

# **Workplace Injury Prevention Grants**

## **Applicant Guidelines**

**Funding Round 3**

**November 2020**

## **Purpose of this document**

The purpose of this document is to support applicants through the application process in the November 2020 funding round of Workplace Injury Prevention Grants.

This document provides:

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

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# 1 Workplace Injury Prevention Grants (3 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](#)<sup>1</sup> to impact New Zealanders through developing, sharing, investing in and implementing solutions for common and relevant workplace health and safety problems.

## 1.1 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).

## 1.2 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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<sup>1</sup> Agents of change can include organisations, industry sector groups, or professional bodies that can influence change in workplace health and safety behaviours and practices.

### Examples (current Grantees' projects)

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#### Innovation



AW Trinder Ltd Load Securing System project will produce an automated throwing, tensioning, retrieval and stowage system for load binding tie-down chains on hauling trucks. It aims to make the forestry transport sector a safer and more accessible workplace by automating dangerous and challenging log truck load securing procedures. The key outcomes will be achieved within the core of the project through technical design innovations, which are independent of truck and trailer design and/or configuration.

#### System Capability & Development



The NZ Federation of Commercial Fishermen aims to develop and implement an online MarineSAFE training program which is to build improved safety leadership and knowledge in the inshore fishing sector of the commercial fishing industry. By providing a consistent approach to safe work practices for inshore fishers, a culture of safety will be developed which is transferrable across the industry.

## 1.3 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. For example, in the February 2019 funding round three DHBs (Auckland, Hawke's Bay and Hutt Valley) applied collectively for the Grants. When applying as a collective, one of the organisations should be named as the main applicant.

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.

### 1.3.1 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:
  - 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.

## 1.4 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](mailto: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.

## 2 About this funding round (8 minute read)

### 2.1 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/](https://accnz.smapply.io/prog/workplace_injury_prevention_grants/)<sup>2</sup>). Both EOI and full applications are to be submitted in SM Apply.

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. Only those pre-applicants deemed qualified by ACC will receive the invitation to submit a full application for a grant.

Invited applicants submit a full application which will be subject to a rigorous assessment process using the [WIP Grants assessment criteria](#). ACC 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.

Table 1 Application and assessment process

Stage 1: Expression of Interest	
1. <b>Registration</b> (opens 5 Nov)	<ul style="list-style-type: none"> <li>Interested applicants create an account on <a href="#">SM Apply</a>, the online application portal.</li> </ul>
2. <b>Submission of EOI</b> (closes 19 Nov)	<ul style="list-style-type: none"> <li>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.</li> </ul>
3. <b>Assessment of eligibility, alignment to investment priorities and outcomes</b>	<ul style="list-style-type: none"> <li>ACC Workplace Injury Prevention (WIP) Grants Secretariat reviews all EOI submissions against the eligibility criteria and investment priorities.</li> <li>ACC decides if the submissions are eligible.</li> </ul>
4. <b>Invitation to submit full application</b> (sent on 27 Nov)	<ul style="list-style-type: none"> <li>ACC invites eligible applicants to submit a full application on SM Apply.</li> <li>Feedback is provided to ineligible applicants through email.</li> </ul>
Stage 2: Full application	
1. <b>Submission of full application</b> (closes 22 Jan 2021)	<ul style="list-style-type: none"> <li>Applicants submit a full application on SM Apply.</li> </ul>

<sup>2</sup> This link will be live on 5 November 2020

<b>2. Completeness check</b>	<ul style="list-style-type: none"> <li>ACC WIP Grants Secretariat checks submitted applications for completeness.</li> </ul>
<b>3. Assessment/ Scoring</b>	<ul style="list-style-type: none"> <li>Subject Matter Assessors evaluate completed applications and allocate scores based on the assessment criteria.</li> </ul>
<b>4. Moderation</b>	<ul style="list-style-type: none"> <li>ACC moderation team reviews the scored applications and recommends applications for funding/contract discussions based on:                             <ul style="list-style-type: none"> <li>Risks and opportunities of the proposed intervention</li> <li>Outcomes ACC is seeking</li> <li>Consideration on the Return on Investment (ROI) of the proposed intervention</li> <li>Available budget for the funding round</li> </ul> </li> <li>In evaluating applications, ACC may also consider any of the following additional information:                             <ul style="list-style-type: none"> <li>any other relevant information that ACC may have in its possession</li> <li>matters of trust and confidence.</li> </ul> </li> </ul>

