**He Kaupare. He Manaaki.
He Whakaora.**

prevention. care. recovery.

Workplace Injury Prevention Grants

Applicant Guidelines

October 2021 Funding Round

Purpose of this document

The purpose of this document is to support applicants through the application process in the October 2021 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
- other information for consideration including standard grants conditions.

Contents

Workplace Injury Prevention Grants (6 minute read)

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 of the grants is to become a catalyst for major health and safety improvements. The grants will connect internal and external 'agents of change'[1] to 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, 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 changes that enhance 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 performance.

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

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[1] Agents of change can include organisations, industry sector groups, or professional bodies that can influence change in workplace health and safety behaviours and practices.

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.

If your organisation is in the Accredited Employer Programme (AEP), your organisation is eligible to apply for a grant. However, your project will be assessed based on the potential benefits created for workers who are covered by the ACC scheme. For example, 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 one of the investment priorities 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. For example, 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:
> - o long-term (i.e. more than three years) on-going costs of an organisation, business, community group, or trust
> - o long-term on-going costs of a trial or project
> - o capital expenditure including heavy machinery, motor vehicles, laptops, etc.
> - o retrospective costs
> - o local or central government fees or charges
> - o commercial product trials
> - o product commercialisation
> - o Intellectual Property Rights development for private good
> - o international travel
> - o sponsorship
> - o study fees, or
> - o costs associated with publishing journal articles or peer review.

How to contact us for support

If you have any questions which are not supported in this document, please feel free to contact us by emailing injurypreventiongrants@acc.co.nz. For example, if you need any technical assistance with Survey Monkey (SM) Apply, the online application portal.

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

About this funding round (8 minute read)

Opportunity

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

1. would like to engage in systems thinking and undertake a Good Work Design process to determine the hazard (i.e. psychosocial) in the workplace likely to impact negatively on the wellbeing of workers and evidenced by the incidence of injuries across the chosen sector/s; or

2. have the capacity to lead and drive sustainable health and safety performance within their target sector/s by collaborating with other influential stakeholders.

Investment Priorities

ACCs investment priorities provide the focus and sets expectations of the outcomes that we are seeking for a particular funding round. Applications must align to one of the investment priorities described in this section as this is central to the assessment process.

Managing psychosocial hazards and risks in the workplace

Investment Priority One: Managing psychosocial hazards and risk in the workplace through implementation of Good Work Design.

This priority focuses on improving worker wellbeing and reducing injuries.

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 safety, and physical and mental (psychosocial) health, so far as is reasonably practicable.

See Appendix 1 Investment Priority 1 for a full description of the investment priority and the resources on wellbeing and psychosocial risks available to understand the expectations for the intervention to align to the priority. A video presentation on psychosocial risks and Good Work Design will be available on the website by the 15th of October.

Priority Sectors

- Construction
- Agriculture
- Manufacturing
- Transport (including Postal and Warehousing)
- Healthcare and Social Assistance
- Retail & Wholesale

Sector Leadership

Investment Priority Two: Strengthening sector leadership to improve workplace safety outcomes and reduce injuries to workers.

This priority focuses on strengthening capability of industry sector groups to actively collaborate with stakeholders on identifying, building, delivering and evaluating workplace health and safety solutions.

One of the priorities under the Health and Safety at Work strategy is stronger health and safety leadership. We want to strengthen the role of sector groups in leading initiatives to lift outcomes across workplaces, particularly where there is a high risk for injury.

See **Appendix 1 Investment Priority 2** for a full description of this investment priority.

Priority Sectors

- Agriculture *(excluding Forestry, Fishing, Dairy, Horticulture*)*
- Manufacturing

**Sector-led initiatives in the excluded subsectors are ongoing or being established and have received ACC co-investment in previous Workplace Injury Prevention Grant rounds. We are taking this opportunity to co-invest in other Agriculture subsectors that have high rates of injuries.*

Outcomes

All applications must evidence each of the following outcomes:

1. show sustained collaboration among industry leaders

2. within three years, evidence a measured reduction in the number of work-related injuries and claims from the target sectors

3. generate data that enables us to monitor outcomes and benefits for up to ten years

4. exemplars of innovation or system capability development in the identification, prioritisation and development of solutions

5. develop industry-wide solutions to managing risk factors linked to injuries in the workplace for the identified sector/s.

Application and assessment process

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

Interested applicants need to first register through the online application portal SM Apply (https://accnz.smapply.io/prog/workplace_injury_prevention_grants/[2]). Both EOI and full applications are to be submitted in SM Apply.

Additional support material on the application process is available on our website.

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[2] This link will be live on 15 October 2021

Stage 1: Expression of Interest

The purpose of the EOI is to determine which proposals meet the eligibility criteria and can potentially fulfil the requirements to proceed to the full application stage. The EOI form is shorter and will take less effort to complete, saving applicants who are not eligible, the time and effort of completing the full application. Those deemed qualified by us will receive the invitation to submit a full application for a grant.

Stage 1: Expression of Interest		
Steps	**Key dates/ Timeframes**	**Description**
Registration	15 October 2021	Applicants create an account on SM Apply, the online application portal.
Submission of EOI	Closes on 12 November 2021	Applicants submit a preliminary proposal that provides a description of their initiative and how it meets the investment priorities and the outcomes that ACC is seeking.
Assessment of EOI	*2 weeks*	ACC Grants Secretariat reviews all EOI submissions against the eligibility criteria and investment priorities. ACC decides if the submissions are eligible
Outcomes of EOI	Sent on 26 November 2021	ACC invites eligible applicants to submit a full application on SM Apply. Feedback is provided to ineligible applicants through email.

Stage 2: Full application and Assessment

Only invited applicants submit a full application which will be subject to a rigorous assessment process using the WIP Grants assessment 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 highlight any issues, risks or areas of opportunities with the applications. The outcome of the moderation is a recommendation on which applications will proceed to contract discussions. Consideration is also given to the Return on Investment (ROI) of the proposed intervention.

Stage 2: Full application		
Steps	**Key dates/ Timeframes**	**Description**
Submission of full application	Closes on 11 February 2022	Applicants submit a full application on SM Apply.
Completeness check	*2 weeks*	ACC WIP Grants Secretariat checks submitted applications for completeness.

Assessment/ Scoring	*3 weeks*	Subject Matter Assessors evaluate completed applications and allocate scores based on the assessment criteria.
Moderation	*3 weeks*	ACC moderation team reviews the scored applications and recommends applications for funding/contract discussions.
Applicants notified of results	29 April 2022	ACC notifies successful applicants of next steps. Feedback is provided to unsuccessful applicants through email.
Funding discussions and agreements finalised	29 July 2022	Details of funding are discussed with successful applicants and funding agreements drafted.

See [Appendix 8](#) for the Assessment Methodology

Funding decisions

Based on the results of the assessment process (see section 2.1) 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 and matters of trust and confidence.

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. Contract discussions will be conducted with successful applicants to help determine the grant amount which will be agreed in the funding contract.

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 its discretion, feedback is provided to help unsuccessful applications reshape or rethink their approach for any future applications.

Important dates

- The key dates for the October 2021 funding round of Workplace Injury Prevention Grants are as follows:15th October 2021: funding round opens for Expressions of Interest (EOI)
- 12th November 2021: deadline for EOI applications
- 26th November 2021: invitation to submit full application
- 11th February 2022: deadline to submit full application
- 29th April 2022: applicants notified of results
- 29th July 2022: recipient announcements

Key considerations before making an application
(4 minute read)

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 (see the Measuring for Impact[3] section of the investment priorities for an example). Your application will need to demonstrate how you will achieve the stated reach and target.

Injury claims profiles of the target sectors are provided in the Measuring for Impact sections. Relevant data is also available from the WorkSafe NZ Data Centre and Stats NZ. Should you need additional ACC data, send an email to GovernmentServices@acc.co.nz with details of your request.

A video presentation on the Return on Investment model will also be available on the website on 26th November 2021.

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. A template is provided 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.

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.

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.

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[3] Measuring for Impact Priority 1
Measuring for Impact Priority 2

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.

For more information about the KTE plan, Monitoring and Evaluation and Sustainability Plan refer to **Appendix 5 - Applicant Resource**.

Making your application (1 minute read)

Registering online

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 close off date and time.

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 onto the appropriate fields in SM Apply.

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

Expression of Interest and Application form templates

The templates 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.

See Appendix 3 - Expression of Interest template

See Appendix 4 - Full application template

APPENDICES

Appendix 1 – Investment Priorities (40 minute read)

2021 Workplace Injury Prevention Grants Investment Priority

Our investment priorities provide the focus and set of expectations for the outcomes we are seeking for a particular funding round. Applications must align to one of the investment priorities described as this is central to the assessment process.

There are two investment priorities for the next Workplace Injury Prevention Grant Round The first investment priority focuses on improving worker wellbeing and reducing injuries:

Investment Priority 1

Managing psychosocial hazards and risk in the workplace through implementation of Good Work Design.

Priority Sectors
- Construction
- Agriculture
- Manufacturing
- Transport (including Postal and Warehousing)
- Healthcare and Social Assistance
- Retail & Wholesale

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 safety, and physical and mental (psychosocial) health, so far as is reasonably practicable.

