:

- **4 March 2024:** Registration and submissions open for Expressions of Interest (EOI)
- **4 April 2024:** Submissions for EOI applications close
- **26 April 2024:** Outcomes of EOI and invitation to submit full application sent
- **7 June 2024:** Deadline to submit full application
- **16 August 2024:** Applicants notified of results
- **October 2024:** Recipient announcements

\*These may be subject to change.

# About this funding round

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## Investment Priority

### **2024 Workplace Injury Prevention Grants Investment Priority**

ACC's investment priorities provide the focus and set expectations of the outcomes that we are seeking for a particular funding round.

***Investment Priority: Eliminating or significantly reducing hazards and risk in the workplace through Good Work Design approaches or the adoption of effective technology and/or engineered solutions in the manufacturing sector.***

See [Appendix 1](#)- Investment Priority for the resources on Good Work Design, what we mean by effective technology and/or engineered solutions and other key resources to understand the expectations for the application to align to the priority.

Please note that the previous grant round 4 investment priority also focused on the adoption and implementation of Good Work Design however specifically for addressing psychosocial harm in workplaces. This current 2024 investment priority broadens the use and application of the Good Work Design approach for eliminating and significantly reducing a wider range of hazards and risk in workplaces including physical, biomechanical, and environmental risks, etc.

## The problem

Manufacturing is one of New Zealand's biggest sectors, employing around 200,000 people across 18,000 businesses and 15 sub-industries. It also experiences one of the highest rates of harm and injury, second only to construction in terms of lifetime cost of claims.

Around 27% of total claims in manufacturing are due to sprains and strains, making it the leading cause of injury in the sector. In 2022, these claims resulted in around 240,400 lost work days and estimated lifetime cost to the ACC scheme of \$43 million.

Māori kaimahi (workers) are disproportionately impacted in the harm incidents. Māori make up 16% of the manufacturing workforce and are involved in 15% of injuries, but 22% of estimated lifetime cost.

To date, large investment has already been made in other high-risk priority sectors, and we now want to do the same in manufacturing.

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## Opportunity

### We are presenting an opportunity to collaborate (through co-investment) with organisations that:

- Would like to collaborate in delivering solutions to the problem of high injury rates and acute harm in the manufacturing sector and,
- would like to engage in systems thinking and undertake a Good Work Design process to effectively determine, eliminate or significantly reduce hazards and harm in the workplace likely to increase the risk of injury for workers; and/or
- would like to adopt/implement innovative, tested, evidence-based solutions (i.e. technology, equipment or engineered solutions) that demonstrate how the solution effectively lowers or eliminates a risk factor/s that contribute to injuries in the workplace.

Your business or organisation doesn't need to work in manufacturing, but the initiative needs to show direct benefits for the workers in the sector.

### Applications for this priority must:

- Be focused on innovation and/or system capability development in the manufacturing sector.
- Evidence application of systems thinking:
  - Systems thinking is the basis of the principles of Good Work Design. It aims to understand how the work system (including personnel, management, business elements, technological aspects, the physical environment, and organisational design) interact

with each other to support or weaken safe practice and safety outcomes. [See Appendix 1 – Investment priority for further information.](#)

- For technology and/or engineered solutions proposals:
  - have a clear hypothesis to test.
  - be based on previous research and prototyping.
  - be able to demonstrate health and safety outcomes for technology or innovation proposals within two years of the grant start date.
- Clearly evidence the efficacy of their approach/solution, and assumption of the reach and uptake of their initiative.
- Be ready to co-invest a minimum of 20% of the total grant amount requested from us in a cash and/or in-kind funding model.

## Recommendations for proposals

We encourage applicants to engage in systems thinking, to identify the root cause of injury, and recognise the complex inter-relationship of the many factors that can contribute to an injury.

We anticipate that this approach will support sector collaboration on the development of industry specific profiles for protective factors that will:

- Lift capability within the health and safety system in New Zealand
- Generate innovative solutions that reduce the number of injuries to workers
- Lower the rate of claims from the ACC work account.

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### **We will prioritise proposals that:**

- Have the voice of the worker as central to the proposal.
- Are focused on identifying the root cause of hazards in the workplace i.e. physical, biomechanical, and cognitive characteristics of work.
- Plan to rethink the design of work processes and practices, challenging conventional workplace practice.
- Look to develop sector wide, industry specific guidance on protective factors most likely to mitigate hazards and/or engage in better management of risk factors in the workplace.
- Engage workers in the design and testing of innovative products/solutions that lower injuries from a known hazard or set of risk factors across a sector.
- Demonstrate how their initiatives will aim to improve access, experience, and outcomes for Māori kaimahi and uphold Te Tiriti o Waitangi principles.
- Demonstrate how their initiatives will aim to improve equitable outcomes for workers at higher risk for injury in the manufacturing sector.
- Have a sound rationale/programme logic behind projections for lowering injury rates and claims across the sector. The reduction of workplace injuries and claims is a key performance outcome for the project.

### **Proposals should not:**

- Focus on developing a solution without undertaking Good Work Design practice.
- Pitch training and/or health, safety or wellbeing products that are not part of a broader approach to achieving system level change in the identification and management of the root cause of hazards and risk in the workplace.

### **Outcomes we are seeking**

All applications must evidence each of the outcomes we are seeking from the 'Eliminating or significantly reducing hazards and risks in the workplace through Good Work Design approaches or the adoption of effective technology and/or engineered solutions' investment priority:

1. Show sustained industry collaboration to develop, implement and embed Good Work Design customised solutions which reduce hazards and risks linked to work-related injury in the target sector.
2. Within three years evidence a measurable reduction in the number of work-related injuries and claims from the target sector.
3. Generate data that enables us to monitor outcomes and benefits for up to ten years.
4. Generate system capability development that provides exemplars in the identification, prioritisation, and development of solutions to hazards and risk that are a likely cause of higher injury rates in high risk sectors.
5. Develop industry-wide solutions to eliminate or significantly reduce risk factors that are most likely to contribute to injuries in the workplace for the identified sector.

# How to Apply

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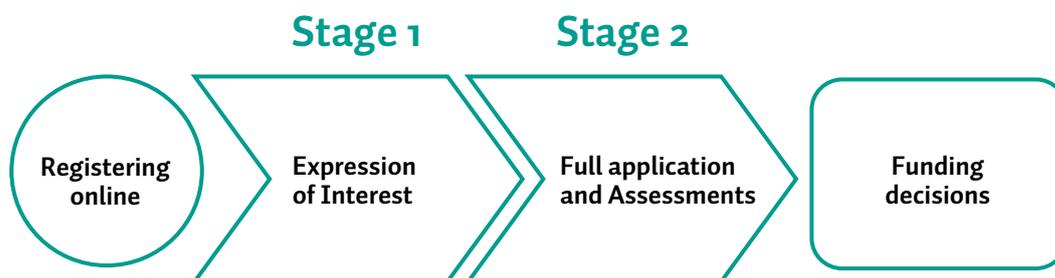
## Application and Assessment Process Overview

The application process for the WIP Grants consists of **two stages – an Expression of Interest (EOI) Stage** and a **Full Application Stage**.

See figure 1.

Information on each of the application stages is presented below and additional support material on the application process is available on the **How to apply for a grant webpage** on our website. <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/>

Figure 1 – Overview of the application and Assessment Process



**Progress at each stage of the application process is conditional on positive outcomes**

## Registering online

Interested applicants need to first register through the online application portal SM Apply. This link will be live on **4 March 2024 (9am NZDT)**

[https://accnz.smaply.io/prog/workplace\\_injury\\_prevention\\_grants/](https://accnz.smaply.io/prog/workplace_injury_prevention_grants/)

Both Expression of Interest and Full application need to be submitted to us through the online application portal “SM Apply” before the close off date and time. Applications cannot be accepted outside of SM Apply and/or after the deadline.

You may choose to use the application form templates to draft the required information in a word processor and then copy and paste the responses into the appropriate fields in SM Apply.

For more information please refer to – **Appendix 2 - Navigating SM Apply.**

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## Stage One: Expression of Interest (EOI)

**The purpose of the EOI** is to determine which proposals meet the eligibility criteria and can potentially fulfil the grant requirements to proceed to the full application stage. The EOI form is shorter and will take less effort to complete, saving ineligible applicants the time and effort of completing the full application. Those qualified will receive the invitation to submit a full application for a grant.

### How to apply EOI – Steps

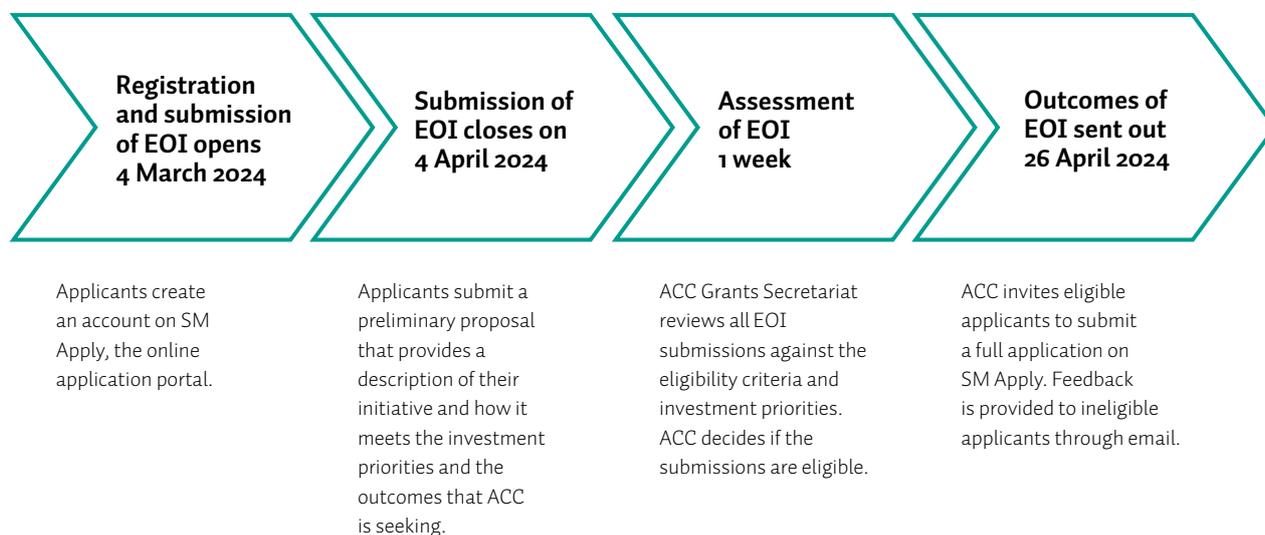
The EOI template will guide you through the online application forms. An asterisk (\*) indicates mandatory questions. You will not be able to submit your application unless you provide an answer. Some sections do not have a word limit as you will be asked to select a choice or complete a table.

Registration and submission of EOI opens **4 March 2024 (9am NZDT)**. Submission of EOI closes on **4 April 2024 (5pm NZDT)**.