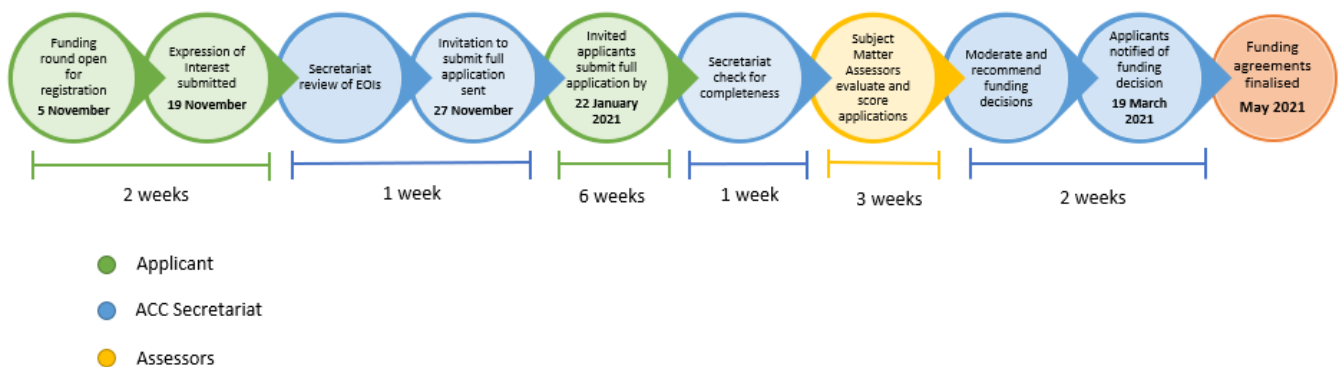
## 2.2 Funding decisions

Based on the results of the assessment process see section 2.1 ACC will make the final decision for applications that are approved for funding. ACC may impose any additional conditions it sees fit, 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 ACC reserves 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.

## 2.3 Important dates

The key dates for the November 2020 funding round of Workplace Injury Prevention Grants are as follows:



## 2.4 Investment Priorities

ACCs investment priorities provide the focus and sets expectations of the outcomes that ACC is 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.

### 2.4.1 Sprains and Strains

#### What are sprains and strains

Sprains and strains are a range of symptoms, injuries and disorders which affect the muscles, tendons and / or ligaments. The onset of sprain and strain symptoms can be acute or gradual and can be the result of mild to strenuous activity.

Sprains and strains can develop from a combination of factors - the physical characteristics of work and work tasks, the way work is organised, your work environment, and personal factors can all contribute significantly to the onset of Musculoskeletal Disorder (MSD) injuries.

Another contribution making an impact to sprains and strains is what we call Psychosocial factors. These factors are increasingly recognised as playing a significant role in the likelihood and severity of sprains and strains.

**Psychosocial factors** are aspects of the design and management of work, and its social and organisational contexts. These include work demands, job control, balance of effort/reward, and organisational fairness. When referred to as hazards (or risks), these factors may have the potential to cause psychological or physical harm. Conversely, attention to psychosocial risk factors can be protective of workers' psychological and physical health. Interpersonal 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, and low rewards.

#### Problem

Over the past five years, sprains and strains claims have increased by 30% compared with other types of injuries that have increased by 6%. In 2017, sprains and strains made-up the highest proportion of work-related claims at 38%, costing ACC \$132 million and removing 1.3 million work days from businesses. Half of all sprains and strains injury claims are for lifting; one-in-five is for lifting heavy objects

**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.

Previous solutions implemented to reduce the risk of sprain and strain injuries have focused on a few risk factors at the individual level e.g. support equipment, reducing physical risks in the workplace, or training staff on how to lift appropriately.

Current research suggests that a systems thinking approach like - 'Good Work Design' and the principles it uses may be more effective at reducing the likelihood and severity of sprains and strains, 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, and
- workers' physical, emotional, and mental capacities and needs.

More information about 'Good Work Design' can be found on Safe Work Australia's [website](#), including the [Principles of Good Work Design Handbook](#).

## Opportunity

Organisations that would like to build and deliver a solution to address the Sprains and strains investment priority, could benefit from ACC's November 2020 round of Workplace Injury Prevention Grants.