[Note: if you are a sector that includes organisations who hold Accredited Employer Programme – (AEP) accreditation, you'll need to demonstrate partnerships with others across, for example, your supply chain to ensure you achieve adequate reach to deliver the return on investment required for receiving an ACC Workplace Injury Prevention Grant.]

The Opportunity

COVID-19 pushed wellbeing to the forefront and showed us the importance of looking after one another in the workplace. There is strong evidence to support the economic benefit to small businesses who invest in the wellbeing of staff with research showing the financial return on investment at an average 5:1 ratio in some cases as high as 12:1 return on every dollar invested[4].

"*We now know categorically that wellbeing delivers efficiency and productivity gains for businesses. Put simply: If small businesses are ignoring wellbeing they are wasting money,".*
Xero managing director for New Zealand and Pacific Islands, Craig Hudson

It's time to broaden the conversation beyond physical risks and to think about how we tackle insidious risks like exposure to psychosocial harm.

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[4] New Zealand Institute of Economic Research report to Xero, (March 2021). *Wellbeing and productivity at work.*

Organisations that would like to engage in systems thinking and undertake a Good Work Design process to manage psychosocial hazards and risk in the workplace across their chosen sector/s, could benefit from ACC's October 2021 round of Workplace Injury Prevention Grants.

Applications for this priority must:
1) be focused on either innovation and/or system capability development
- 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. Refer to the reference material at the end of this document for further information.
- 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.

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:

- physical, mental, emotional and time requirements of work
- the equipment, vehicles, and infrastructure, and materials workers use
- 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. It's about optimizing human performance, job satisfaction and productivity by creating efficient organisations where people are well supported. GWD offers a holistic approach, looking at not just the physical aspects or not just at psychosocial aspects of work, but looking at all those aspects in relation to the needs of the worker and the needs of the business.

Organisations can apply GWD principles to create healthy work environments and safe work tasks where risks to people's psychosocial health are eliminated or minimized so far as is reasonably practicable.

GWD can be used to set up the workplace, working environment and work tasks to protect the health and safety of workers, taking into account the range of worker abilities and vulnerabilities, so far as *reasonably practicable*.

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

- ***How good work is designed***
    7. Engage decision makers and leaders
    8. Actively involve the people who do the work, including those in the supply chain and networks
    9. Identify hazards, assess, and control risks, and seek continuous improvement
    10. 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 and mental stress.

- ***Role conflict in the work environment***: Role conflict in a work setting is one of the most stressful psychosocial aspects of work - clarification of roles and responsibilities; reviewing the hierarchical structure of an organisation, ensuring support is available to workers can minimise the risk of role conflict, increase productivity and reduce stress in the workplace.

For more information about GWD you can search on [Safe Work Australia's website](#) using the term 'Good Work Design' which will bring up the [Principles of Good Work Design Handbook](#) and many other helpful related documents.

The International Organization for Standardization (ISO) has also recently published [ISO 45003](#) which provides guidance on the management of psychosocial risks and promoting wellbeing at work, as part of an occupational health and safety (OH&S) management system.

For other resources on wellbeing and psychosocial risks, see the Reference Material section of this document.

Psychosocial factors

Psychosocial hazards in the workplace are aspects of the design and management of work, and its social and organisational context that may have the potential for causing psychological or physical harm. Conditions of a workplace that may negatively affect workers' mental and/or physical health, such as high psychological work demands, low job control, low social support at work, low rewards, bullying, harassment, and violence are examples of psychosocial hazards. The health outcomes associated with psychosocial hazards can include but are not limited to: stress, depression, anxiety, sleep disorders, suicidal ideation, and musculoskeletal disorders.

A ***psychosocial risk*** in the workplace is an adverse workplace interaction or condition of work that compromises a worker's health and wellbeing. Prolonged exposure to high levels of stress is an example of psychosocial risk in the workplace.

In this context, a hazard is anything that could cause harm. Risk is a combination of two things –

the chance that the hazard will cause harm and how serious that harm could be.

Understanding the level of risk attached to psychosocial hazards will help applicants prioritise what issues they plan to address.

Predictors of psychosocial risk come from three key areas of how work is designed (or organised)[5]:

- ***Job characteristics and the nature of the work*** – job demands, workload, work schedule, job control, physical environment, and equipment issues
- ***Social and organisational context of work*** – organisational culture and function, interpersonal relationships at work, role in organisation, and career development
- ***Individual risk factors*** – individual differences, and home-work interface.

Protective factors in this context are the conditions or attributes in workplaces that lower the likelihood of negative outcomes or reduce the level of risk. Acknowledging and building on strengths can reduce or eliminate the risks i.e. psychosocial risk factors for workers attributed to lack of role clarity, could be mitigated by good support.

The Problem

The Mental Health Foundation estimates the costs of low workplace wellbeing include:

2x
- more injuries
- more sick leave
- more workplace conflicts

3x
- more back pain reports
- more cardiovascular episodes

(Mental Health Foundation of New Zealand, 2016)

COVID-19 and its global impact has shone a spotlight on wellbeing and the need for workplaces to consider a broader range of hazards/risks i.e. psychosocial that impact on worker wellbeing, particularly for those workers undertaking high risk activities.

Solutions implemented to improve worker wellbeing usually focus on biomechanical and workplace risk factors at the individual level e.g. support equipment and its adjustment, altered work methods, or lifting training. These methods miss the opportunities to address psychosocial and work organisation factors that systems and Good Work Design approaches enable.

The 2017 attitudes survey carried out by WorkSafe, found that 11%, or more than one in ten workers, reported stress-related or mental illness caused by work. Those working in small businesses with six to 19 workers were even more likely to have had a stress-related or mental health issue.

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[5] WorkSafe New Zealand, April (2019). Psychosocial hazards in work environments and effective approaches for managing them. New Zealand Government.

The Building Research Association (BRANZ) and Site Safe funded the country's first report on suicide in the construction sector. The report (released in 2019[6]) reflects the pressures on construction workers who died by suicide and aims to provide evidence to inform future prevention initiatives.

The study reviewed 300 coroners' files of suicides in the construction industry between 2007 to 2017. Coroners' reports listed workplace pressures as a factor in nearly a third (32.3%) of all cases.

The workplace pressures mentioned in coroners' reports included:
- job insecurity or uncertainty
- the stress related to running a business
- pressure to deliver under deadlines
- juggling responsibilities
- dealing with an injury or illness affecting the ability to work.

One in eight (13%) of all cases listing workplace pressures included experiences of job insecurity or uncertain work situation.

Stress and fatigue can impair workers ability to make appropriate or timely decisions, and therefore can pose potentially significant safety risks. Whilst experiences of fatigue and compromised mental health associated with unhealthy levels of stress are increasing, both can be reduced through better management of wellbeing risk factors (e.g. psychosocial) that lead to injury.

Injuries and wellbeing

In 2018, ACC commissioned research into the link between farm injuries and wellbeing. The research comprised a telephone survey with 500 farmers who had made an injury claim with ACC, during January to December 2018. Prior to the survey, 25 in-depth interviews were completed with farmers who had recently been injured and said diminished wellbeing had contributed to their injury. Insights from the in-depth interviews informed the telephone survey design.

Of those interviewed, 58% said that a wellbeing issue contributed to their injury, and 24% said it was a major contributor. These issues included:

- having too much to do and not enough time (35%)
- feeling fatigued or exhausted (25%)
- feeling stressed (20%)
- the challenges of coping with the ups and downs of farming (19%)
- lack of sleep or poor-quality sleep (19%)
- feeling in need of a break away from the farm (18%) (Wyllie, 2019)

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[6] Bryson, K., Doblas, J., Stachowski, C. & Walmsley, A. (2019). Suicide in New Zealand's Construction Industry Workforce: Factors Identified in Coronial Reports. BRANZ Study Report ER40. Judgeford, New Zealand: BRANZ.

Almost every farmer interviewed thought most farmers and farm workers were interested in trying to reduce their risk of injuries. Many noted that they could not afford to get hurt, either financially or in terms of needing to get the work done. Most felt farmers respond well when people try to encourage them to think about injury prevention (Wyllie, 2019).

ACC, the Mental Health Foundation and Farmers Mutual Group (FMG) have partnered to deliver Farmstrong wellbeing initiative to give farmers the skills they need to live well, farm well and get the best out of life. Statistics from 2015 showed the cost of active claims from farm-related accidents was almost $52 million and the average time taken off work from farm-related injuries was 11 days (ACC, 2015).

For more information visit Farmstrong, and to view the Farmstrong Injury Prevention Case Study visit Injury Prevention video case study and print resource

Case Study: The Cause Collective – Workplace Wellbeing Ecology

Validating a scalable approach to health and safety risk and injury prevention for Māori and Pasifika workers.

The Cause Collective, a grant recipient of the August 2019 grant round is undertaking a project that utilises indigenous knowledge and belief systems in a codesign approach with workers and management to create meaningful workplace connectivity and behaviour change linking people, processes and systems.