All questions relating to the EOI must be made by **27 March 2024 (5pm NZDT)** to [injurypreventiongrants@acc.co.nz](mailto:injurypreventiongrants@acc.co.nz)

*See Appendix 3 - Expression of Interest template*

Figure 2 – Overview of the EOI steps



# How to Apply

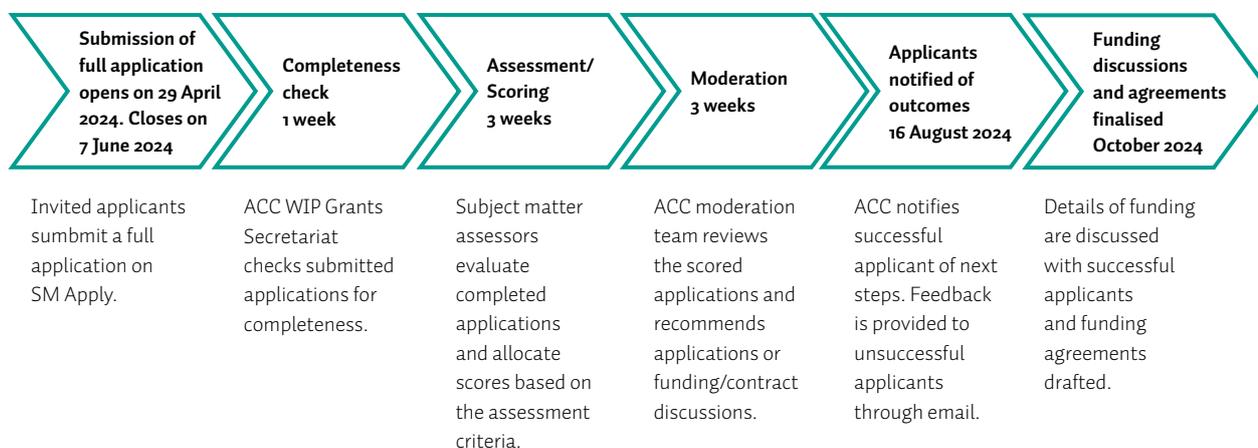
## Stage Two: Full Application and Assessment

### Only invited applicants submit a full application

using SM apply.

For more information, please see [Appendix 2 - Navigating SM Apply](#).

Figure 3 – Overview of Full Application and Assessment steps



### How to apply - Full application – Steps

The Full Application template will guide you through the online application forms. An asterisk (\*) indicates mandatory questions. You will not be able to submit your application unless you provide an answer. Some sections do not have a word limit as you will be asked to select a choice or complete a table.

Submission of full application opens on **29 April 2024 (9am NZDT)**. Full applications close on **7 June 2024 (5pm NZDT)**.

All questions relating to the Full Application must be made by **31 May 2024 (5pm NZDT)** to [injurypreventiongrants@acc.co.nz](mailto:injurypreventiongrants@acc.co.nz)

[See Appendix 4 – Full Application template](#)

**Additional support for the full application**

[See Appendix 7 - Budget and Funding](#)

[See Appendix 8 – Risk Management Framework](#)

### Assessment

Full applications will be subject to an assessment process using the WIP Grants assessment criteria – [See Appendix 9 – Assessment process and criteria](#). We will appoint subject matter assessors to assess and score the information provided in the applications against the criteria.

A moderation team then reviews the scores and comments submitted by assessors, and highlights any issues, risks or areas of opportunities with the applications. The outcome of the moderation is a recommendation on which applications will progress to contract discussions. Consideration is also given to the **Return on Investment (ROI)** <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/#understanding-return-on-investment> of the proposed intervention.

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## Funding decisions

Based on the results of the assessment process, we will make the final decision for applications that are recommended for funding. In evaluating applications, we may also consider any other relevant information that we have in our possession.

The amount of funding will depend on the scope of the proposed intervention and the health and safety benefits it aims to create. Contract discussions will be conducted with successful applicants to help determine the grant amount agreed in the funding contract. We have the sole discretion to determine which projects will receive funding, and may impose additional conditions, prior to funding being approved.

Unsuccessful applicants will be contacted, and feedback provided to clarify why their application was unsuccessful. While we reserve the right to decline any application at our discretion, feedback is provided to help unsuccessful applications reshape or rethink their approach for any future applications. The standard grant conditions and other important information are provided in the funding agreement. A copy of the funding agreement template is available in the Application guidelines and support section on the [ACC website <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/#applicant-guidelines-and-support>](https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/#applicant-guidelines-and-support) including:

- ownership of intellectual property
- confidentiality
- conflict of interest

### Ethics

Applicants are expected to behave and act in an ethical manner. We recommend 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.

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.

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

### Elimination

We may exclude an applicant from participating in the grants if we have evidence of any of the following, and is considered 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 application 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).

# Key considerations before making an application

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## Return on Investment

We are legislatively required to produce a favourable return on all investments (ROI) for injury prevention purposes. Therefore, we focus our investments on activities that will be the most effective in preventing injuries, ensuring value for money for the people who fund the scheme (ie. businesses and workers).

To help us estimate the return on investment, there is key information about your intervention you'll need to provide as part of the full application (for an example, see [Appendix 6 - Measuring for Impact](#)). Your application will need to demonstrate how you will achieve the stated reach and target.

Injury claim profiles of the target sectors are provided in the Measuring for Impact section. Relevant data is also available from the [WorkSafe NZ Data Centre](https://data.worksafe.govt.nz/) <https://data.worksafe.govt.nz/> and [Stats NZ](https://www.stats.govt.nz/) <https://www.stats.govt.nz/>.

Should you need additional ACC data, send an email to [GovernmentServices@acc.co.nz](mailto:GovernmentServices@acc.co.nz) with details of your request.

A video presentation on the [Return on Investment model](https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/#understanding-return-on-investment) <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/how-to-apply-for-a-grant/#understanding-return-on-investment> is also available on the website.

## Intervention Logic

An intervention logic describes the logical relationship (cause and effect) between the proposed solution or intervention and the expected outcomes. You must be able to clearly demonstrate how (logical pathway) the proposed intervention's activities will result into outcomes and benefits for the target sectors and ACC. See [Appendix 5](#) for a template to help you create an intervention logic model for your proposal.

## Knowledge Transfer and Extension

Knowledge Transfer and Extension (KTE) is a key component of the WIP Grants. It is the process of enabling the adoption of knowledge, practices, and/or technology produced by a grant project into multiple workplaces and sectors. We emphasise the need for KTE to assist in achieving outcomes past the end-date of the grant project.

As part of the full application you will need to develop a KTE plan. A KTE plan describes how you will create awareness of the project, share new knowledge and lessons learnt, and influence changes in behaviour and attitudes. Consider that you may need to think about your audience more widely than the initial audience your intervention is designed to reach e.g. how your intervention might eventually reach other sectors, or similar industries. Delivery of the plan should generate positive change among targeted individuals and groups to improve workplace health and safety. This will be evidenced by a reduction in the number and severity of injuries. See [Appendix 5](#) for more information.

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## Monitoring and Evaluation

Monitoring and evaluation will provide insight on how you are progressing towards achieving objectives, outcomes, and benefits so that you can make necessary adjustments in your planned activities. Having clear success measures and key performance indicators (KPIs) will also help you to understand whether the desired behaviour change for your intervention is taking place.

There is an expectation, as part of the Funding Agreement, that grant recipients will generate and provide data that will enable us to monitor outcomes and benefits for up to 10 years from the start date of the contract. See [Appendix 5](#) for more information.

## Sustainability Plan

Sustainability is the continuation of benefits (defined as claims avoided) after ACC funding has ended. Focus should be on sustaining the achievement of outcomes and benefits from the proposed intervention into the future.

Your proposal should clearly outline how you will ensure that benefits from the intervention will be achieved over ten years.

See [Appendix 5](#) for more information.



# Appendices

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## Appendix 1 – Investment Priority

### Good Work Design

Research suggests that a systems thinking approach like ‘Good Work Design’ (GWD) and the principles it uses may be more effective at reducing the likelihood and severity of injury, as it considers a holistic view of a proposed solution that takes into account:

- The equipment, vehicles, infrastructure, and materials workers use
- Physical, mental, emotional and time requirements of work
- Workers’ physical, emotional, and mental capacities and needs

GWD is about both legal compliance AND creating work environments where people have good wellbeing, where they are learning and thriving . The Health and Safety at Work Act 2015 (HSWA) requires a Person Conducting a Business or Undertaking (PCBU) to provide and maintain a work environment that is without risks to health and safety of other persons, so far as is reasonably practicable. Well-designed work can prevent work-related deaths, injuries, and illnesses.

GWD provides the earliest opportunity to identify problems that can be addressed such as hazards and is about optimising human performance, job satisfaction and productivity by creating efficient organisations where people are well supported. GWD is about the (re)design of work (i.e. what we do) and job (i.e. how we do), such as the tools and equipment workers interface with or maintain, the computer software workers use, the learning and development strategies, the communication strategies at work, the schedules and rosters, the work flow, or the social and physical environment in which work occurs.

Organisations can apply GWD principles to create healthy work environments and safe work tasks where risks are eliminated or minimised so far as is reasonably practicable. GWD is applicable at many stages in the supply chain and across operations, products and processes. There are typically many options for improving the design of work, including at start up, maintenance, and downsizing/ closing down of an organisation. Physical, biomechanical, cognitive, and psychosocial requirements of work should be considered in the conceptual design phase, build, manufacture, use, and handling stages of a product/ service cycle to protect the health and safety of workers.

GWD applies ten principles to the good design of work and work processes. Each is general in nature so they can be successfully applied to any workplace, business or industry.

The principles are structured into three sections:

#### Why GWD is important

1. GWD gives the highest level of protection so far as is reasonably practicable.
2. GWD enhances health and wellbeing.
3. GWD enhances business success and productivity.

#### What should be considered in GWD

4. GWD addresses physical, biomechanical, cognitive, and psychosocial characteristics of work, together with the needs and capabilities of the people involved.
5. GWD considers the business needs, content, and work environment.
6. GWD is applied along the supply chain and across the operational lifecycle.

# Appendices

## Appendix 1 – Continued

### How good work is designed

1. Engages decision makers and leaders.
2. Actively involves the people who do the work, including those in the supply chain and networks.
3. Identify hazards, assess and control risks, and seek continuous improvement.
4. Learn from experts, evidence, and experience.

By way of example, GWD can be used to achieve better management of:

- **High-risk tasks:** Reducing the speed of an inappropriately fast process line will not only reduce production errors, it can diminish the likelihood of a musculoskeletal injury.
- **Workstation design:** Creating workstations that are adjustable to suit different workers and their capabilities will increase productivity and reduce the risk of injury.

For more information about GWD you can search on [Safe Work Australia's website](https://www.safeworkaustralia.gov.au/) <https://www.safeworkaustralia.gov.au/> using the term 'Good Work Design' which will bring up the [Principles of Good Work Design Handbook](https://www.safeworkaustralia.gov.au/system/files/documents/1702/good-work-design-handbook.pdf) <https://www.safeworkaustralia.gov.au/system/files/documents/1702/good-work-design-handbook.pdf> and many other helpful related documents.

### Innovative technology, equipment and/or engineered solutions

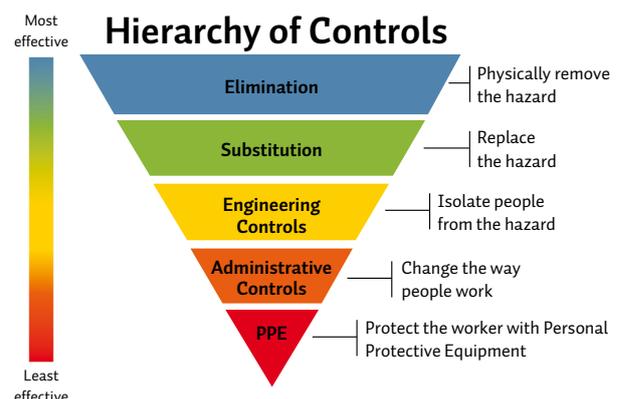
Innovation is the creation and implementation of new or improved processes, products, services and methods of working which result in improvements in the efficiency, effectiveness or quality of health and safety outcomes.