Applications must be focused on either innovation or system capability development. They must evidence application of systems thinking and address at least one of target sectors below (\*includes two core business activities within the sector of Transport):

- Construction
- Manufacturing
- Agriculture
- Transport (\*includes organisations with a core business activity of Postal services and Warehousing)

## Outcomes

All applications must evidence each of the **outcomes** ACC is seeking from the Sprains and Strains investment priority:

1. Show sustainable collaboration with industry leaders, businesses, unions and workers to drive initiatives to reduce the risk of workplace related sprains and strains in the target sectors.
2. Within three years evidence a measured reduction in the number of work-related sprains and strains claims from your targeted sector/s.
3. Evidenced application of Good Work Design principles or other systems thinking principles.
4. Within three years implement enduring initiatives that focus on improved psychosocial risk management that delivers positive health outcomes.

## 2.4.2 Sector Leadership

### What is sector leadership

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.

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

## Problem

The Independent Taskforce on Workplace Health and Safety identified inadequate leadership as one of the factors affecting poor workplace health and safety performance in New Zealand. They found that there was little leadership being shown by people and organisations who have influence in the workplace. Achieving good outcomes requires all influential stakeholders to take greater responsibility and be accountable for workplace health and safety.

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 initiatives. In order 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.

## Opportunity

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

Organisations who have the capacity to lead and drive sustainable health and safety performance within their sector by collaborating with other stakeholders, could benefit from ACC's August 2020 round of Workplace Injury Prevention Grants.

Applications must be focused on either innovation or system capability development. They must be applicable in target sectors, industries, sub-industries of:

- Agriculture
- Manufacturing
- Construction
- Healthcare and Social Assistance
- Transport, Postal and Warehousing

## Outcomes

The **outcomes** ACC is seeking for the Sector Leadership investment priority are:

1. 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.
2. A measurable reduction in the number of workplace injury claims from the target sectors as a result of sector led initiatives.

- 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.

All applications must demonstrate how these outcomes will be delivered.

## 3 Key considerations before making an application

(1 minute read)

### 3.1 Previous applicants

Please note that if you have previously applied for the WIP Grants, you will need to provide the following information in your EOI:

- how your proposal differs from the previous application, and
- responses to any comments or feedback provided by ACC on your previous application.

### 3.2 Return on Investment

ACC is 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 ACC estimate the return on investment, there is key information about your intervention you'll need to provide as part of the full application (outlined in page 16 of this document). Your application will need to demonstrate how you will achieve the stated reach and target.

### 3.3 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. ACC emphasises 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. 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.

For more information about the KTE plan refer to [Appendix 2](#).

## 4 Making your application online (4 minute read)

Both Expression of Interest and Full application need to be submitted to ACC through the online application portal "SM Apply" before the close off date and time (refer to [Important dates](#)).

We advise applicants to apply as early as possible. 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 below 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 1 – Navigating SM Apply](#).

## 4.1 Application form templates

The following pages 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 make a selection or complete a table.

### 4.1.1 Expression of interest form

Required Information	Word Limit
<b><i>Applicant Details and Contact</i></b>	
<b>*Organisation Name</b>	Enter the name of the legal entity applying for the grant. -
<b>*Postal address</b>	Address of organisation named above. -
<b>*New Zealand Business Number (NZBN)</b>	Enter the NZBN of the organisation named above. This is usually a 13-digit number. -
<b>*ACC Number</b>	Enter the organisation's ACC number. You may contact our Business call centre at 0800 222 776 or send an email to <a href="mailto:business@acc.co.nz">business@acc.co.nz</a> to inquire about your ACC number. -
<b>GST Number</b>	Enter the applicants GST number -
<b>*Primary contact name</b>	Enter the full name of the primary contact person for the application. This will be the only person who receives all communication relating to the application. -
<b>*Email address</b>	Enter the email address of the person named above. -
<b>*Phone number</b>	Mobile or landline number of the person named above. -
<b><i>Eligibility Gateway</i></b>	
<b>*Eligibility</b>	Confirm that your application meets <b>all</b> eligibility criteria. -  <i>Application objective/content</i> <ul style="list-style-type: none"> <li>Clearly aligns with one of the investment priorities for this funding round and delivers to the outcomes ACC is seeking.</li> <li>Demonstrates health and safety leadership and collaboration with other partners in your industry or supply chain.</li> <li>Creates benefits contributing to improved health and safety in New Zealand workplaces.</li> <li>Is <b>not</b> for subsidising a health and safety solution or product for specific businesses. For example, health and safety systems, equipment or machinery, training or education programmes.</li> </ul> <i>Applicant organisation</i> <ul style="list-style-type: none"> <li>Is a registered legal entity in New Zealand.</li> </ul>