Two primary issues emerged from early prototyping:

Māori, Pasifika and migrant workers:
I know what needs to be done, but nobody asks or involves me. My culture is not deeply understood or valued in the workplace

- an inability to understand and respond effectively to the needs of staff

- an inability to understand the correlation between productivity and wellbeing.

Business Leaders:
We can't effectively reach or engage our Māori, Pasifika and migrant workers - but they are most at risk of death, injury and harm. We are facing a tsunami of mental health. We feel overwhelmed

Referred to as the Workplace Wellbeing Ecology (WWE) initiative, the framework developed by The Cause Collective uses two key models that are unique from other health and safety behaviour models:

- The first model is systems thinking which is an approach that enables us to understand the specific conditions of systems that we can affect change in that will impact safety practice and behaviours across the system.
- The second model is an indigenous and cultural approach that is strengths based which focuses on improving worker wellbeing and achieving behaviour change in workplace safety through a culturally relevant lens. From a Māori and Pasifika perspective wellbeing is viewed holistically through relationships with others, the workplace environment and systems that impact behaviours and attitudes towards good health and safety.

The project is validating indigenous Māori and Pasifika injury prevention solutions and developing a scalable prevention model with a set of learnings and tools capable of expansion across multiple workplace settings, creating system level change. The project is on track to add to the evidence base showing increased workplace wellbeing, productivity and reduces workplace injury and harm.

Helpful Frameworks

Business Leaders Health and Safety Forum. Leading Safety. (2021) Protecting Mental Wellbeing at Work: A Guide for CEOs and their organisations.
https://forum.org.nz/assets/Uploads/Guides/Protecting-Mental-Wellbeing-at-Work.pdf

ISO 45003:2021. *Occupational health and safety management — Psychological health and safety at work — Guidelines for managing psychosocial risks*. https://www.iso.org/standard/64283.html

Mental Health Foundation https://mentalhealth.org.nz/resources/resource/finding-balance-te-whare-tapa-wha-workplace

The Treasury Te Tai Ōhanga *The Living Standards Framework.*
https://www.treasury.govt.nz/information-and-services/nz-economy/higher-living-standards/our-living-standards-framework/wellbeing-approach-cost-benefit-analysis

Recommendations for proposals

We encourage sectors to engage in systems thinking, recognising the complex interrelationship of the many factors that can contribute to an injury, using the principles of 'Good Work Design' (GWD) to prioritise the identification and management of psychosocial hazards in the workplace that have the greatest impact on worker wellbeing.

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.

We will prioritise proposals that:
- have the voice of the worker as central to the proposal
- are focused on identifying the root cause of psychosocial hazards in the workplace i.e. job characteristics/nature of the work; social and organisational context of work; individual risk factors etc
- 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 psychosocial hazards and/or engage in better management of psychosocial risk factors in the workplace
- engage workers in the design and testing of innovative products/solutions that lower injuries from a known psychosocial hazard or set of risk factors across a sector i.e. fatigue or stress
- have a sound rationale/programme logic behind projections for lowering injury rates and claims across a 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 GWD practice
- pitch training and/or wellness products that are not part of a broader approach to achieving system level change in the identification and management of the root cause of psychosocial hazards and risk in the workplace.

Outcomes we are seeking

All applications must evidence each of the <u>outcome</u>s we are seeking from the *'Managing psychosocial hazards and risk in the workplace through implementation of Good Work Design to improve worker wellbeing'* investment priority:

1. show sustained collaboration among industry leaders to drive initiatives which reduce psychosocial hazards/risks linked to work-related injury in the target sectors
2. within three years evidence a measured reduction in the number of work-related injuries and claims from the target sectors
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 complex hazards i.e. psychosocial risks that impact negatively on wellbeing in the workplace, and are a likely cause of higher injury rates in high-risk sectors
5. develop industry-wide solutions to managing risk factors linked to psychosocial hazards that are most likely to contribute to injuries in the workplace for the identified sector/s.

Measuring for impact

Sectors with an interest in the *'Managing psychosocial hazards and risk in the workplace through implementation of Good Work Design to improve worker wellbeing'* theme for Grant Round 4 will need to demonstrate how the proposal or intervention will provide a return on investment (ROI) from the work account.

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 businesses and workers will be touched 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.

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: transport (including postal and warehousing)
If stress and or fatigue were psychosocial hazards workers in the transport (incl the postal and warehousing industry) identified as a priority, we might expect that the efficacy of an intervention designed to address the hazards i.e. an intervention addressing workload or the length of

shifts, would be evidenced in injury categories associated with high risk activities such as driving and production lines (i.e. falls, trips and slips, hitting or being hit by object, body stressing and vehicle incident)

Key Inputs an 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](#) Transport (Postal & Warehousing) CU Codes = 65090; 66420; 67090; 61100; 66190; 71110; 61210; 66210; 71120
- **Size of transport Industry (including postal and warehousing)** – FTE estimate = 54,407
- **Size of projected uptake of initiative within sector** – FTE estimate = 16,610

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:
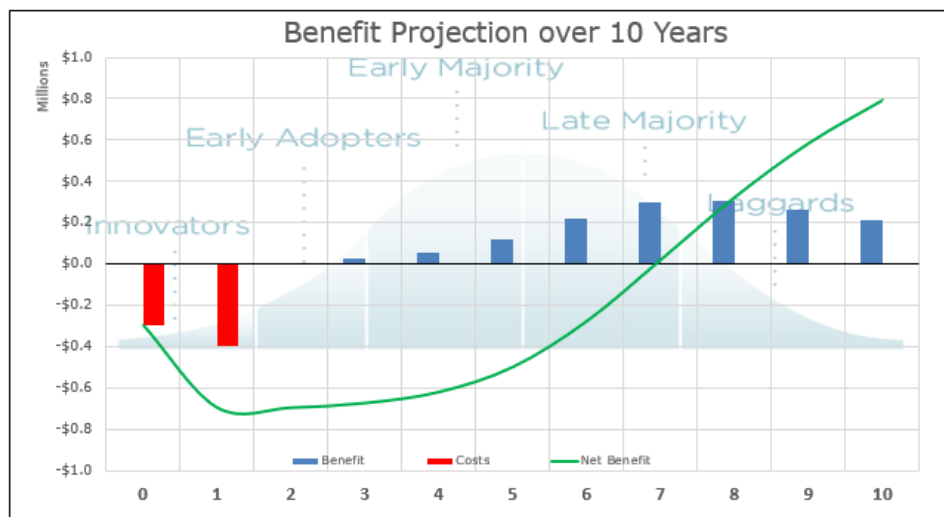
We believe that effective psychosocial interventions will impact the overall claims profile for a sector in addition to more nuanced and often smaller claims categories. To support applicants prepare an initial expression of interest, we have provided a snapshot below of sector specific injury claims profiles and a subset of specific categories from the ACC work account likely to be positively influenced by better management of psychosocial hazards/risk in the workplace:

Construction
Overall claims profile: $121.7M Life-Time Cost Estimate (LTC)
Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:
- Falls, trips and slips $33.1M LTC
- Hitting or being hit by objects $26.9M LTC
- Body stressing $40.4M LTC
- Vehicle incidents $20.9M LTC

Manufacturing
Overall claims profile: $80.3M Life-Time Cost Estimate (LTC)

Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:

- Falls, trips and slips $12.2M LTC
- Hitting or being hit by objects $22.3M LTC
- Body stressing $27.0M LTC
- Vehicle incidents $16.8M LTC

Agriculture

Overall claims profile: $91.0M Life-Time Cost Estimate (LTC)
Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:

- Falls, trips and slips $14.3M LTC
- Hitting or being hit by objects $17.4M LTC
- Body stressing $12.7M LTC
- Vehicle incidents $46.2M LTC

Healthcare and Social Assistance

Overall claims profile: $21.7M Life-Time Cost Estimate (LTC)
Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:

1. Falls, trips and slips $5.6M LTC
2. Hitting or being hit by objects $4.6M LTC
- Body stressing $5.9M LTC
- Vehicle incidents $5.7M LTC

Transport, Postal and Warehousing

Overall claims profile: $47.0M Life-Time Cost Estimate (LTC)
Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:

- Falls, trips and slips $11.0M LTC
- Hitting or being hit by objects $8.8M LTC
- Body stressing $11.5M LTC
- Vehicle incidents $15.3M LTC

Retail & Wholesale

Overall claims profile: $38.9M Life-Time Cost Estimate (LTC)
Sub-categories likely to be positively impacted by interventions to reduce psychosocial hazards/risk factors in the workplace:

- Falls, trips and slips $9.5M LTC
- Hitting or being hit by objects $6.8M LTC
- Body stressing $15.7M LTC
- Vehicle incidents $6.7M LTC

Notes:

- *Claims profile figures exclude Accredited Employers*
- *Subcategories identified are indicative not exhaustive. ACC anticipates identification of injury claims categories impacted by psychosocial hazards will be expanded following engagement with workers. ACC can also offer support to applicants successful in the expression of interest phase to build a better understanding of their sector claims profile.*

Investment Priority 2

Strengthening sector leadership to improve workplace safety outcomes and reduce injuries to workers.