This can include modifying equipment, workspace or changing how the work is done, using protective barriers, ventilation, sensors, artificial intelligence, virtual reality, robotics and more.

The opportunity to reduce risk/harm through technology and engineering is growing faster than traditional health and safety at work approaches. Within the risk control hierarchy, engineering solutions feature higher than individual protection, they combat the risk at the source, impacts all workers and are not solely dependent on workers wanting to use them or behaviour change.

The hierarchy of controls can be used to help work out the most effective control measures (see below). Controls higher up the hierarchy of controls should be adopted instead of relying on administrative controls like policies, procedures, or guidance to ensure higher efficacy.

More information about engineering controls can be found on the [Centres for Disease Control and Prevention's website](https://www.cdc.gov/niosh/topics/hierarchy/default.html) <https://www.cdc.gov/niosh/topics/hierarchy/default.html>, specifically the "Hierarchy of Controls" webpage.



# Appendices

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## Appendix 1 – Continued

### Other Helpful resources

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2018).** <https://www.worksafe.govt.nz/topic-and-industry/health-and-safety-by-design/health-and-safety-by-design-gpg/> Health and safety by design: an introduction. New Zealand Government. These guidelines help you to consider health and safety when designing plant, structures or substances.

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2019).** <https://www.worksafe.govt.nz/managing-health-and-safety/managing-risks/how-to-manage-work-risks/> How to manage work risks. New Zealand Government.

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2018).** <https://www.worksafe.govt.nz/research/worker-engagement-participation-and-representation-lit-review/> Worker engagement, participation and representation literature review. New Zealand Government.

*This analytical review summarises the academic literature on ways of improving worker engagement, participation and representation (WEPR) in New Zealand.*

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2023).** <https://www.worksafe.govt.nz/laws-and-regulations/operational-policy-framework/worksafe-positions/worker-engagement-participation-and-representation/> Worker engagement, participation and representation. New Zealand Government.

*This position sets out expectations on worker engagement, participation, and representation to ensure healthier and safer work. Strong worker engagement, participation and representation leads to healthier and safer work. They are also good for business performance and productivity – because they help inform better decisions. Workers who help shape safer work systems can suggest practical, cost-effective solutions. They are more likely to make them happen in practice.*

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2023).** <https://www.worksafe.govt.nz/laws-and-regulations/operational-policy-framework/worksafe-positions/our-approach-to-musculoskeletal-health/> Our approach to musculoskeletal health. New Zealand Government.

**WorkSafe New Zealand Mahi Haumarū Aotearoa, (2023).** <https://www.worksafe.govt.nz/topic-and-industry/work-related-health/musculoskeletal-disorders/quick-guide-work-related-musculoskeletal-disorders-and-risk-factors/> Quick guide: Work-related musculoskeletal disorders and risk factors. New Zealand Government. See quick guide for more information about the hierarchy of controls and examples of engineered controls.

**Te Whare Wānanga o Awanuiarangi, (2023).** <https://www.wananga.ac.nz/about/research/haumarū-tāngata/> Haumarū Tāngata Māori Health & Safety Framework.

*The Haumarū Tāngata Project is a tikanga Māori inspired approach to ensuring safety and welfare within the workplace, it is a three-year research project undertaken in collaboration with Accident Compensation Corporation (ACC) through the Workplace Injury Prevention grants programme. The Haumarū Tāngata Project has collaboratively designed a culturally responsive Māori-centred framework that can be applied, extended, and integrated into health and safety initiatives in workplaces.*

**ACC New Zealand, (2023).** <https://www.acc.co.nz/for-business/workplace-health-safety/workplace-injury-prevention-grants/#round-four-successful-recipients-> Workplace Injury Prevention Grants.

*Check out our website for more information about our previous ACC Workplace Injury Prevention grant recipients (rounds 1– 4) and the various types of projects we have funded. There are links provided to each of their websites for you to explore.*

# Appendices

## Appendix 2 – Navigating SM Apply - Online Application Portal

Applicants register and apply through the online application portal SM Apply which opens for registration at **9am NZDT, Monday 4 March 2024**. The following link takes you to the [Workplace Injury Prevention Grants application site https://accnz.smapply.io/prog/workplace\\_injury\\_prevention\\_grants/](https://accnz.smapply.io/prog/workplace_injury_prevention_grants/)

### How to register

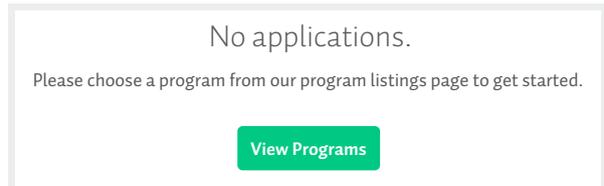
1. Click **Register** 
2. Choose to Register using a **Social Media Account** (Facebook, Google, Twitter)  
**OR**  
Choose to Register to **SurveyMonkey Apply**
3. Selecting a Social Media Account redirects to that platform to complete your registration.  
Selecting to register to SurveyMonkey Apply directs to the SM Apply Registration page.
4. Click Create Account
5. You will be asked to provide the following required information:
  - a. First Name
  - b. Last Name
  - c. Email
  - d. Password/confirm password

The system will send a verification link to the email address provided. Open the email and click the **Confirm email address** box to complete the registration process. Note: you will not be able to complete and submit your application if your email has not been verified. For more information on managing your account, refer to the [FAQ's. https://help.smapply.io/hc/en-us/articles/360032514674-General-Account-FAQ](https://help.smapply.io/hc/en-us/articles/360032514674-General-Account-FAQ)

### Starting your application

Once you have registered/created an account, go back to the application site. Within the site:

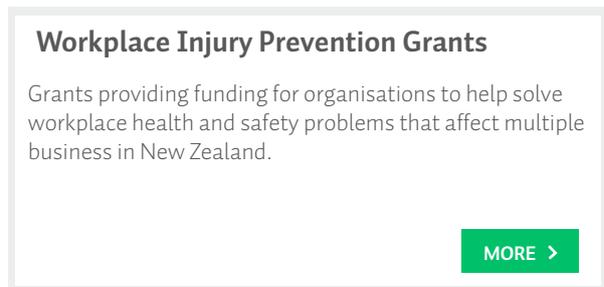
- Click **View Programs**



No applications.  
Please choose a program from our program listings page to get started.

[View Programs](#)

- Click the **More** button under Workplace Injury Prevention Grants

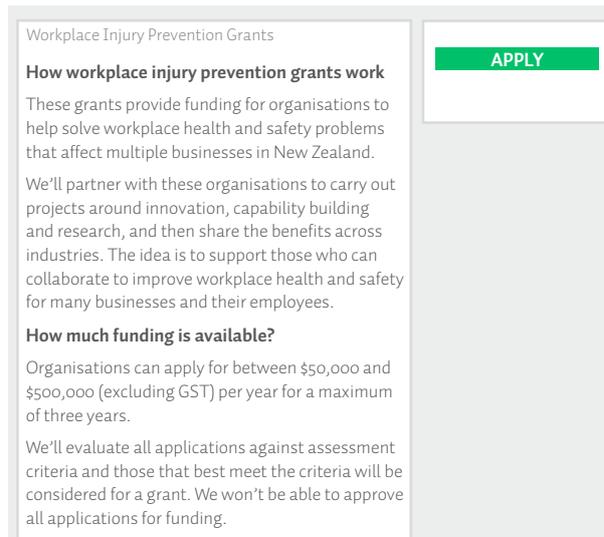


### Workplace Injury Prevention Grants

Grants providing funding for organisations to help solve workplace health and safety problems that affect multiple business in New Zealand.

[MORE >](#)

- You will be able to see additional information and you can begin a new application by clicking the **Apply** button on the right.



Workplace Injury Prevention Grants

**How workplace injury prevention grants work**

These grants provide funding for organisations to help solve workplace health and safety problems that affect multiple businesses in New Zealand.

We'll partner with these organisations to carry out projects around innovation, capability building and research, and then share the benefits across industries. The idea is to support those who can collaborate to improve workplace health and safety for many businesses and their employees.

**How much funding is available?**

Organisations can apply for between \$50,000 and \$500,000 (excluding GST) per year for a maximum of three years.

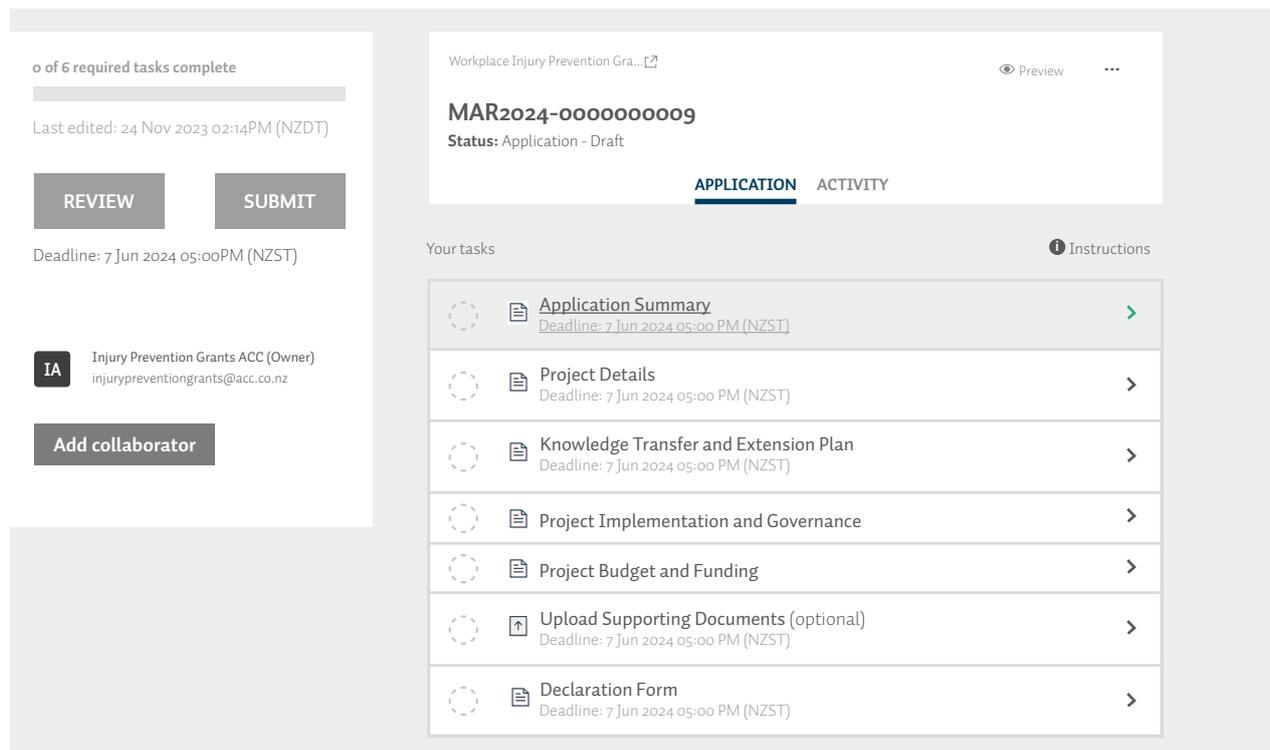
We'll evaluate all applications against assessment criteria and those that best meet the criteria will be considered for a grant. We won't be able to approve all applications for funding.