	<ul style="list-style-type: none"> <li>• Operates in New Zealand and will undertake the project in New Zealand.</li> </ul> <p><i>Funding</i></p> <ul style="list-style-type: none"> <li>• Is for an amount between \$50,000 and \$500,000 (GST exclusive) per year for a maximum of three years. If successful, the amount of funding we approve will depend on the scope of your intervention and the health and safety benefits your intervention aims to create.</li> <li>• Will be co-funded by participating organisations. The co-funding amount must be at least 20% of the requested ACC contribution and can either be in cash or in-kind.</li> <li>• Is <b>not</b> for funding any of the following activities and expenditure:             <ul style="list-style-type: none"> <li>○ long-term (i.e. more than three years) on-going costs of an organisation, business, community group, or trust</li> <li>○ long-term on-going costs of a trial or project</li> <li>○ capital expenditure including heavy machinery, motor vehicles, laptops, etc.</li> <li>○ retrospective costs</li> <li>○ local or central government fees or charges</li> <li>○ commercial product trials</li> <li>○ product commercialisation</li> <li>○ Intellectual Property Rights development for private good (<i>continues in next page</i>)</li> <li>○ international travel</li> <li>○ sponsorship</li> <li>○ study fees or</li> <li>○ costs associated with publishing journal articles or peer review.</li> </ul> </li> </ul>	
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**Executive Summary**

<p><b>*Project summary</b></p>	<p>Briefly describe your proposed intervention, its objectives and how it will achieve the outcomes that ACC is seeking.</p> <ul style="list-style-type: none"> <li>• The workplace health &amp; safety problem that you are solving</li> <li>• The sector(s) targeted</li> <li>• The outcomes and benefits that will be created</li> <li>• How you will collaborate with other groups in the health and safety system to achieve the objectives and outcomes of your initiative</li> <li>• How workers will be engaged</li> </ul> <p>This is the opportunity to demonstrate why ACC should invest in the intervention and why the WIP Grants is the right opportunity for the proposal.</p> <p>Include in your description, the amount being requested and the indicative project length.</p>	<p>350 words</p>
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<p><b>*Investment priority</b></p>	<p>Confirm that your application aligns to one of the investment priorities for this funding round and the outcomes we seek. (<a href="#">Workplace Injury Prevention Grants Investment Priorities 2020</a>)</p> <ul style="list-style-type: none"> <li>• Strains &amp; sprains</li> <li>• Sector leadership</li> </ul> <p>Tell us how your proposed intervention clearly aligns with the investment priority and the outcomes you have selected.</p>	200 words
<p><b>Impact on New Zealand Workplace Health and Safety</b></p>		
<p><b>*Benefit to NZ workplaces</b></p>	<p>Describe how your intervention will deliver benefit to New Zealand workplaces. Elaborate on:</p> <ul style="list-style-type: none"> <li>• Why the intervention is needed or relevant</li> <li>• The extent of potential benefits, including target population</li> <li>• The intervention logic – how the outputs will achieve outcomes and lead to benefits</li> </ul> <p>Keep in mind that outcomes and benefits must be measurable.</p>	250 words
<p><b>Additional information required from previous applicants</b></p>		
<p><b>*Previous applicants</b></p>	<p>Confirm if you have previously applied for the WIP Grants. If yes, tell us how this proposal differs from previous applications and how you have addressed comments or feedback provided by ACC if any.</p>	200 words

## 4.1.2 Full application form

Required Information	Word Limit	
<p><b>Application Summary</b></p>		
<p><b>*Project title</b></p>	<p>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.</p>	10 words
<p><b>*Investment priority and sector</b></p>	<p>Your project needs to align to one of the investment priorities and outcomes. Select which investment priority it aligns to.</p> <ul style="list-style-type: none"> <li>• Sprains and strains</li> <li>• Sector leadership</li> </ul> <p>Confirm the main sector your intervention is targeted to. You can only select one option.</p>	-
<p><b>*Project summary</b></p>	<p>Briefly describe your proposed intervention, how it aligns to the investment priorities and the outcomes it seeks to achieve.</p>	200 words