Priority sectors

Applications should be targeted to the following sectors:

- Agriculture *(excluding Forestry, Fishing, Dairy, Horticulture*)*

- Manufacturing

   *Sector-led initiatives in the excluded subsectors are ongoing or being established and have received ACC co-investment in previous Workplace Injury Prevention Grant rounds. We are taking this opportunity to co-invest in other Agriculture subsectors that have high rates of injuries.

The Opportunity

ACC is presenting an opportunity to collaborate (through co-investment) on strengthening sector leadership in high-risk sectors.

Organisations who have the capability to lead and drive sustainable health and safety performance within their sector by collaborating with other stakeholders, could benefit from ACC's October 2021 round of Workplace Injury Prevention Grants.

Applications must be focused on either innovation or system capability development. A minimum co-investment of 20% of the total grant amount requested is required in cash and/or in-kind.

Sector leadership

One of the priorities under the Health and Safety at Work strategy[7] is stronger health and safety leadership. We want to strengthen the role of sector groups in leading initiatives to lift outcomes across workplaces, particularly where there is a high risk of injury.

Industry and sector groups play an important part in leading approaches and solutions to help businesses, including small and medium sized enterprises (SMEs) manage their health and safety risks, engage their workers, and innovate for workplace health and safety.

There are several facets to sector leadership of health and safety, including:

- Being an exemplar of good health and safety practices
- Working collaboratively with other organisations within a sector or supply chain to improve health and safety
- Sharing health and safety innovations with other organisations
- Initiating and building long term relationships with other stakeholders in the sector

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[7] Health and Safety at Work Strategy 2018-2028 https://www.mbie.govt.nz/assets/69361d5a98/health-safety-at-work-strategy-2018-2028.pdf

Case study/ example: The Food and Grocery Council – ShopCare

The New Zealand Food and Grocery Council (NZFGC) was a grant recipient of the February 2019 WIP grant funding round under the Sector Leadership investment priority. Their project was to establish a Retail and Supply Chain Health & Safety Sector Group for the food and grocery segment of NZ Retail, including manufacturers, transporters, retailers, and supporting suppliers and service providers.

In July 2019, ShopCare was established to lead the identification, prioritisation, standardisation and implementation of H&S initiatives that positively impact employees and workplaces within the food and grocery retail and supply chain sector.

ShopCare's H&S initiatives are currently focused on three key workstreams: In Store Safety, Manual Handling, and Mobile Plant & Equipment. There is an on-going piece of work across these workstreams to identify and review the critical risks and controls within businesses in the relevant sectors to help inform and share best practice.

ShopCare was also quick to take action in supporting businesses during the different Covid-19 alert levels. In March 2020, they released guides and health and safety resources to the retail and supply chain sector in response to Covid-19. The retail protocol covered key elements required to support a Covid-19 mitigation plan such as good hygiene, physical distancing, disinfecting areas and supporting contact tracing. They update their website with resources to help businesses manage the impact of Covid-19.

The Problem

The Independent Taskforce on Workplace Health and Safety identified inadequate leadership from people and organisations who have influence in the workplace as one of the factors contributing towards poor workplace health and safety performance in New Zealand[8]. Achieving good outcomes requires all influential stakeholders to take greater responsibility and be accountable for workplace health and safety.

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[8] The Report of the Independent Taskforce on Workplace Health and Safety (April 2013). http://hstaskforce.govt.nz/documents/report-of-the-independent-taskforce-on-workplace-health-safety.pdf

WORKERS
Participate in and influence health and safety systems, processes, and practices at work

UNIONS AND WORKER REPRESENTATIVES
Represent and support workers so they have the tools, skills, opportunities and environment to work in healthy and safe ways

BUSINESS
Manage health and safety risks
Engage with workers
Supply chain and procurement

RESEARCH INSTITUTIONS
Improve knowledge of risks and how to manage them well across the system

SECTORS
Support businesses and business leaders to understand and manage risks well, engage workers, and innovate

EDUCATORS AND PRACTITIONERS
Support the health and safety knowledge and capability of workers, businesses and sectors

MĀORI
Use influence and relationships to support better outcomes for workers and businesses
Māori work with Government as Treaty partners

GOVERNMENT
Advises on policy & strategy, monitors regulator (MBIE)
Regulators implement policy (Primary regulator WorkSafe NZ; Maritime NZ, CAA)
Harm prevention (WorkSafe, ACC)
Supports return to work (ACC)

COMMUNITY GROUPS
Use influence and relationships to support better outcomes for workers and businesses
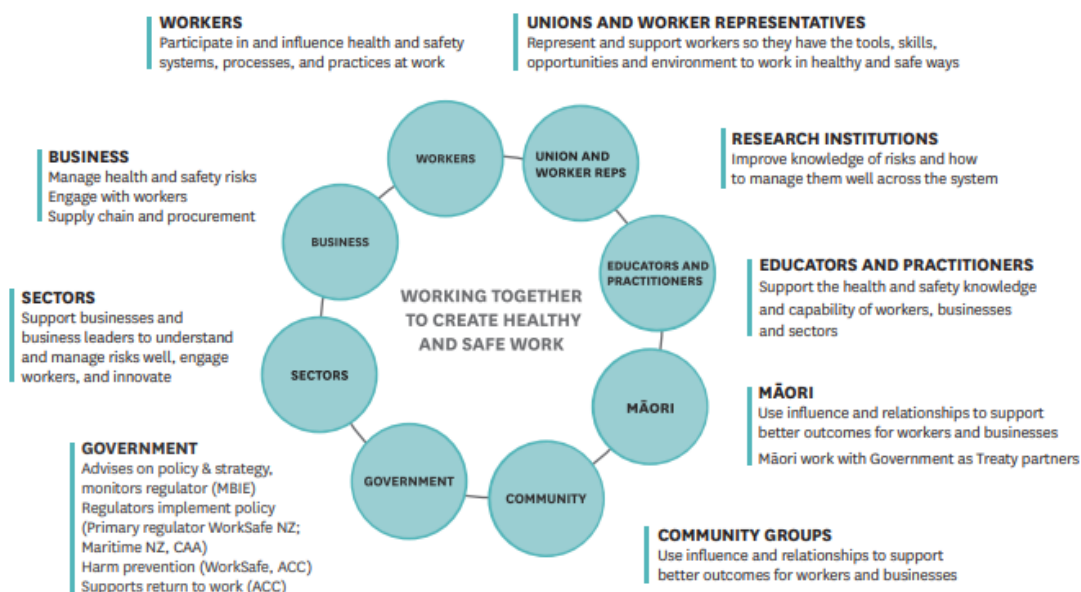
WORKING TOGETHER TO CREATE HEALTHY AND SAFE WORK

Figure 1 Key roles and responsibilities in NZ's H&S system

The Taskforce also noted that a tripartite approach, with effective partnerships being developed between the regulator, business, and unions/worker representatives, is lacking in New Zealand. This was partly due to the limited number of large private sector employers that can serve as exemplars, as well as very few leadership groups and organisational networks that businesses can partner with.

Business networks and representative groups were found to be underdeveloped compared to those in other countries. Factors contributing to inadequate leadership include low health and safety capabilities within many businesses, and the lack of external training, expertise and support.

Strong, visible leadership across the health and safety system is essential to lift workplace health and safety performance. Active collaboration among influential stakeholders is critical to the success of any harm prevention initiative. To achieve a strong and functioning tripartite model, sector groups must have the capability to engage and lead in the development and implementation of health and safety initiatives within their sector.

Outcomes we are seeking

All applications must evidence each of the outcomes we are seeking from the Sector Leadership investment priority:

- Demonstrable capability of industry sector groups to actively collaborate with stakeholders (i.e. government, businesses, unions and worker representatives, workers, community groups) in identifying, building, delivering, and evaluating health and safety solutions in the target sector or industry.

- A measurable reduction in the number of work-related injuries and claims from the target sectors as a result of sector led initiatives, within three years.

- Sustainable, long-term structures and approaches to extend knowledge, share best practices,

and build expertise for improving health and safety performance are established in the target sectors.

- Generate data that enables us to monitor outcomes and benefits for up to ten years.

- Develop industry-wide solutions to managing health and safety hazards, and risk factors most likely to contribute to injuries in the workplace for the identified sector/s.

Measuring for impact

Organisations with an interest in the *Sector Leadership* theme for Grant Round 4 will need to demonstrate how the proposal or intervention will provide a return on investment (ROI) from the work account.

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 businesses and workers will be touched 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.