[APPLY](#)

# Appendices

## Appendix 2 – Continued

### The application system



- The main application page provides an overview of your progress. From here you can also add collaborators, complete and edit individual application tasks, review the application, and submit. Note that you cannot click on the **Submit** button if you have not completed all the required tasks.
- To view the entire application including attachments/uploaded documents, click on **Preview** located at the top right corner of the screen.
- **Your tasks** is a list of the application form sections. Click on the arrow on the right to start that task.
  - The document icon (📄) indicates a form that you need to fill-in
  - The upload icon (📁) requires you to upload a document
- While filling in a section of the application form/completing a task, you can click on **Save & Continue** at the bottom of the screen to save your progress. This allows you to log out of the system and come back to the task later.

SAVE & CONTINUE EDITING

NEXT

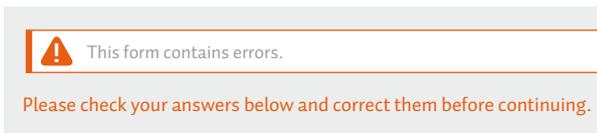
# Appendices

## Appendix 2 – Continued

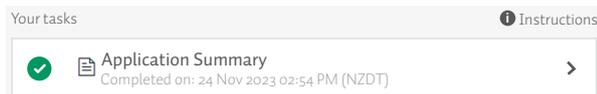
- The **Next** button takes you to the next page of that section/task. Once you have completed all the pages of a particular task, there will be a **Mark as Complete** button at the bottom of the screen.



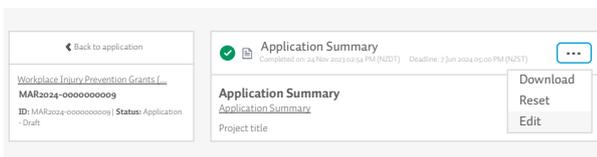
- If any part of the form is incomplete or incorrectly formatted, an error message will appear on your screen. Scroll through the form to find the errors.



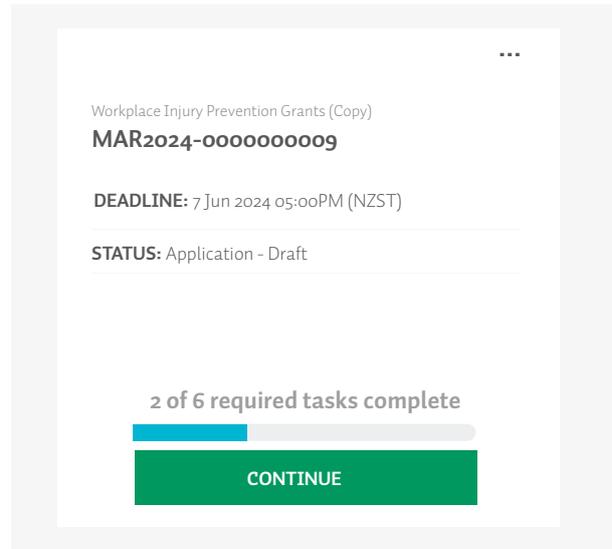
- Once you click the **Mark as Complete** button, a green check mark icon will appear next to the task in the **Your tasks** list.



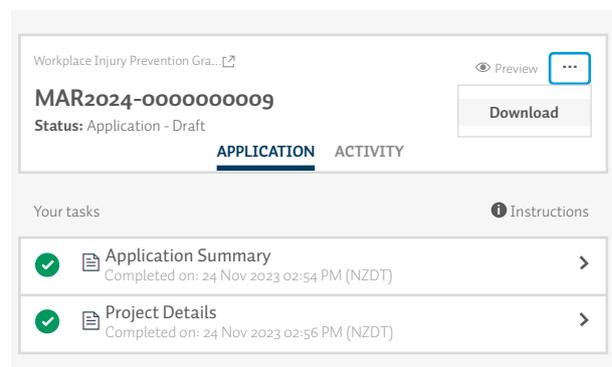
- You can still edit a completed task before submitting. Open the task by clicking on the arrow next to your Application Summary. Click on the three dots to view more options. Click on **Edit**.



- To continue a Saved application after logging back into the system, click the **Continue** button to reopen your application.



- You can also download a copy of your application. From the **My Applications** page, click on the three dots in the top right corner of the application you wish to download and click **Download**. You can also do this from within the application.



# Appendices

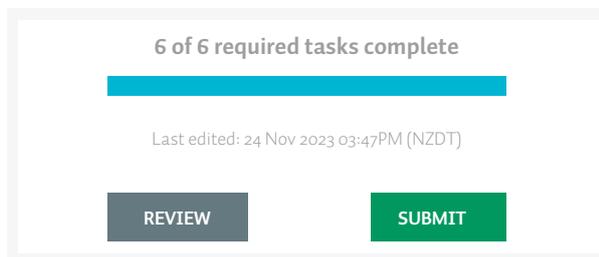
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## Appendix 2 – Continued

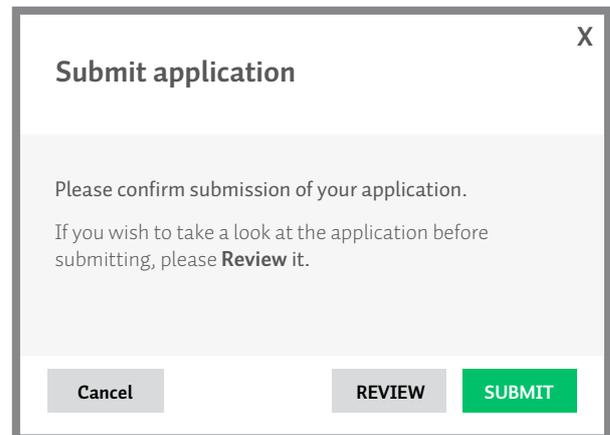
### Submitting your application

Once all tasks are completed, submit your application by:

- Within the application, click on the **Submit** button



- Once you are confident with your application, click on the **Submit** button again.



For more information, you can refer to the SM Apply Frequently Asked Questions (FAQs) here: [Completing an Application FAQ. https://help.smapply.io/hc/en-us/articles/115001445354-Completing-an-Application-FAQ](https://help.smapply.io/hc/en-us/articles/115001445354-Completing-an-Application-FAQ)

# Appendices

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## Appendix 3 – Expression of Interest template

Required Information		Word Limit
<b>Applicant Details and Contact</b>		
<b>*Organisation Name</b>	Enter the name of the legal entity applying for the grant.	-
<b>*Postal address</b>	Address of organisation named above.	-
<b>*New Zealand Business Number (NZBN)</b>	Enter the NZBN of the organisation named above. This is usually a 13-digit number.	-
<b>*ACC Number</b>	Enter the organisation’s ACC number.  You may contact our Business call centre at <b>0800 222 776</b> or send an email to <a href="mailto:business@acc.co.nz">business@acc.co.nz</a> to inquire about your ACC number.	-
<b>GST Number</b>	Enter the applicants GST number.	-
<b>*Māori enterprise</b>	Would you self-identify the business as a Māori enterprise? (Generally, a Māori enterprise will be owned by Māori and may be predominantly staffed by Māori, it will strongly value Māori culture and tikanga.)	-
<b>*Primary contact name</b>	Enter the full name of the primary contact person for the application.  This will be the only person who receives all communication relating to the application.	-
<b>*Email address</b>	Enter the email address of the person named above.	-
<b>*Phone number</b>	Mobile or landline number of the person named above.	-

# Appendices

## Appendix 3 – Continued

Eligibility Gateway	
<b>*Eligibility</b>	<p>Confirm that your application meets <b>all</b> eligibility criteria.</p> <p><i>Application objective/content</i></p> <ul style="list-style-type: none"> <li>• Clearly aligns with the investment priority (<b>including priority sector, i.e. Manufacturing</b>) for this funding round and delivers to the outcomes we are seeking.</li> <li>• Demonstrates health and safety leadership and collaboration with other partners in your industry or supply chain.</li> <li>• Creates benefits contributing to improved health and safety in New Zealand workplaces.</li> <li>• Is <b>not</b> for subsidising a health and safety solution or product for specific businesses. For example, health and safety systems, equipment or machinery, training or education programmes.</li> </ul> <p><i>Applicant organisation</i></p> <ul style="list-style-type: none"> <li>• Is a registered legal entity in New Zealand.</li> <li>• Operates in New Zealand and will undertake the project in New Zealand.</li> </ul> <p><i>Funding</i></p> <ul style="list-style-type: none"> <li>• Is for an amount between \$50,000 and \$500,000 (GST exclusive) per year for a maximum of three years. If successful, the amount of funding we approve will depend on the scope of your intervention and the health and safety benefits your intervention aims to create.</li> <li>• Will be co-funded by participating organisations. The co-funding amount must be at least 20% of the requested ACC contribution and can either be in cash or in-kind.</li> <li>• Is <b>not</b> for funding any of the following activities and expenditure:             <ul style="list-style-type: none"> <li>- long-term (i.e. more than three years) on-going costs of an organisation, business, community group, or trust</li> <li>- long-term on-going costs of a trial or project</li> <li>- capital expenditure including heavy machinery, motor vehicles, laptops, etc.</li> <li>- retrospective costs</li> <li>- local or central government fees or charges</li> <li>- commercial product trials</li> <li>- product commercialisation</li> <li>- Intellectual Property Rights development for private good</li> <li>- international travel</li> <li>- sponsorship</li> <li>- study fees or</li> <li>- costs associated with publishing journal articles or peer review.</li> </ul> </li> </ul>

# Appendices

## Appendix 3 – Continued

Required Information	Word Limit
<b>Executive Summary</b>	
<p><b>*Project summary</b></p>	<p>Think of this as your elevator pitch – keep it concise and take the opportunity to demonstrate why we should invest in the intervention and why the WIP Grants is the right opportunity for the proposal.</p> <p>Briefly describe your proposed intervention, its objectives and more importantly how it will achieve the outcomes and benefits that we are seeking including the sectors you are targeting, the amount of funding and project length.</p>
<p><b>*Investment priority</b></p>	<p>Tell us how your proposed intervention aligns with the investment priority for this funding round and how it addresses the key elements of that priority.</p>
<b>Impact on New Zealand Workplace Health and Safety</b>	
<p><b>*Benefit to NZ workplaces</b></p>	<p>Describe how your intervention will deliver benefits to New Zealand workplaces.</p> <ul style="list-style-type: none"> <li>• How will the outputs achieve outcomes and lead to benefits?</li> <li>• What is the extent of potential benefits? What is the target population ( i.e. size of the problem, sub-sectors etc)? Which industry or sector groups will you be collaborating with to reach the target population?</li> <li>• How will workers be engaged?</li> </ul> <p>Keep in mind that outcomes and benefits must be measurable.</p>
<b>Additional information required from previous applicants</b>	
<p><b>*Previous applicants</b></p>	<p>Confirm if you have previously applied for the WIP Grants.</p> <p>If yes, tell us how this proposal differs from previous applications and how you have addressed comments or feedback provided by us if any.</p>

# Appendices

## Appendix 4 – Full application template

Required Information	Word Limit
<b>Application Summary</b>	
<b>*Project title</b>	Give your intervention/project a short name – use full words, not acronyms or abbreviations. This name will be used in media releases etc., and to refer to the project during its lifetime. 10 words
<b>*Project duration</b>	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. -
<b>*Grant category</b>	Select which category your application fits within. You may only select one option. - <ul style="list-style-type: none"> <li>• Innovation</li> <li>• System capability development</li> </ul>
<b>Project Details</b>	
<b>*Problem/opportunity</b>	Tell us about the workplace health and safety problem or opportunity that your intervention seeks to address. What is its significance and why is the intervention necessary to NZ workplaces and workers? 2000 words <p>Expand on how it addresses the investment priority.</p> <p>Also, confirm that the proposed initiative does not significantly duplicate, overlap with on-going or completed projects, programmes or research programmes.</p> <p>If you're providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).</p>
<b>*Objectives</b>	Describe your intervention's main objectives and how they will be achieved. Objectives should be 'SMART': 400 words <ul style="list-style-type: none"> <li>• Specific – should target a specific area or answer a specific need</li> <li>• Measurable – should be quantifiable</li> <li>• Attainable – should be realistic, based on available resources and constraints</li> <li>• Relevant – aligns with other business objectives to be considered worthwhile</li> <li>• Time-bound – has a deadline or defined end.</li> </ul>