<b>*Project duration</b>	Enter the proposed start date of your project and the duration in weeks. If your application is approved, we'll confirm these dates with you as part of finalising the funding agreement.	-
<b>*Grant category</b>	Select which category your application fits within. You may only select one option. <ul style="list-style-type: none"> <li>• Innovation</li> <li>• System capability development</li> </ul>	-
<b>*Project location</b>	Select whether your project has National or Regional coverage. If you have selected regional, also select which regions will benefit from your project.	-
<b>Project Details</b>		
<b>*Problem/ opportunity</b>	Tell us about the workplace health and safety problem or opportunity that your intervention seeks to address. What is its significance and why is the intervention necessary to NZ workplaces and workers?  Expand on how it aligns to the investment priorities 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
<b>*Objectives</b>	Describe your intervention's main objectives and how they will be achieved. Objectives should be 'SMART': <ul style="list-style-type: none"> <li>• Specific - should target a specific area or answer a specific need</li> <li>• Measurable - should be quantifiable</li> <li>• Attainable - should be realistic, based on available resources and constraints</li> <li>• Relevant - aligns with other business objectives to be considered worthwhile</li> <li>• Time-bound - has a deadline or defined end.</li> </ul>	400 words
<b>*Outcomes and Benefits</b>	Describe the outputs, outcomes and benefits that your intervention will create. Explain how the project outputs achieve outcomes and lead to benefits. <ul style="list-style-type: none"> <li>• An outcome is a change you want to create from the use of project outputs. For example, increased awareness of critical risks.</li> <li>• A benefit is a measurable improvement that you want your target audience to gain. For example, a reduction in injuries and near misses.</li> </ul>	2000 words

<b>*Monitoring and evaluation</b>	<p>Tell us how you will monitor progress of your objectives and describe how achievement of outcomes and benefits will be measured and evaluated. Identify key performance indicators (KPIs) for the outcomes and benefits.</p> <p>An independent evaluation of your project is required. This should be done upon completion of the project, to evaluate the project's performance and achievement of objectives, outcomes and benefits.</p>	2000 words
<b>*Return on investment (ROI)</b>	<p>Provide information that will help determine the ROI for your proposed intervention.</p> <ul style="list-style-type: none"> <li>• <i>Target population</i> – Who is the intervention targeting (sector, sub-sectors, groups or business segments)?</li> <li>• <i>Uptake</i> – How many individuals in the target population are likely to take action as a result of the intervention?</li> <li>• <i>Effectiveness</i> – How effective will the intervention be in reducing the rate of injuries? What types of injury will the intervention target?</li> </ul> <p>Describe how you plan to achieve the target reach and uptake of your intervention.</p> <p>If you're providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).</p>	2000 words
<b><u>Knowledge Transfer and Extension Plan</u></b>		
<b>*Priority audience</b>	<p>Tell us who you are planning to share and extend the knowledge and outcomes of your proposed intervention. Including:</p> <ul style="list-style-type: none"> <li>• specific sectors or industries</li> <li>• leaders/champions</li> <li>• workers or worker representatives/groups.</li> </ul> <p>Why have you selected this audience?</p>	1000 words
<b>*KTE activities</b>	<p>Describe the activities you will deliver to engage with your target audience.</p>	1000 words
<b>*Practice and behaviour change</b>	<p>Describe what change/s in behaviour you want to achieve as a result of your project. What actions would you like the priority groups to adopt within their own organisations?</p> <p>Explain how you plan to achieve the change based on your understanding of the priority audience's behaviour.</p>	2000 words
<b>*Monitoring – KTE Plan</b>	<p>How will you know that the intended behaviour change is taking place? 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.</p>	-

<b>*Sustainability</b>	Describe how benefits will continue after ACC funding has ended.	2000 words
<b><i>Project Implementation and Governance</i></b>		
<b>*Project plan</b>	List the initiatives/activities that will deliver the proposed objectives and outcomes. Include the timing of delivery.	-
<b>*Collaboration</b>	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?	1000 words
<b>*Worker engagement</b>	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
<b>*Project team</b>	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).	-
<b>*Team capability</b>	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
<b>*Sub-contractors</b>	If you're intending to use the services of sub-contractors, provide names, organisation and role/service they will deliver for the project.	-
<b>*Project management methodology</b>	Describe the project methodology you will implement to successfully deliver the project to the budget and timeframes stated.	1000 words
<b>*Risk management</b>	Describe potential project risks and barriers to success and outline how they will be mitigated. Refer to <a href="#">Appendix 4</a> for the risk management framework.	-
<b>*Governance</b>	Describe the governance structure for the project. ACC needs to have confidence that applicants have a governance structure in place to provide decision making, guidance and advice to the project.	1000 words
<b><i>Project budget and funding</i></b>		
<b>*Funding requested</b>	Enter the total funding amount being requested from ACC and amount of co-funding/contribution.	-
<b>*Project budget</b>	Provide details of the project budget for each year of implementation. Refer to <a href="#">Appendix 3</a> for details.  You may attach an Excel spreadsheet of your budget calculations to your application. However, you still need to complete the tables in SM Apply. Failure to do so can mean that the application will not progress further.	-
<b>*Other government funding</b>	Confirm if you have received or applied for any other government funding for the proposed project.	-