You'll be required to understand the overall claims profile for your sector/s or sub-sector/s, to 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

We use this information along with other assumptions on efficacy of the intervention and Knowledge Transfer and Extension elements of a proposal to model the benefit projection of the proposal over 10 years:
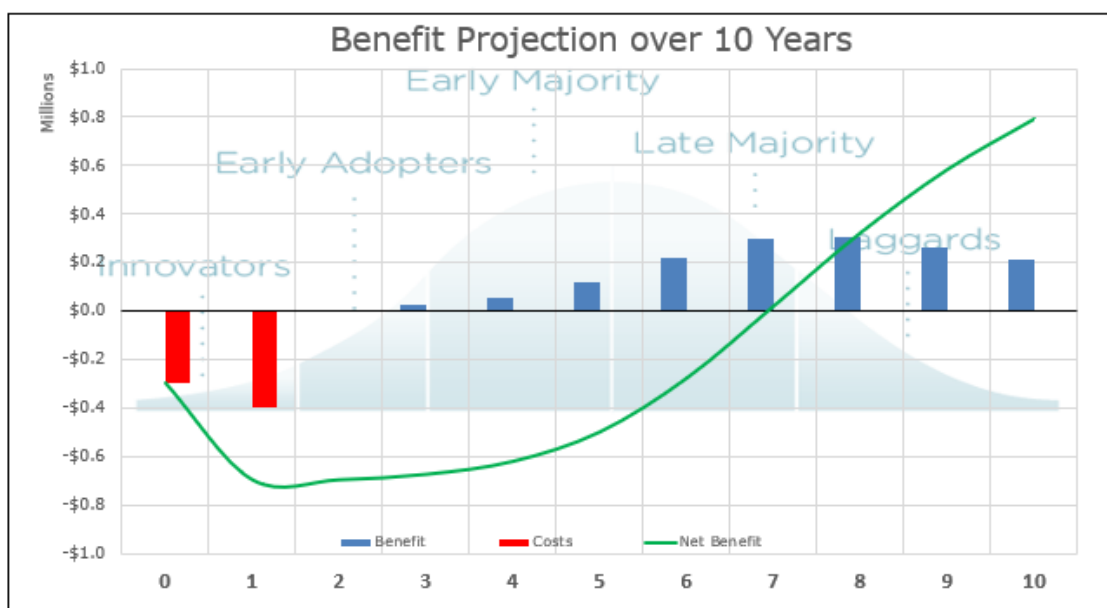
To support applicants in preparing an initial expression of interest, we have provided a snapshot below of sector specific injury claims profiles and a subset of specific categories from the ACC work account:

Manufacturing

Wood and Paper Product Manufacturing
Overall claims profile: $8.8M 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 $1.3M LTC
- Hitting or being hit by objects $2.7M LTC
- Body stressing $2.7M LTC
- Vehicle incidents $1.8M LTC

Food, Beverage, and Tobacco Manufacturing
Overall claims profile: $13.9M Life-Time Cost Estimate (LTC)
Estimated FTE: 18.3K
Sub-categories likely to be positively impacted by workplace injury prevention interventions:
- Falls, trips and slips $2.1M LTC
- Hitting or being hit by objects $3.3M LTC
- Body stressing $5.5M LTC
- Vehicle incidents $2.8M LTC

Non-Metallic Mineral Product Manufacturing
Overall claims profile: $3.9M 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 $0.6M LTC
- Hitting or being hit by objects $0.9M LTC
- Body stressing $1.6M LTC
- Vehicle incidents $0.8M LTC

Metal Product Manufacturing
Overall claims profile: $18.4M 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 $2.4M LTC
- Hitting or being hit by objects $7.0M LTC
- Body stressing $5.6M LTC
- Vehicle incidents $3.3M LTC

Petroleum, Coal, Chemical & Associated Product Manufacturing
Overall claims profile: $4.4M Life-Time Cost Estimate (LTC)
Estimated FTE: 9.5K
Sub-categories likely to be positively impacted by workplace injury prevention interventions:
1. Falls, trips and slips $0.7M LTC
2. Hitting or being hit by objects $1.2M LTC
3. Body stressing $1.7M LTC
4. Vehicle incidents $0.8M LTC

Textile, Clothing, Footwear & Leather Manufacturing
Overall claims profile: $1.5M 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 $0.3M LTC
- Hitting or being hit by objects $0.2M LTC
- Body stressing $0.6M LTC
- Vehicle incidents $0.4M LTC

Machinery and Equipment Manufacturing
Overall claims profile: $8.6M 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 $1.8M LTC
- Hitting or being hit by objects $2.1M LTC
- Body stressing $2.8M LTC
- Vehicle incidents $1.8M LTC

Other Manufacturing
Overall claims profile: $8.3M Life-Time Cost Estimate (LTC)
Estimated FTE: 14.8K
Sub-categories likely to be positively impacted by workplace injury prevention interventions:
- Falls, trips and slips $1.4M LTC
- Hitting or being hit by objects $2.1M LTC
- Body stressing $2.8M LTC
- Vehicle incidents $2.0M LTC

Other Manufacturing codes include:
29110 - Prefabricated metal building manufacturing
29190 - Prefabricated wooden building manufacturing
29210 - Wooden furniture and upholstered seat manufacturing
29220 - Metal furniture manufacturing
29230 - Mattress manufacturing
29290 - Furniture manufacturing (not elsewhere classified)
29410 - Jewellery and silverware manufacturing

29420 - Toy, sporting, and recreational product manufacturing
29490 - Manufacturing (not elsewhere classified)

Agriculture (Excluding Horticulture and Dairy)
Overall claims profile: $22.2M Life-Time Cost Estimate (LTC)
Estimated FTE: 35.8K
Sub-categories likely to be positively impacted by workplace injury prevention interventions:
- Falls, trips and slips $4.9M LTC
- Hitting or being hit by objects $6.4M LTC
- Body stressing $4.5M LTC
- Vehicle incidents $6.4M 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.*

# Appendix 2 Navigating SM Apply - Online Application Portal
(3 minute read)

Applicants register and apply through the online application portal SM Apply which opens for registration at 9am NZDT, Friday15 October 2021. The following link takes you to the Workplace Injury Prevention Grants application site:
https://accnz.smapply.io/prog/workplace_injury_prevention_grants/[9]

How to register

1. Click **Register**
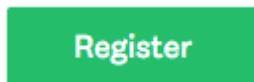
2. Choose to Register using a **Social Media Account** (Facebook, Google, Twitter)
   OR
   Choose to Register to **SurveyMonkey Apply**

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: https://help.smapply.io/hc/en-us/articles/360032514674-General-Account-FAQ

Starting your application

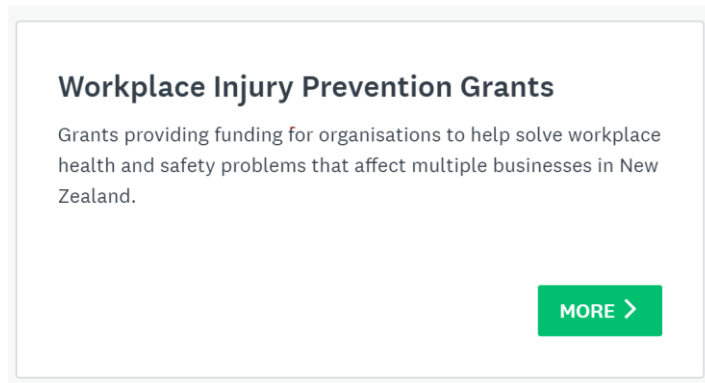Once you have registered/created an account, go back to the application site. Within the site you can:
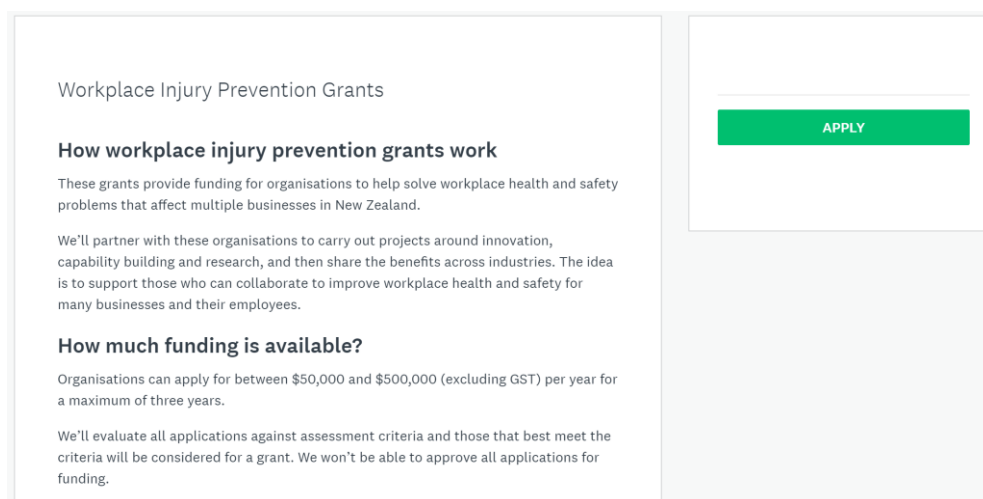
➢ Click View Programs

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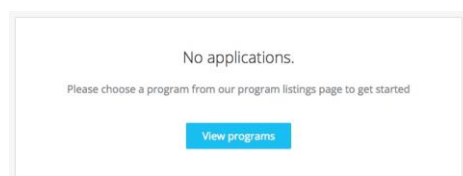
[9] This link will be live from 15 October 2021