# Appendices

Required Information	Word Limit
<p><b>*Outcomes and Benefits (Intervention Logic)</b></p>	2000 words
<p>Complete an Intervention logic model to describe the outputs, outcomes and benefits that your intervention will create. Explain how the project outputs will achieve outcomes and lead to benefits.</p> <p>An outcome is a change you want to create from the use of project outputs. For example, increased awareness of critical risks. A benefit is a measurable improvement that you want your target audience to gain. For example, a reduction in injuries and near misses.</p> <p>The intervention logic can be attached as a separate document.</p> <p>Also explain:</p> <ul style="list-style-type: none"> <li>• How will the intervention improve the experience, access, and outcomes for Māori kaimahi?</li> <li>• How will the intervention improve equity of access and experience for other kaimahi including Pacific peoples who are at higher risk for injury?</li> </ul>	2000 words
<p><b>*Monitoring and evaluation</b></p>	2000 words
<p>Tell us how you will monitor progress of your objectives and describe how achievement of outcomes and benefits will be measured and evaluated. Identify key performance indicators (KPIs) of success/value for the outcomes and benefits.</p> <p>An independent evaluation of your project is required. This should be done upon completion of the project, to evaluate the project’s performance and achievement of objectives, outcomes and benefits.</p> <p>The funding agreement requires grant recipients to generate and provide data that will enable ACC to monitor outcomes and benefits for up to 10 years from the start date of the contract.</p>	2000 words
<p><b>*Return on investment (ROI)</b></p>	2000 words
<p>Provide information that will help determine the ROI for your proposed intervention. Refer to Measuring for Impact section of the investment priorities for more information.</p> <ol style="list-style-type: none"> <li>1. <i>Target population</i> – Who is the intervention targeting (sector, sub-sectors, groups or business segments)? It is recommended that you provide CU codes to help estimate the size of the industry and projected uptake.</li> <li>2. <i>Uptake</i> – How many individuals in the target population are likely to take action as a result of the intervention?</li> <li>3. <i>Effectiveness</i> – How effective will the intervention be in reducing the rate of injuries? What types of injury will the intervention target?</li> </ol> <p>We use this information along with other assumptions on efficacy of the intervention and Knowledge Transfer and Extension elements to model the benefit (claims avoided) projection of the proposal over 10 years.</p> <p>Describe how you plan to achieve the target reach and uptake of your intervention.</p> <p>If you’re providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).</p>	

# Appendices

Required Information	Word Limit
<b>Knowledge Transfer and Extension Plan</b>	
<b>*Priority audience</b>	<p>Tell us who you are planning to share with and extend the knowledge and outcomes of your proposed intervention. Including:</p> <ul style="list-style-type: none"> <li>• manufacturing sector or industries</li> <li>• leaders/champions</li> <li>• workers or worker representatives/groups.</li> </ul>
<b>*Practice and behaviour change</b>	<p>Describe what change/s in behaviour you want to achieve as a result of your project. What actions would you like the priority groups to adopt within their own organisations?</p>
<b>*KTE activities</b>	<p>Describe the activities you will deliver to engage with your target audience.</p> <p>Explain how you plan to achieve the practice and behaviour change described above, based on your understanding of the priority audience’s behaviour.</p>
<b>*Sustainability</b>	<p>Describe how benefits will continue after ACC funding has ended and what you will do to ensure that benefits from the intervention will be achieved over ten years. <b>Note</b> that there is a requirement for a period of up to seven years following the project end date, where we will periodically request additional information needed to measure the ongoing effectiveness of the project including but not limited to the status of all the outcomes and benefits.</p>
<b>Project Implementation and Governance</b>	
<b>*Collaboration</b>	<p>Describe how you will collaborate with other organisations and agents of change in the health and safety system to achieve the objectives and outcomes of your intervention. What engagement or partnering approach are you using? Do you have existing partnerships that you can leverage?</p> <p>Provide supporting evidence or documents.</p>
<b>*Worker engagement</b>	<p>Tell us how you will consult/engage with workers throughout the project. How will workers’ input feed into your project objectives and plans?</p>
<b>*Project team</b>	<p>Provide names, roles and responsibilities, qualifications/skills and expertise for each of the key personnel involved in delivering your proposed intervention (including any personnel to be provided by sub-contracted parties).</p> <p>You may provide supporting evidence or documents.</p>
<b>*Team capability</b>	<p>Expand on the skills, knowledge and expertise that your team members possess that will ensure delivery of the proposed initiative and its benefits.</p>

# Appendices

Required Information		Word Limit
<b>*Sub-contractors</b>	If you're intending to use the services of sub-contractors, provide names, organisation and role/service they will deliver for the project.	-
<b>*Project management methodology</b>	Describe the project methodology you will implement to successfully deliver the project to the budget and timeframes stated.	1000 words
<b>*Risk management</b>	Describe potential project risks and barriers to success and outline how they will be mitigated. Refer to <a href="#">Appendix 8</a> for the risk management framework.	-
<b>*Governance</b>	Describe the governance structure for the project. We need to have confidence that applicants have a governance structure in place to provide decision making, guidance and advice to the project.	1000 words
<b>Project budget and funding</b>		
<b>*Funding requested</b>	Enter the total funding amount being requested from ACC and amount of co-funding/contribution.	-
<b>*Project budget</b>	Provide details of the project budget for each year of implementation. Refer to <a href="#">Appendix 7 – Budget and Funding</a> for details.  You may attach an Excel spreadsheet of your budget calculations to your application. However, you still need to complete the tables in SM Apply. Failure to do so can mean that the application will not progress further.	-
<b>*Other government funding</b>	Confirm if you have received or applied for any other government funding for the proposed project.  If yes, please identify the amount of government funding, and the source. Note that this amount cannot form part of the required 20% co-investment.	-
<b>Other supporting information</b>		
<b>Upload attachments</b>	Upload any further information or documentation to support or verify any statements made in your application.  The following file formats are accepted: <ul style="list-style-type: none"> <li>• PDF (.pdf)</li> <li>• MS Word (.doc or .docx)</li> <li>• MS Excel (.xls or .xlsx)</li> <li>• PowerPoint (.ppt or .pptx)</li> <li>• Photos or images (.png, .jpg or .jpeg)</li> </ul>	

# Appendices

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Required Information	Word Limit
<b>Declaration</b>	
<b>*Applicant declaration</b>	A declaration is required acknowledging that: <ul style="list-style-type: none"><li>the person submitting the application is authorised to submit the application on behalf of the legal entity</li><li>all the information supplied in the application is true, correct and complete</li><li>the applicant has good workplace health and safety performance and have not been or are currently being investigated or prosecuted by WorkSafe NZ</li><li>the applicant will abide by the privacy confidentiality, confidential information and confidential grants information as detailed in the applicant guidelines</li><li>your ACC levy payments are not in arrears.</li></ul>
-	

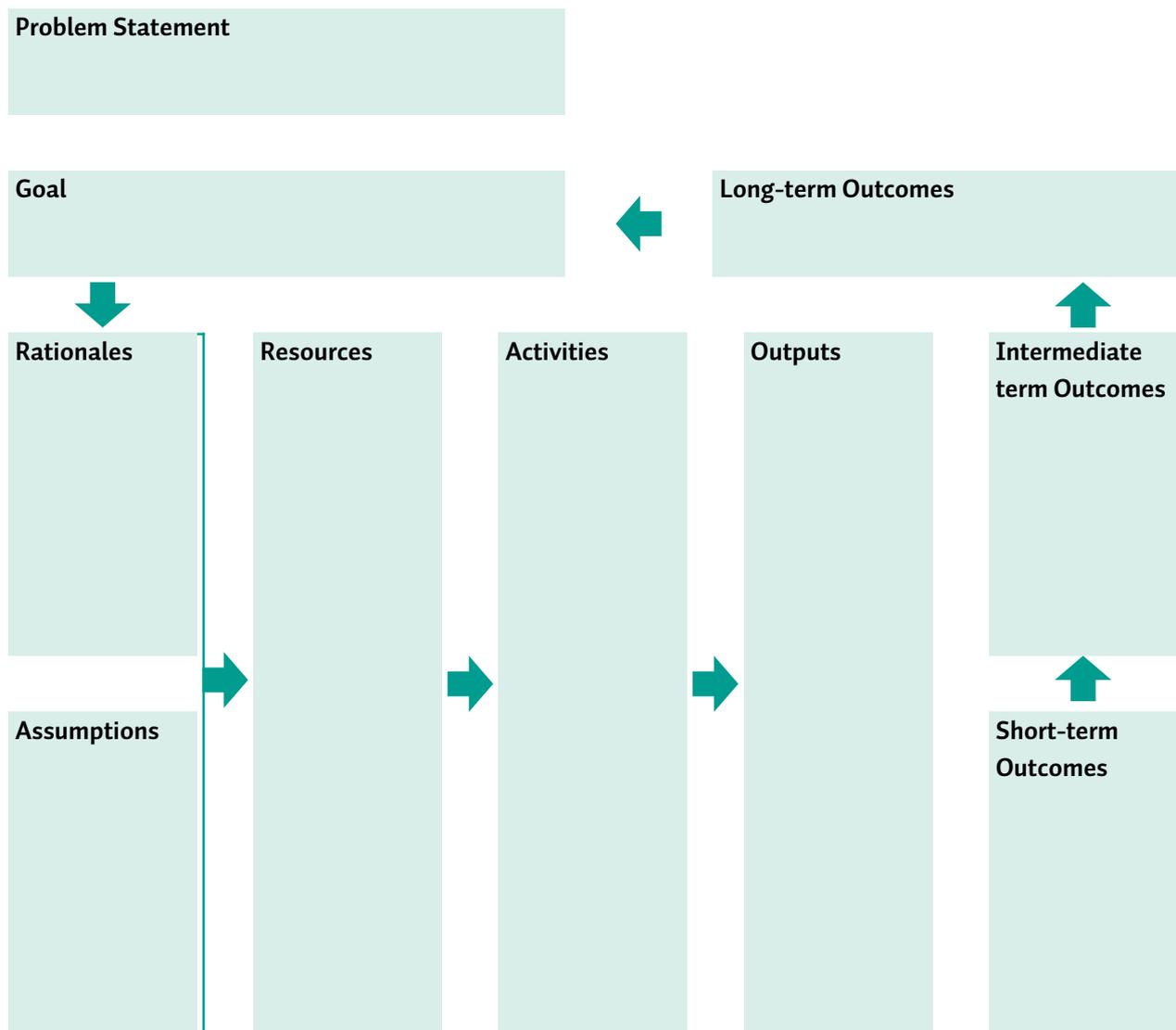
# Appendices

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## Appendix 5 – Key considerations resources

### Intervention Logic

Intervention Logic Model template – (Innovation Network, 2014)



Depicted from Innovation Network (2014). *Do -It-Yourself Logic Models. Examples, Templates and Checklists.*  
<https://www.innonet.org/news-insights/resources/do-it-yourself-logic-models-examples-templates-and-checklists/> .