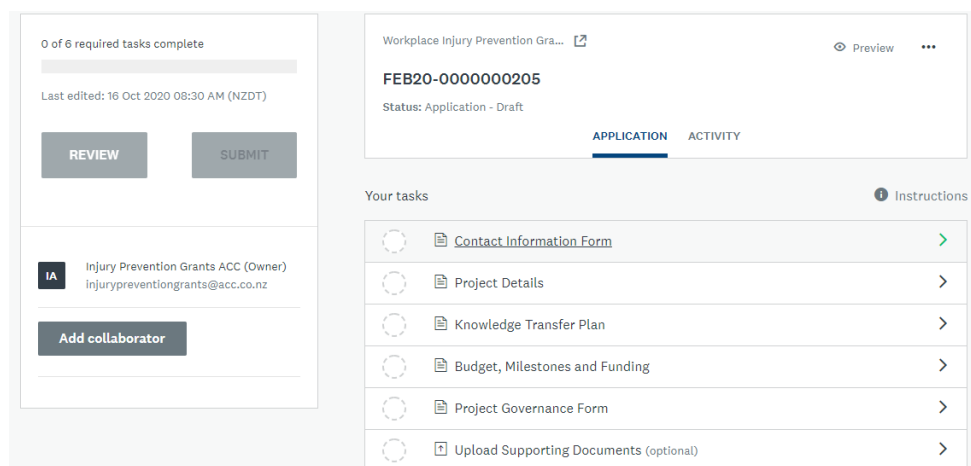➢ Click the **More** button under Workplace Injury Prevention Grants

Workplace Injury Prevention Grants

Grants providing funding for organisations to help solve workplace health and safety problems that affect multiple businesses 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

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.

0 of 6 required tasks complete

Last edited: 16 Oct 2020 08:30 AM (NZDT)

REVIEW   SUBMIT

IA   Injury Prevention Grants ACC (Owner)
     injurypreventiongrants@acc.co.nz

Add collaborator

Workplace Injury Prevention Gra... ⧉

FEB20-0000000205

Status: Application - Draft

👁 Preview   •••

APPLICATION   ACTIVITY

Your tasks   ⓘ Instructions

⭘ 📄 Contact Information Form   ›
⭘ 📄 Project Details   ›
⭘ 📄 Knowledge Transfer Plan   ›
⭘ 📄 Budget, Milestones and Funding   ›
⭘ 📄 Project Governance Form   ›
⭘ ⬆ Upload Supporting Documents (optional)   ›

- ➢ To view the entire application including attachments/uploaded documents, click on **Preview**

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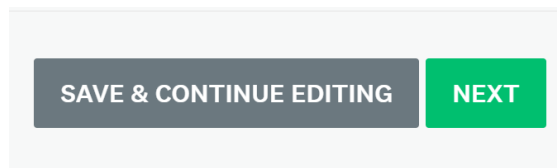
- • The **Next** button takes you to the next page of that section/task. Once you have completed all the pages of a particular task, there will be a **Mark as Complete** button at the bottom of the screen.

PREVIOUS	SAVE & CONTINUE EDITING	MARK AS COMPLETE
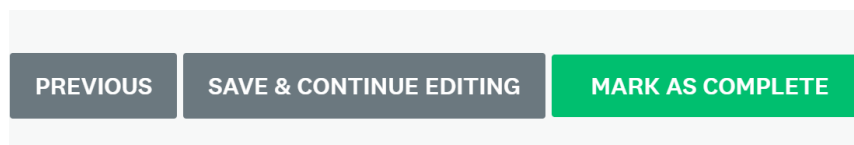
- • If any part of the form is incomplete or incorrectly formatted, an error message will appear on your screen. Scroll through the form to find the errors.

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

✓	▤ Eligibility Form Completed on: 16 Oct 2020 08:30 AM (NZDT)	›
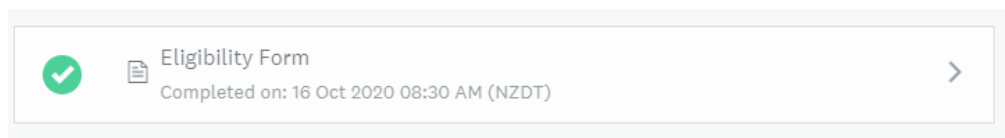
- • You can still edit a completed task before submitting. Open up the task by clicking on the arrow. Click on the three dots to view more options. Click on **Edit**

‹ Back to application	✓ ▤ Contact Information Form Completed 16 Oct 2020 08:38 AM (NZDT)	···
Workplace Injury Prevention Grants **FEB20-0000000205** ID: FEB20-0000000205 | Status: Application - Draft	**Contact Information Form** This is the person we'll contact if we have any questions about your application. Please details ***Full name:**	Download Reset Edit
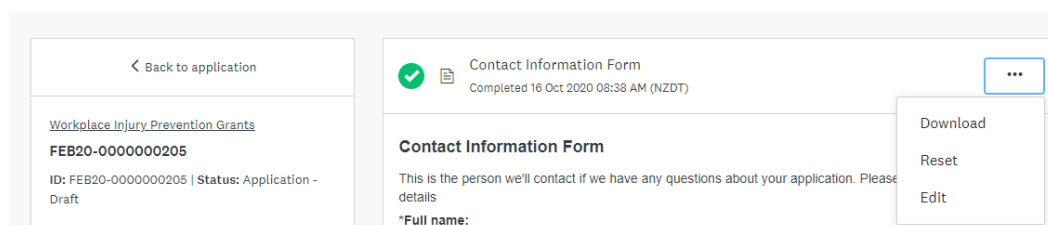
- • To continue a Saved application after logging back into the system, click the **Continue** button to reopen your application.

- 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.
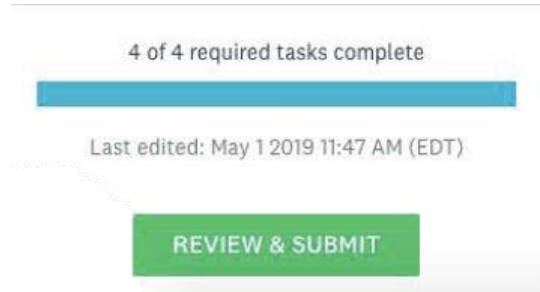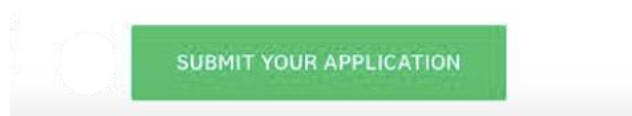
Submitting your application

Once all tasks are completed, submit your application by:

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

- Review your application form and uploaded materials. Once you have reviewed all your completed tasks, click on the **Submit Your Application** button.

For more information, you can refer to the SM Apply's Frequently Asked Questions (FAQs) here: Completing an Application FAQ

Appendix 3 - Expression of Interest template

Required Information		Word Limit
Applicant Details and Contact		
*Organisation Name	Enter the name of the legal entity applying for the grant.	-
*Postal address	Address of organisation named above.	-
*New Zealand Business Number (NZBN)	Enter the NZBN of the organisation named above. This is usually a 13-digit number.	-
*ACC Number	Enter the organisation's ACC number. You may contact our Business call centre at 0800 222 776 or send an email to business@acc.co.nz to inquire about your ACC number.	-
GST Number	Enter the applicants GST number	-
*Maori enterprise	Would you self-identify the business as a Maori enterprise? (Generally, a Maori enterprise will be owned by Maori and may be predominantly staffed by Maori, it will strongly value Maori culture and tikanga.)	-
*Primary contact name	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.	-
*Email address	Enter the email address of the person named above.	-
*Phone number	Mobile or landline number of the person named above.	-
Eligibility Gateway		

*Eligibility	Confirm that your application meets **all** eligibility criteria.
	
	Application objective/content
	• Clearly aligns with one of the investment priorities for this funding round and delivers to the outcomes we are seeking.
	• Demonstrates health and safety leadership and collaboration with other partners in your industry 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. For example, 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.

Executive Summary

*Project summary	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. 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 your targeting, the amount of funding and project length.	350 words
*Investment priority	Tell us how your proposed intervention aligns with one of the investment priorities for this funding round and how it addresses the key elements of that priority: • Managing psychosocial hazards and risk in the workplace through implementation of Good Work Design • Strengthening sector leadership to improve workplace safety outcomes and reduce injuries to workers	200 words

Impact on New Zealand Workplace Health and Safety

*Benefit to NZ workplaces	Describe how your intervention will deliver benefits to New Zealand workplaces. Elaborate on: • The intervention logic – how the outputs will achieve outcomes and lead to benefits • The extent of potential benefits, including target population (size of the problem) and which industry or sector groups you will be collaborating with to reach the target population • How workers will be engaged Keep in mind that outcomes and benefits must be measurable.	250 words

Additional information required from previous applicants

*Previous applicants	Confirm if you have previously applied for the WIP Grants.	100 words

	If yes, tell us how this proposal differs from previous applications and how you have addressed comments or feedback provided by us if any.	