# Appendices

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## Knowledge Transfer and Extension Plan

The following provides a set of guidelines for the development of a Knowledge Transfer and Extension (KTE) Plan.

KTE is the process of enabling the adoption of knowledge, practices, and/or technology produced by your project into multiple workplaces and sectors.

A KTE plan describes how you will create awareness of the project, share new knowledge and lessons learnt, and influence changes in behaviour and attitudes. Delivery of the plan should generate positive change among targeted individuals and groups to improve workplace health and safety. This will be evidenced by a reduction in the number and severity of injuries.

### Developing a KTE Plan

An effective KTE plan requires a clear understanding of the problem you hope to address, the solutions you want to implement, and the environment into which you expect these solutions to be applied.

It answers the questions of what, why, how, where, when the work is to be done in order to bring about change.

### Who/Where? – Priority groups

Identify the priority audience for your knowledge transfer and extension activities. A well-defined audience will make it easier to address their specific need and the greater the chance for adoption of the solution. When identifying the groups, consider the following:

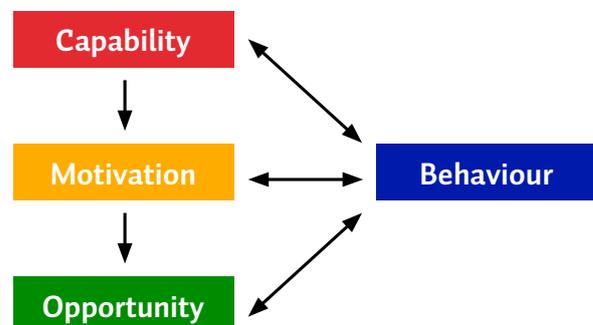
1. Who is likely to act on or take up the knowledge or technology? Determine their readiness, capacity and appetite for adoption.
2. Who are the likely leaders or champions that will be involved? Think about credible advocates that can influence your target groups. How can you tap into their support?

## What/Why? – Practice and behaviour change

We apply models of behaviour change as the basis for investing in injury prevention initiatives. This helps to identify the behavioural factors and biases affecting people's choices. Behaviour change theories or models can help you understand the factors that could influence your target audience's attitudes.

For example, the Behavioural Change Wheel and COM-B model can be used to design behaviour change interventions. The Behavioural Change Wheel provides a systematic way of identifying relevant interventions based on what is understood about the target behaviour. The COM-B model (Capability, Opportunity, Motivation and Behaviour) forms the central part of the Behaviour Change Wheel.

Figure 1 Depicted from *The COM-B system - a framework for understanding behaviour* - Michie et al (2011).



People need an interaction of capability (C), opportunity (O) and motivation (M) to perform a behaviour (B). The Com-B model proposes that for someone to engage in a particular behaviour (B) they must be psychologically and physically able (C) and have the physical and social opportunity (O) to do the behaviour. In addition, they want or need to do the behaviour more than any other competing behaviours at that moment. Motivation (M) covers basic human drivers such as habit and impulses as well as reflective processes such as intention and choice. New behaviour or behaviour change requires a change in one or more of these.

# Appendices

## Appendix 5 – Continued

Consider what change/s you hope to achieve as a result of your project. What actions would you like the target groups to adopt within their own organisations? Demonstrate how you plan to achieve the change based on your understanding of the target audience’s behaviour.

### How/When? - Activities

The choice of activities for KTE will depend on your target groups and what you want to achieve. A well-designed mix of activities and methods are likely to have greater impact. Some activities achieve greater collaboration while some are intended to reach more people. Figure 2 below shows a knowledge transfer spectrum that highlights the level of outreach and level of interaction for different types of activities. The arrows point toward higher levels.

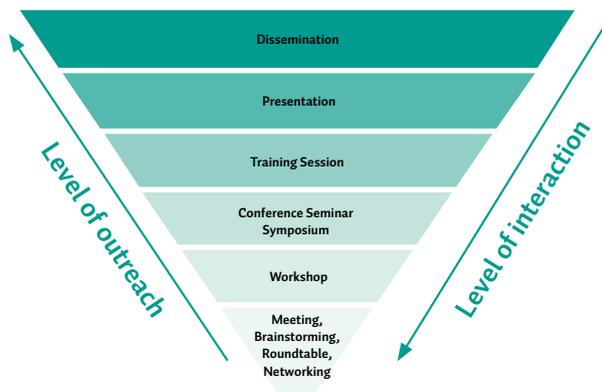


Figure 2 Depicted from Knowledge Transfer Spectrum (Imagine Canada, 2007)

Dissemination refers to one-way transfer of knowledge with the expectation that the knowledge will be used conceptually (to gain insight or new perspective) or instrumentally (to change practice) (Owens, 2001). Dissemination activities can reach a wide audience depending on the means of delivery (website, emails, text messages) but dialogue or discussion is limited.

At the opposite end of the spectrum are a group of activities that are designed to facilitate the exchange of knowledge and ideas among groups of individuals, with an opportunity to go beyond knowledge transfer. These activities provide a platform for collaboration and generating new ideas or solutions, but the number of participants is usually small.

Always keep in mind that the fundamental purpose of KTE activities is to ensure the achievement of workplace health and safety benefits through continuous adoption of the technology/practice produced by your project. It is also important to understand the level of attrition as you implement the different activities and be able to manage the effects. This entails assessing whether your chosen activities are achieving your objectives and modifying them as needed. Figure 3 shows how attrition occurs throughout the course of an intervention and lists the assumptions for achieving the desired change (International Initiative for Impact Evaluation, 2013)

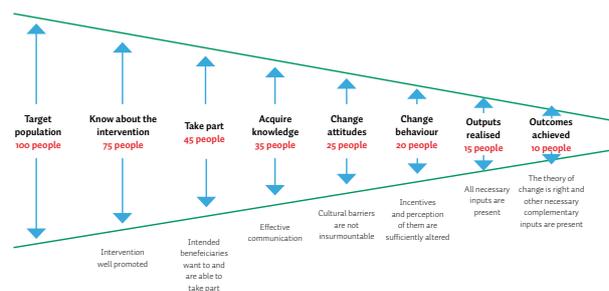


Figure 3 Depicted from The funnel of attrition (International Initiative for Impact Evaluation, 2013)

# Appendices

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## Appendix 5 – Continued

### Monitoring and Evaluation

Monitoring and evaluation will provide insight on how you're progressing towards achieving objectives, outcomes and benefits so that you can make necessary adjustments in your planned activities. Having clear success measures and key performance indicators (KPIs) will also help you to understand whether the desired behaviour change for your intervention is taking place.

Monitoring is the systematic collection of data on specified indicators to show the extent of progress and achievement of objectives. Evaluation is defined as the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results (OECD, 2002).

#### Definition of some M&E Terms

**Benchmark** – Reference point or standard against which performance or achievements can be assessed.

**Indicators** – Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention.

**Inputs** – The financial, human, and material resources used for the intervention.

**Activity** – Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

**Outputs** – The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

**Outcomes** – The likely or achieved short-term and medium-term effects of an intervention's outputs.

You need to provide success measures (indicators), the data that will be collected against them, and when/how the data will be collected. Specify the sources of data. To establish a benchmark, ensure you collect baseline data at the beginning to compare against your project results.

Both primary and secondary data can be used as sources for indicators. Primary data is data that you collect directly (e.g. through surveys, interviews, and direct observation). Secondary data is data collected by other organisations.

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## Appendix 5 – Continued

### Sustainability

Sustainability is the continuation of benefits (defined as claims saved) after ACC funding has ended. Focus should be on sustaining the achievement of outcomes and benefits from the proposed intervention into the future. Sustaining benefit flows after ACC funding is completed assumes that the stakeholders will provide an appropriate level of financial, technical, and managerial resources to maintain the intervention.

Some options for financial sustainability include co-funding, user-pays, and product commercialisation. Co-funding can either be cash or in-kind and can come from industry/sector groups. This is a sign of commitment and demonstrates that stakeholders place value on the expected benefits.

If your project outputs include a product such as equipment, technology or a service, consider user-pays or commercialisation. If people are willing to pay for a good or service, it means that they value its purpose. This approach can also help generate funds that can be used to maintain, develop or continue the product or service. Again, this is to ensure continuation of the benefits gained, rather than income generation.

### Additional Resources

Department of the Prime Minister and Cabinet (last update 16 October 2018). '**Behaviour Change Models**'. <https://www.dpmc.govt.nz/our-programmes/policy-project/policy-methods-toolbox/behavioural-insights/behavioural-change-models>

IDEO.org. '**Human-Centred Design Toolkit**'. <https://www.designkit.org/methods.html>

Ministry for Primary Industries (2015). '**Over the Fence: Designing extension programmes to bring about practice change**'. <https://www.mpi.govt.nz/dmsdocument/9920/direct>

Social Policy Evaluation and Research Unit (2017). '**Making sense of evaluation: A handbook for everyone**'. <https://thehub.swa.govt.nz/resources/making-sense-of-evaluation-a-handbook-for-everyone/>

# Appendices

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## Appendix 6 - Measuring for Impact

Organisations in the manufacturing sector with an interest in the implementation of Good Work Design or adoption of effective technology and/or engineered solutions to reduce injury risk and harm in workplaces priority for Grant Round 5 will need to demonstrate how the proposal or intervention will provide a return on investment (ROI) from the ACC work levies.

Our return on investment model makes assumptions around the number of claims that will be avoided if the intervention realises its projected benefits.

These assumptions are made based on:

- the target audience
- the projected reach of a project i.e. how many workers within business be changed by the intervention
- the efficacy of the intervention using known rates of efficacy for different types of interventions.

In simple terms, we expect a \$2 return on every dollar invested in a project. This meets our legislative requirement to invest in injury prevention initiatives resulting in returns back to the ACC scheme that enable sustainability and a mandate of injury prevention.

You'll be required to understand the overall claims profile for your sector/s, be able to estimate the size of your sector and project the reach of your project into that sector. You will also be required to identify the relevant injury claim categories most likely to evidence claim savings if your project is successful. Applicants invited to submit full proposals will be offered support to understand the return on investment model for the grants programme, and how it will be used in the evaluation of their proposals.

### **Example: Machinery and Equipment Manufacturing**

Key inputs applicant provides to support us to determine the ROI on their grant proposal:

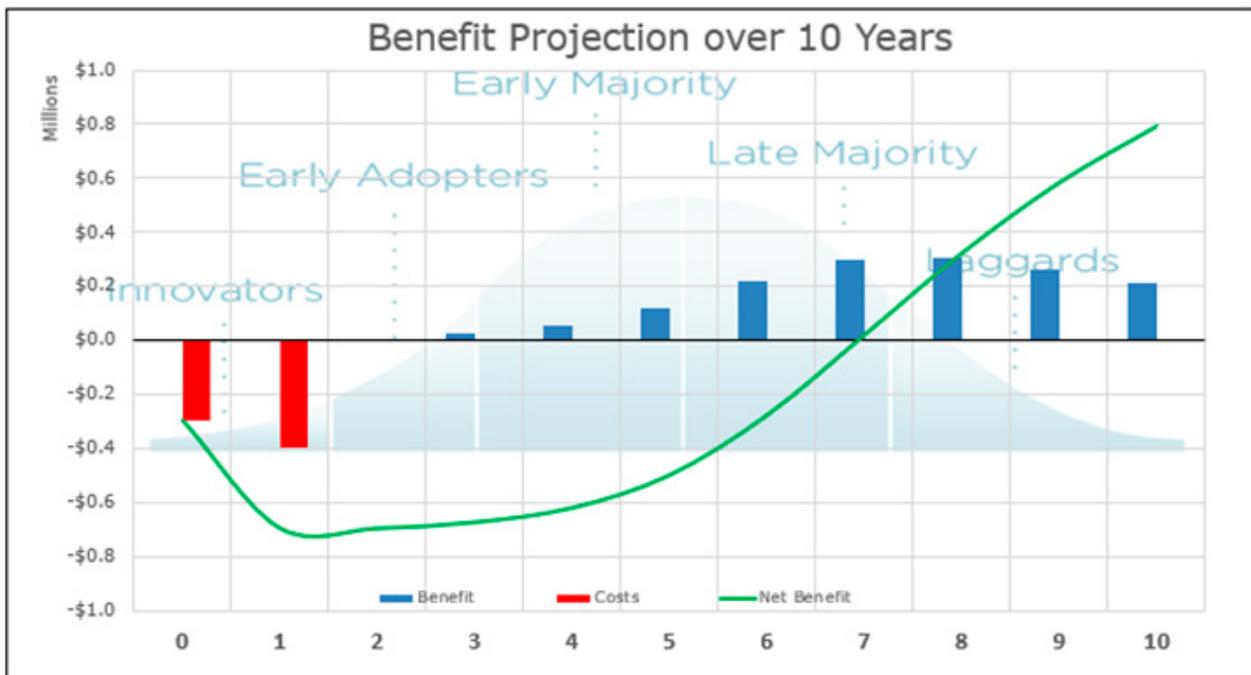
- **CU codes the proposal will touch** – Classification units can be found in the ACC Levy Guide Book Machinery and Equipment Manufacturing CU Codes = 28610; 28620; 28630; 28640; 28650; 28690, 28660, 28670, 28680, 28690
- **Size of Machinery and Equipment Manufacturing Industry** – FTE estimate = 36.7K
- **Size of projected uptake of initiative within sector** – FTE estimate = 7,340

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## Appendix 6 – Continued

We use this information along with other assumptions on efficacy of the intervention and Knowledge Transfer elements of a proposal to model the benefit projection of the proposal over 10 years:



# Appendices

## Appendix 6 – Continued

To support applicants to prepare an initial expression of interest, we have provided a snapshot below of sector specific injury claims profiles and a subset of specific categories from the ACC work account likely to be positively influenced by workplace injury prevention interventions:

### Manufacturing

#### Wood and Paper Product Manufacturing

Overall claims profile: \$17.2M Life-Time Cost Estimate (LTC)

Estimated FTE: 23.2K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$4.1M LTC
- Hitting or being hit by objects \$4.2M LTC
- Body stress \$6.2M LTC

#### Food, Beverage, and Tobacco Manufacturing

Overall claims profile: \$56.6M Life-Time Cost

Estimated FTE: 43.3K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$10.1M LTC
- Hitting or being hit by objects \$9.8M LTC
- Body stress \$18.3M LTC
- Vehicle incidents \$1.5M LTC

### Non-Metallic Mineral Product Manufacturing

Overall claims profile: \$5.8M Life-Time Cost Estimate (LTC)

Estimated FTE: 6.4K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$1.8M LTC
- Hitting or being hit by objects \$1.2M LTC
- Body stress \$1.9M LTC

### Metal Product Manufacturing

Overall claims profile: \$27.1M Life-Time Cost Estimate (LTC)

Estimated FTE: 30.6K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$6.2M LTC
- Hitting or being hit by objects \$5.3M LTC
- Body stress \$10.0M LTC
- Mechanical Failure \$1.0M LTC

# Appendices

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## Appendix 6 – Continued

### **Petroleum, Coal, Chemical & Associated Product Manufacturing**

Overall claims profile: \$11.2M Life-Time Cost Estimate (LTC)

Estimated FTE: 9.5K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$2.9M LTC
- Hitting or being hit by objects \$1.8M LTC
- Body stress \$4.9M LTC

### **Textile, Clothing, Footwear & Leather Manufacturing**

Overall claims profile: \$4.0M Life-Time Cost Estimate (LTC)

Estimated FTE: 6.6K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$0.6M LTC
- Hitting or being hit by objects \$0.9M LTC
- Body stress \$1.9M LTC

### **Machinery and Equipment Manufacturing**

Overall claims profile: \$17.6M Life-Time Cost Estimate (LTC)

Estimated FTE: 36.7K

Sub-categories likely to be positively impacted by workplace injury prevention interventions:

- Falls, trips and slips \$4.6M LTC
- Hitting or being hit by objects \$3.4M LTC
- Body stress \$6.1M LTC

#### **Notes:**

- *Claims profile figures exclude Accredited Employers*
- *Subcategories identified are indicative not exhaustive. ACC anticipates identification of injury claims categories will be expanded following scoping of the proposed initiative and engagement with key stakeholders. ACC can also offer support to applicants successful in the Expression of Interest phase to build a better understanding of their sector claims profile.*

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## Appendix 7 – Budget and Funding

Before you start preparing the budget for your project, you should note that we **do not** provide grants funding for the following activities and expenditure:

- long-term (i.e. longer than the three-year project term) on-going costs of an organisation, business, community group, or trust
- long-term on-going costs of a trial or project
- capital expenditure including heavy machinery, motor vehicles, laptops, etc.
- 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.

### Co-funding

As part of the eligibility criteria, a co-funding amount of at least 20% of the requested ACC amount is required. The co-funding can come from the applicant organisation and other project stakeholders. Co-funding can be in cash or in-kind and should be spread over the duration of the project.

In-kind contributions are materials, equipment, services, or personnel that contribute to project implementation. No money will change hands, but costs still have a financial value. You need to provide an estimate of the dollar/cash value of 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, giving up time to deliver a project workshop. This does not include undertaking activities that form part of their normal day-to-day duties.

Co-funding commitments do not need to be confirmed at the time your application is submitted but written confirmation is required before a Funding Agreement can be signed.

### Budget development

You will need to provide a budget for each year of implementation by completing the tables in SM Apply. You may attach a detailed breakdown of your project budget as part of the supporting documents of your application.

# Appendices

## SM Apply table example

### Year 1

Activities <i>(examples only)</i>	Cost type <i>(examples only)</i>	ACC Amount	Non-ACC amount (cash)	Non-ACC in-kind	Total
Stakeholder workshop	Travel				
	Accommodation				
	Personnel				
Market research	Travel				
	Personnel				
KTE Plan development	Personnel				
Project evaluation	Travel				
	Sub-contractors				

Below is a guide on costing some items.

- Accommodation – budget for and book standard (as opposed to deluxe or superior) 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](https://www.ird.govt.nz/income-tax/income-tax-for-businesses-and-organisations/types-of-business-expenses/claiming-vehicle-expenses/kilometre-rates-2022-2023).
  - 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, we do not fund international travel.
- Overhead costs – only include overhead costs expected to be incurred during the project. Those existing prior to the project starting are not eligible.
- Project support costs – these should be valued at the lower actual cost or market value (e.g. cost of hire, workshop costs and catering)
- Personnel costs – these 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. Use the following rates to estimate in-kind personnel contributions:
  - 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.

# Appendices

## Appendix 8 - Risk Management Framework

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

**Project Consequence Assessment Matrix**

	<b>Minor</b>	<b>Moderate</b>	<b>Significant</b>	<b>Major</b>	<b>Severe</b>
<b>Time</b>	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.
<b>Cost</b>	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.
<b>Quality</b>	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.

# Appendices

## Appendix 8 – Continued

<p><b>Scope Activities Output</b></p>	<p>No impact on project deliverables. All intended outcomes are achievable.</p>	<p>Minor impact on deliverables, and ‘nice to have’ functionality No impact to intended outcomes some workarounds in place. Some adverse public reaction or cultural impact.</p>	<p>Moderate impact to deliverables - ‘could have’ functionality not delivered. Reputation damage or moderate cultural impact Loss of business efficiency</p>	<p>Major impact to deliverables with 1-2 ‘must have’ features not delivered. Require significant work rounds. Significant loss of business efficiency Numerous and/or major hazards are identified</p>	<p>Severe impact to project deliverables, more than 2 ‘must have’ not delivered. Product/ service not delivered key intended outcomes for the business. Sustained and significant loss of business efficiency</p>
<p><b>Resources</b></p>	<p>Insignificant impact to resourcing, manageable within the overall baseline for project delivery.</p>	<p>Minor impact to approved project resourcing requiring additional resource and increase in overall effort.</p>	<p>Moderate impact to approved project resourcing requiring additional short-term resource and increase in overall effort. Insufficient adequately skilled dedicated project resources</p>	<p>Major impact to approved project resourcing requiring multiple additional resources with increase of effort Insufficient adequately skilled dedicated project resources</p>	<p>Severe impact to approved project resources requiring significantly more resources for an extended period of time to achieve the agreed project outcomes.</p>
<p><b>Benefits and Outcomes</b></p>	<p>No impact in overall ability to realise planned benefits. Additional effort or workarounds required to achieve the intended benefits.</p>	<p>Minor impact in ability to realise planned benefits. Some of the less fundamental benefits may not be fully realised.</p>	<p>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.</p>	<p>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.</p>	<p>Critical benefits will not be realised by the project. Significantly reduced probability of attaining primary objectives. Variation and scope changes significantly erode expected benefits.</p>

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## Appendix 8 – Continued

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.

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## Appendix 8 – Continued

### 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 and require management attention and further treatment. It also forms the basis of ongoing monitoring.

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

# Appendices

## Appendix 8 – Continued

### Example – Risk profile assessment

Describe the risks associated with the project; 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 indicators (KPIs)	<ul style="list-style-type: none"> <li>Time delays in meeting business objectives and reaching outcomes</li> <li>Additional cost and effort to manage the performance of the supplier</li> </ul>	Significant	Likely	<b>High</b>	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"> <li>Unable to perform key business operations / processes</li> <li>No supply of the products/services for a period of time while new supplier is selected.</li> <li>Cost to re-tender and select a supplier</li> <li>Cost of transition to a new supplier</li> </ul>	Major	Rare	<b>Medium</b>	Perform reference checks and financial stability checks.
Services are not provided in accordance with quality standards	<ul style="list-style-type: none"> <li>Client health and safety at high risk</li> <li>Reputational damage</li> <li>Increased liability cost to rectify issues</li> </ul>	Severe	Possible	<b>Very High</b>	Check the supplier’s certifications and capability and audit checks of employees.
Products are not delivered on time.	<ul style="list-style-type: none"> <li>Time delays in meeting business objectives and reaching outcomes</li> </ul>	Moderate	Unlikely	<b>Low</b>	Perform reference checks with other customers.

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## Appendix 9 – Assessment Process and Criteria

### Assessment Process

There are three stages in the assessment process. All grant applications and assessments of the applications will use ‘SM Apply’, the online portal.

Each application is assessed based on the information provided in the online application.

The final decisions are based on:

- review of the Expression of Interest submitted in the pre-application stage and a check of the eligibility criteria
- check for completeness of the full application
- Assessor-moderated scores against the assessment criteria

In evaluating applications, the Secretariat and Assessors may consider any of the following additional information:

- matters of trust and confidence; and
- ACC’s Return on Investment.

We have the sole discretion to determine which projects will receive funding, and may impose additional conditions, prior to funding being approved.

All Workplace Safety team members involved in the grant round 5 process and Assessors will complete a Conflict of Interest process

### Stage One: Expression of Interest Assessment

From the date that submission of Expressions of Interest close, the Secretariat will have **one week** to review all EOIs submitted to ensure:

- the application meets all eligibility criteria\*
- the application clearly aligns with the Investment Priority
- the application addresses (or has the potential to deliver) the outcomes that we are seeking.