Appendix 4 - Full application template

Required Information		Word Limit
Application Summary		
*Project title	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
* Priority sector	Confirm which sector/s your intervention is targeted to.	-
*Project duration	Enter the proposed start date of your project and the duration in weeks. If your application is approved, we'll confirm these dates with you as part of finalising the funding agreement.	-
*Grant category	Select which category your application fits within. You may only select one option. • Innovation • System capability development	-
Project Details		
*Problem/ opportunity	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? Expand on how it aligns to the investment priority you have selected and outcomes. Also, confirm that the proposed initiative does not significantly duplicate, overlap with on-going or completed projects, programmes or research programmes. If you're providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).	2000 words
*Objectives	Describe your intervention's main objectives and how they will be achieved. Objectives should be 'SMART': • Specific - should target a specific area or answer a specific need • Measurable - should be quantifiable • Attainable - should be realistic, based on available resources and constraints • Relevant - aligns with other business objectives to be considered worthwhile • Time-bound - has a deadline or defined end.	400 words
*Intervention Logic (Outcomes and Benefits)	Complete an Intervention logic model to describe the outputs, outcomes and benefits that your intervention will create.	2000 words

	Explain how the project outputs achieve outcomes and lead to benefits. 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. The intervention logic can be attached as a separate document.	
*Monitoring and evaluation	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) for the outcomes and benefits. 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. 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.	2000 words
*Return on investment (ROI)	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. 1. *Target population* – 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. 2. *Uptake* – How many individuals in the target population are likely to take action as a result of the intervention? 3. *Effectiveness* – How effective will the intervention be in reducing the rate of injuries? What types of injury will the intervention target? 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. Describe how you plan to achieve the target reach and uptake of your intervention. If you're providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).	2000 words

Knowledge Transfer and Extension Plan

*Priority audience	Tell us who you are planning to share and extend the knowledge and outcomes of your proposed intervention. Including: • specific sectors or industries • leaders/champions • workers or worker representatives/groups. Why have you selected this audience?	1000 words
*KTE activities	Describe the activities you will deliver to engage with your target audience.	1000 words
*Practice and behaviour change	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? Explain how you plan to achieve the change based on your understanding of the priority audience's behaviour. How will you know that the intended behaviour change is taking place? Provide success measures and data that will be collected against them.	2000 words
*Sustainability	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. Note that there is a requirement for a period of up to seven years following the project end date, we may periodically request additional information to support its need to measure the ongoing effectiveness of the project including but not limited to the status of all the outcomes and benefits.	2000 words
Project Implementation and Governance		
*Collaboration	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? Provide supporting evidence or documents.	1000 words
*Worker engagement	Tell us how you will consult/engage with workers throughout the project. How will workers' input feed into your project objectives and plans?	1000 words
*Project team	Provide names, roles and responsibilities, qualifications for each of the key personnel involved in delivering your proposed intervention (including any personnel to be provided by sub-contracted parties).	-
*Team capability	Expand on the skills, knowledge and expertise that your team members possess that will ensure delivery of the proposed initiative and its benefits.	1000 words
*Sub-contractors	If you're intending to use the services of sub-contractors, provide names, organisation and role/service they will deliver for the project.	-

*Project management methodology	Describe the project methodology you will implement to successfully deliver the project to the budget and timeframes stated.	1000 words
*Risk management	Describe potential project risks and barriers to success and outline how they will be mitigated. Refer to Appendix 7 for the risk management framework.	-
*Governance	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

Project budget and funding

*Funding requested	Enter the total funding amount being requested from ACC and amount of co-funding/contribution.	-
*Project budget	Provide details of the project budget for each year of implementation. Refer to Appendix 6 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.	-
*Other government funding	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.	-

Other supporting information

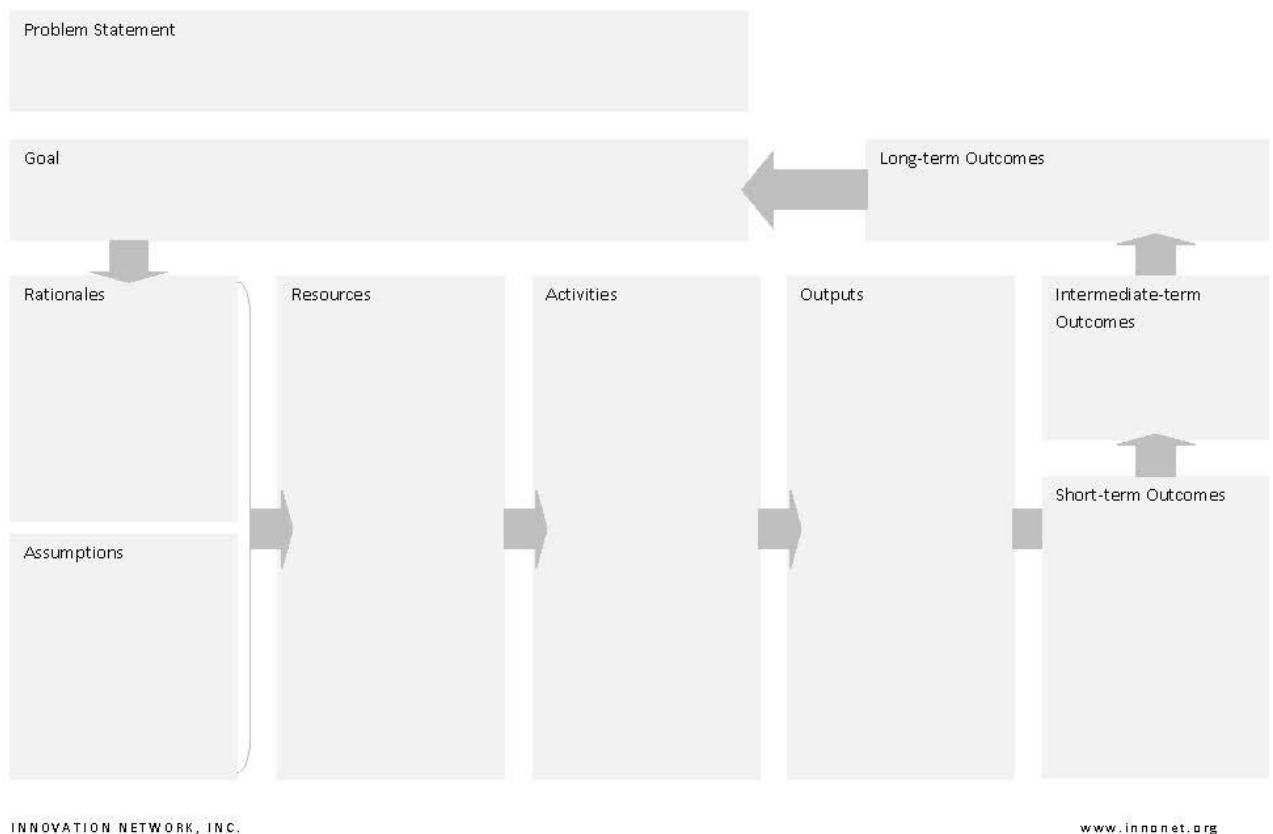|		
Upload attachments	Upload any further information or documentation to support or verify any statements made in your application. The following file formats are accepted: • PDF (.pdf) • MS Word (.doc or .docx) • MS Excel (.xls or .xlsx) • PowerPoint (.ppt or .pptx) • Photos or images (.png, .jpg or .jpeg)	-

Declaration

*Applicant declaration	A declaration is required acknowledging that: • the person submitting the application is authorised to submit the application on behalf of the legal entity • all the information supplied in the application is true, correct and complete • the applicant has good workplace health and safety performance and have not been or are currently being investigated or prosecuted by WorkSafe NZ • the applicant will abide by the privacy confidentiality, confidential information and confidential grants information as detailed in the applicant guidelines • your ACC levy payments are not in arrears.	-

Appendix 5 – Applicant Resource (10 minute read)

○ **Intervention Logic Model template**

Do-It-Yourself Logic Models: Examples, Templates, and Checklists
Webinar with GrantStation | February 2014

innovation network
TRANSFORMING EVALUATION FOR SOCIAL CHANGE

Problem Statement				

Goal				Long-term Outcomes

Rationales	Resources	Activities	Outputs	Intermediate-term Outcomes
Assumptions				Short-term Outcomes

INNOVATION NETWORK, INC.   www.innonet.org

○ **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[10]. 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.

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[10] Imagine Canada 2007. Effective Knowledge Transfer & Exchange for Non-Profit Organisations: A Framework. Ontario, Canada
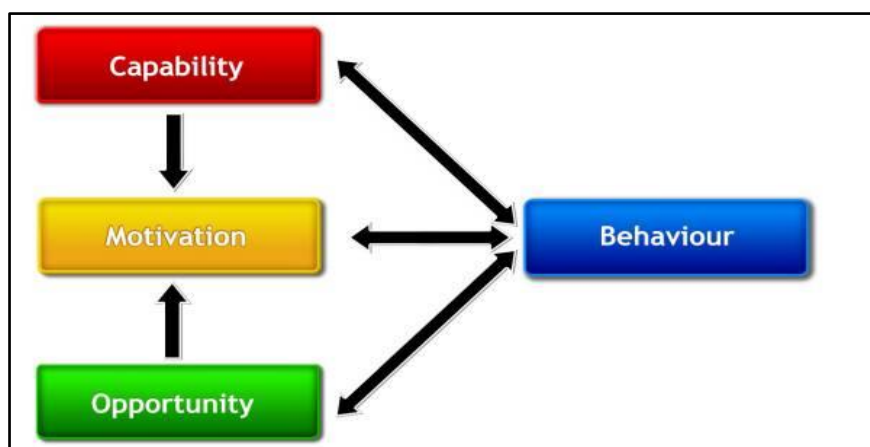
Figure 2 The COM-B system - a framework for understanding behaviour[11]

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.