Applications for this stage will be assessed on a standard pass/fail grade against the mandatory questions. Applications that don’t sufficiently meet these requirements will not progress.

### Stage Two: Full application completeness check

From the date that full applications close, the Secretariat will have **one week** to review the submitted applications to ensure:

- completeness of an application; and
- to add comments if required.

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## Appendix 9 – Continued

### **Stage Three: Subject Matter Expert Assessment**

Assessors have **three weeks** to complete assessments and enter scores along with comments into SM Apply, using the grant assessment criteria and scoring matrix.

Each application will be assigned to two Assessors to carry out the assessment. There will be an opportunity for Assessors to discuss assessments, with any calibration of scores required.

Where there is a variance of score greater than two, the Secretariat will ask the Assessors to discuss their individual scores for the relevant section with the aim of reaching a consensus in the overall assessment. There will also be the opportunity for Assessors to clarify or add additional comments to their assessments.

**Note:** when an Assessor scores an application as non-conforming a discussion with the other Assessor assigned to that section of the application should occur to ensure consistency. When both Assessors confirm the score is non-conforming both Assessors should cease assessing the application.

# Appendices

## Appendix 9 – Continued

### Assessment Criteria and Weighting

Your application will be assessed against the criteria in the table below and shows the section weighting allocated against each of the assessment criteria. The weightings have a total score of 100%.

Section	Description
<b>Project Details - Section weighting: 55% of total project weighting</b>	
<b>Strategic alignment</b> <b>Significance of problem or opportunity</b> <i>(40% of section weighting)</i>	<ul style="list-style-type: none"> <li>The proposal aligns with the Workplace Injury Prevention Grant investment priority and gives a clear reason why the project is necessary.</li> <li>The proposed initiative is strongly relevant for the New Zealand workplace health and safety system, industry/ sectors, and workers in reducing injuries and harm.</li> <li>The application describes how significant the problem/opportunity is to workplaces benefitting from the proposal.</li> <li>The proposed initiative does not significantly duplicate or overlap with on-going or completed projects, programmes, or research programmes.</li> </ul>
<b>Objectives/ Outcomes and Benefits</b> <i>Return on Investment (ROI)</i> <i>(60% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application provides a clear and logical connection/path between the intervention's outputs and the stated outcomes and benefits (intervention logic model).</li> <li>The application describes how it aims to improve the experience, access, and outcomes for Māori kaimahi and upholds Te Tiriti o Waitangi.</li> <li>The application also describes how it aims to improve equity of access, experience and outcomes for other kaimahi including Pacific peoples who are at higher risk for injury.</li> <li>The application gives confidence that the objectives (in SMART format) will be achieved.</li> <li>The application provides a sound monitoring and evaluation approach with KPIs that are suitable to the intervention.</li> <li>The application gives confidence that the ROI will be achieved.</li> </ul>

# Appendices

## Appendix 9 – Continued

Section	Description
<b>Knowledge Transfer and Sustainability – Section weighting: 20% of total project weighting</b>	
<b>Knowledge Transfer and Extension (KTE) and Sustainability Plans</b> <i>(100% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application provides confidence that the knowledge and learnings from the project will be disseminated through the industry/sectors.</li> <li>The application provides evidence of sound KTE and Sustainability plans that would ensure continuation of benefits after ACC funding has concluded.</li> </ul>
<b>Project Budget and Funding – Section weighting: 10% of total project weighting</b>	
<b>Project budget and funding</b> <i>(100% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application provides evidence that the grant, and any financing from other sources, will achieve the project’s initiatives/activities including the 20% co-investment contribution.</li> </ul>
<b>Project Implementation and Governance – Section weighting: 15% of total project weighting</b>	
<b>Project Planning, Collaboration and Risk Management</b> <i>(60% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application demonstrates strong collaboration and engagement with stakeholders/workers in the health and safety system.</li> <li>The application identifies potential project risks and barriers to success and outlines their mitigation.</li> </ul>
<b>Ability to deliver and Project implementation and Governance</b> <i>(40% of section weighting)</i>	<ul style="list-style-type: none"> <li>The proposed team has the mix of complementary skills, knowledge and resources to deliver the proposed intervention(s) within time and budget.</li> <li>The proposed project management and governance groups provide confidence to ACC that the decisions will ensure the outcomes and benefits are achieved.</li> </ul>

## Scoring System

This Scoring Scale sets out the range of scores used by the assessment panel in scoring against the assessment criteria. Scoring scales provide a common understanding for the Assessors as well as consistency of scoring. Scores may be modified through a calibration process amongst the Secretariat and Assessors, and the final moderation is undertaken by ACC.

Definition	Score
Please consult with the Secretariat before using this option.	<b>Not applicable</b>
No answer provided or totally does not satisfy the assessment criteria. <b>(Non-Conforming)</b> .	<b>0</b>
The answer substantially does not satisfy the assessment criteria. <b>(Non-Conforming)</b> .	<b>1</b>
The answer only partially satisfies the assessment criteria. <b>(Non-Conforming)</b> .	<b>2</b>
The answer has minor evidence that satisfies the assessment criteria. (Conforming).	<b>3</b>
The answer conveys the assessment criteria but lacks credible substantiation and/or cost transparency.	<b>4</b>
The answer conveys the assessment criteria with credible substantiation and/or cost transparency.	<b>5</b>
The answer conveys an ability to exceed the required assessment criteria with good benefits to ACC but will require formal confirmation of such to maintain the score given.	<b>6</b>
The answer demonstrably exceeds the required assessment criteria to a moderate extent and provides moderate cost transparent benefits/innovation relevant to ACC and reflects sound understanding with clear benefits/innovation.	<b>7</b>
The answer, with demonstrable experience, exceeds the required assessment criteria to a significant extent and provides significant cost transparent benefits/innovation relevant to ACC and reflects some degree of collaboration and proven experience in the provision of the requirement/s.	<b>8</b>
The answer, with demonstrable experience, exceeds the required assessment criteria to a substantial extent and provides substantial cost transparent benefits/innovation relevant to ACC and reflects significant collaboration and proven experience in the provision of the requirement/s.	<b>9</b>
The answer, with demonstrable experience, exceeds the required assessment criteria to an exceptional extent and provides exceptional cost transparent benefits/innovation relevant to ACC and reflects substantial collaboration and proven experience in the provision of the requirement/s.	<b>10</b>

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## Appendix 9 – Continued

### Moderation Meeting

The purpose of moderation is to ensure the selection of proposals is fairly, consistently and clearly applied. Selection is cognisant of the legislative and policy requirements of ACC. Moderation takes place based on the ratings (scores and comments) allocated by Assessors.

- Fair: the proposals assessed against their completeness against the eligibility and assessment criteria are fairly reflected.
- Clear: the rating decision made aligns with the proposal content and assessment comments.
- Consistent: all Assessors have clear guidelines including assessment criteria and scoring matrix.
- Outcome: the result of the application for grant aligns with the eligibility and assessment criteria, available budget, and our health and safety objectives.

### Application decisions

Based on the results of the assessment process and moderation, we will make the final decision for applications that are recommended for funding, and we may impose any additional conditions prior to funding being approved. The amount of funding will depend on the scope of the proposed intervention and the health and safety benefits it aims to create. Funding discussions will be conducted with successful applicants to help determine the grant amount which will be agreed in the funding contract.

### Financial due diligence

Recommended applicants will be subject to financial due diligence undertaken by ACC. This involves requesting for financial information from the applicant organisations to understand ability of the organisation to support implementation of the project. Confirmation of 20% cash/in-kind contributions will also need to be provided by the applicants.

### Funding discussions

The recommended applicants will be invited to enter funding discussions and, subject to the successful conclusion of discussions, be awarded a funding agreement. Discussions will primarily focus on the funding amount, milestones, deliverables, and payment. Assumptions on the Return on Investment (ROI) will also be reviewed.

It is the intention that funding agreement terms and conditions only be negotiated if there are any errors or omissions identified or any changes that could be made to allow a grantee (the successful applicant) to offer better outcomes in alignment with the purpose of the grant. Funding agreements with the successful applicants will be executed in the agreed form.

# Appendices

## Appendix 10 – Glossary of Terms

Term	Description
Accredited Employee Programme (AEP)	ACC’s Accredited Employers Programme allows approved organisations to manage workplace injuries for their employees and provide entitlements under the Accident Compensation Act 2001 in relation to work-related personal injuries and illnesses. <b>For a list of AEPs <a href="https://www.acc.co.nz/for-business/understanding-your-cover-options/find-an-accredited-employer">https://www.acc.co.nz/for-business/understanding-your-cover-options/find-an-accredited-employer</a></b>
Agents of Change	Agents of change can include organisations, industry sector groups, or professional bodies that can influence change in workplace health and safety behaviours and practices.
Applicant/ Organisation	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.
Co-investment	Successful grant recipients must co-invest a minimum of 20% of the total grant amount requested from ACC in a cash and/or in-kind funding mode.
Confidential Information	Information that: <ul style="list-style-type: none"> <li>• is by its nature confidential;</li> <li>• is marked by either ACC or an applicant as ‘confidential’, ‘commercially sensitive’, ‘sensitive’, ‘in confidence’, ‘top secret’, ‘secret’, ‘classified’ and/or ‘restricted’;</li> <li>• is provided by ACC, an applicant, or a third party in confidence;</li> <li>• ACC or an applicant knows, or ought to know, is confidential.</li> </ul> <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	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 an injury prevention grant. It means that the applicant’s independence, objectivity or impartiality can be called into question. A Conflict of Interest may be: <ul style="list-style-type: none"> <li>• actual: where the conflict currently exists</li> <li>• potential: where the conflict is about to happen, or could happen, or</li> <li>• perceived: where other people may reasonably think that a person is compromised.</li> </ul>
Deliverables	Are a measurable and tangible outcome of a project. They are developed by project team members in alignment with the goals of the project.
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.

# Appendices

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## Appendix 10 – Continued

Term	Description
GST	The goods and services tax payable in accordance with the New Zealand Goods and Services Tax Act 1985.
In-kind	Paid or given in goods, commodities, or services instead of money.
Intellectual Property	All intellectual property rights and interests, including copyright, trademarks, designs, patents and other proprietary rights, recognised or protected by law.
Intervention/ 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.
Investment Priority	Workplace Injury Prevention investment priority is aligned with strategic interventions that support improvements in the health and safety system.
Knowledge Transfer and Extension	The process of enabling the adoption of knowledge, practices, and/or technology produced by a grant project into multiple workplaces and sectors.
Milestones	Are checkpoints throughout the life of the project. They identify when one or multiple groups of activities have been completed and imply that a notable point has been reached in a project.
Intervention/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.
Return on Investment (ROI)	ROI is the expected value of injuries avoided per dollar invested for a given initiative. ACC is required to produce a favourable ROI for injury prevention purposes.
Sub-Contractor	A firm or person that carries out work for a company as part of a larger project.
Sub-sector	A sub-sector is a defined subdivision, or segment of an industry that groups similar business functions.
Successful Applicant	An applicant whose application is determined by ACC to conditionally receive funding.
Supply chain	Is a system of organisations, people, activities, information, and resources involved in moving a product or service from supplier to customer.
Workplace health and safety	The mechanisms, systems and parties involved in achieving and maintaining a state of health and safety in the workplace. Workplace health and safety involves recognising and minimising potential harms, including the risk of injuries and illnesses, and having workplace systems in place to review and audit ongoing risks of harm.

# Appendices

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## Appendix 11 – References

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**He Kaupare. He Manaaki.  
He Whakaora.**  
prevention. care. recovery.