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 3 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.
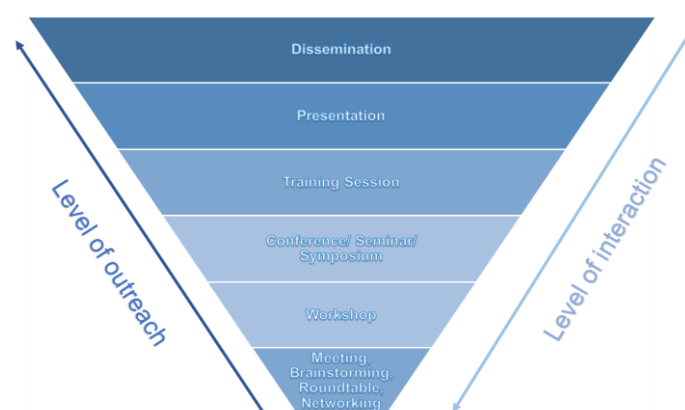

Figure 3 Knowledge Transfer Spectrum[10]

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[11] Michie et al (2011). The behaviour change wheel: A new method for characterising and designing behaviour change Interventions. Implementation Science, 6:42 p. 4

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)[12]. 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[13].
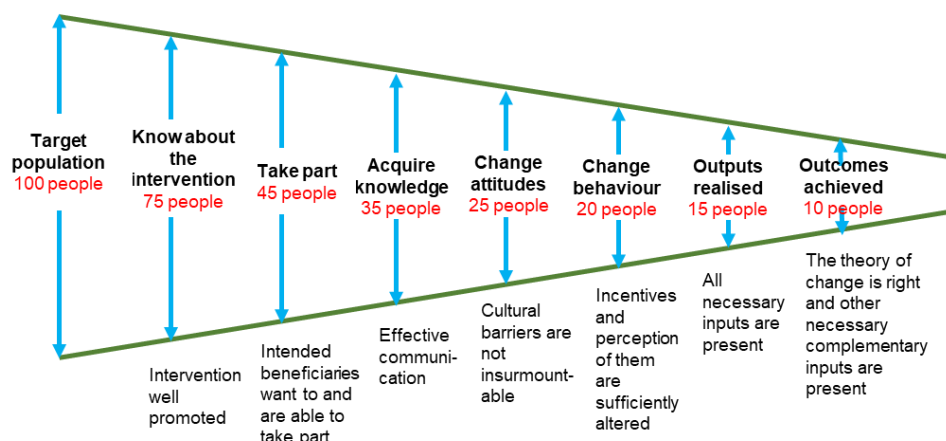

Figure 4 The funnel of attrition

○ **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[14].

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[12] Owens (2001). Dissemination: A Key Element of the ATE Program. Western Michigan University

[13] International Initiative for Impact Evaluation. https://www.3ieimpact.org/blogs/using-causal-chain-make-sense-numbers

[14] Development Assistance Committee OECD (2002). Glossary of Key Terms in Evaluation and Results Based Management

> **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.

○ 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://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

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/

Appendix 6 – Budget and Funding (4 minute read)

Before you start preparing the budget for your project, you should note that we do <u>not</u> 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.

SM Apply table example

Year 1

Activities *(examples only)*	Cost type *(examples only)*	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
  - 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, wedo 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.

Appendix 7 - Risk Management Framework (4 minute read)

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

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

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

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

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

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

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

Risk tolerance and acceptability

This matrix below is used to determine risk rating by combining the consequence and likelihood levels. The assessment is used to determine the severity of the risk and identify those which are unacceptable 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

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)	◦ Time delays in meeting business objectives and reaching outcomes ◦ Additional cost and effort to manage the performance of the supplier	Significant	Likely	High	Apply due diligence to check the supplier's capacity to deliver against KPIs and check performance ratios.
The supplier does not deliver the services	◦ Unable to perform key business operations / processes ◦ No supply of the products/services for a period of time while new supplier is selected. ◦ Cost to re-tender and select a supplier ◦ Cost of transition to a new supplier	Major	Rare	Medium	Perform reference checks and financial stability checks.
Services are not provided in accordance with quality standards	◦ Client health and safety at high risk ◦ Reputational damage ◦ Increased liability cost to rectify issues	Severe	Possible	Very High	Check the supplier's certifications and capability and audit checks of employees.
Products are not delivered on time.	◦ Time delays in meeting business objectives and reaching outcomes	Moderate	Unlikely	Low	Perform reference checks with other customers.

Appendix 8 – Assessment Methodology (2 minute read)

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.

Stage One: Expression of Interest Assessment

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

- the application meets all eligibility criteria*

- the application clearly aligns with one of the Investment Priorities

- 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.

Secretariat team members will complete a Conflict of Interest process.

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.

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 (ie a score of 0 or 1) 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.

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
Project Details - Section weighting: 40% of total project weighting	
Strategic alignment **Significance of problem or opportunity** *(40% of section weighting)*	• The proposal aligns with one of the Workplace Injury Prevention Grant investment priorities and gives a clear reason why the project is necessary • The proposed initiative is strongly relevant for the New Zealand workplace health and safety system, industry/ sectors, and workers in reducing injuries and harm • The application describes how significant the problem/opportunity is to workplaces benefitting from the proposal • The proposed initiative does not significantly duplicate or overlap with on-going or completed projects, programmes, or research programmes
Objectives/ Outcomes and Benefits **Return on Investment (ROI)** *(60% of section weighting)*	• The application gives confidence that the objectives (in SMART format) will be achieved • There is a clear and logical connection/path between the intervention's outputs and the stated outcomes and benefits (intervention logic model) • The application provides a sound monitoring and evaluation approach with KPIs that are suitable to the intervention • The application gives confidence that the ROI will be achieved
Knowledge Transfer – Section weighting: 25% of total project weighting	
Knowledge Transfer and Extension Plan *(100% of section weighting)*	• The application provides confidence that the knowledge and learnings from the project will be disseminated through the industry/sectors • The application provides evidence of a sound KTE plan that would ensure continuation of benefits after ACC funding has concluded
Project Budget and Funding– Section weighting: 10% of total project weighting	
Project budget and funding *(100% of section weighting)*	• The application provides evidence that the grant, and any financing from other sources, will achieve the project's initiatives/activities.
Project Implementation and Governance – Section weighting: 25% of total project weighting	
Project Planning, Collaboration and Risk Management	• The application demonstrates strong collaboration and engagement with stakeholders/workers in the health and safety system

(60% of section weighting)	• The application identifies potential project risks and barriers to success and outlines their mitigation.
Ability to deliver and Project implementation and Governance *(40% of section weighting)*	• The proposed team has the mix of complementary skills, knowledge and resources to deliver the proposed intervention(s) within time and budget. • The proposed project management and governance groups provide confidence to ACC that the decisions will ensure the outcomes and benefits are achieved

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 is fairly reflected.

- Clear: the rating decision made aligns with the proposal content and assessment comments

- Consistent: all Assessors have clear guidelines include 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 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.

Appendix 9 – Other important information (1 minute read)

The standard grant conditions and other important information are provided in the funding agreement[15] 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.

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

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

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).

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[15] A copy of the funding agreement template is available on the ACC website

Appendix 10 – References

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Appendix 11 – 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. For list of AEPs https://www.acc.co.nz/for-business/understanding-your-cover-options/aes/
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.
Confidential Information	Information that: • is by its nature confidential; • is marked by either ACC or an applicant as 'confidential', 'commercially sensitive', 'sensitive', 'in confidence', 'top secret', 'secret', 'classified' and/or 'restricted'; • is provided by ACC, an applicant, or a third party in confidence; • ACC or an applicant knows, or ought to know, is confidential. Confidential information does not cover information that is in the public domain through no fault of either ACC or an applicant.
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: • actual: where the conflict currently exists • potential: where the conflict is about to happen, or could happen, or • perceived: where other people may reasonably think that a person is
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.
GST	The goods and services tax payable in accordance with the New Zealand Goods and Services Tax Act 1985.
Intellectual Property	All intellectual property rights and interests, including copyright, trademarks, designs, patents and other proprietary rights, recognised or protected by law.

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.
Non-Public Service Departments	As defined by the State Services Commission, see https://www.ssc.govt.nz/state_sector_organisations
Applicant/ Organisation	The eligible legal entity (or group of entities), which has applied for a workplace injury prevention grant.
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.
Public Service Departments/ State Sector Organisations	As defined by the State Services Commission, see https://www.ssc.govt.nz/state_sector_organisations
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.
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.