	If yes, please identify the amount of government funding, and the source.	
<b>Other supporting information</b>		
<b>Upload attachments</b>	<p>Upload any further information or documentation to support or verify any statements made in your application.</p> <p>The following file formats are accepted:</p> <ul style="list-style-type: none"> <li>• PDF (.pdf)</li> <li>• MS Word (.doc or .docx)</li> <li>• MS Excel (.xls or .xlsx)</li> <li>• PowerPoint (.ppt or .pptx)</li> <li>• Photos or images (.png, .jpg or .jpeg)</li> </ul>	-
<b>Declaration</b>		
<b>*Applicant declaration</b>	<p>A declaration is required acknowledging that:</p> <ul style="list-style-type: none"> <li>• the person submitting the application is authorised to submit the application on behalf of the legal entity</li> <li>• all the information supplied in the application is true, correct and complete</li> <li>• the applicant has good workplace health and safety performance and have not been or are currently being investigated or prosecuted by WorkSafe NZ</li> <li>• the applicant will abide by the privacy confidentiality, confidential information and confidential grants information as detailed in the applicant guidelines</li> <li>• your ACC levy payments are not in arrears.</li> </ul>	-

## 5 Other important information (1 minute read)

The standard grant conditions and other important information are provided in the funding agreement<sup>3</sup> including:

- ownership of intellectual property
- confidentiality
- conflict of interest

### Ethics

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

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

Applicants must not engage in collusive, deceptive or improper conduct in the preparation of their applications or other submissions or in any discussions or negotiations with ACC. Such behaviour will

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<sup>3</sup> A copy of the funding agreement template is available on the [ACC website](#)

result in the applicant being disqualified from participating further in the grant process.

## Elimination

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

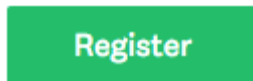
- the applicant has failed to provide all information requested, or in the correct format, or materially breached a term or condition of the grant
- the application contains a material error, omission or inaccuracy
- the applicant is in bankruptcy, receivership or liquidation
- the applicant has made 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).

## Appendix 1 - Navigating SM Apply (3 minute read)

Applicants register and apply through the online application portal SM Apply which opens for registration on 9am NZDT, Thursday 5 November 2020. The following link takes you to the Workplace Injury Prevention Grants application site: [https://accnz.smapply.io/prog/workplace\\_injury\\_prevention\\_grants/4](https://accnz.smapply.io/prog/workplace_injury_prevention_grants/4)

### 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:**
  - First Name
  - Last Name
  - Email
  - Password/Confirm Password

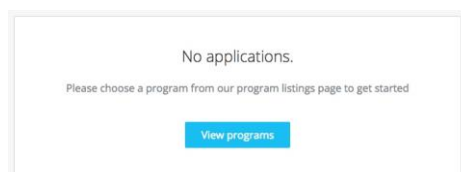
The system will send a verification link to the email address provided. Open the email and click the “Confirm email address” box to complete the registration process. Note: You will not be able to complete and submit your application if your email has not been verified.

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:

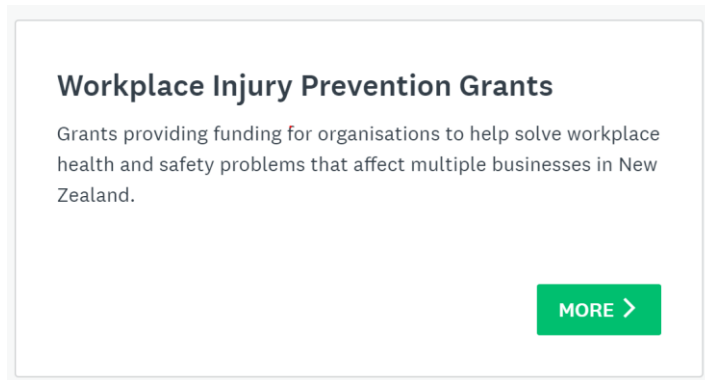
1. Click View Programs



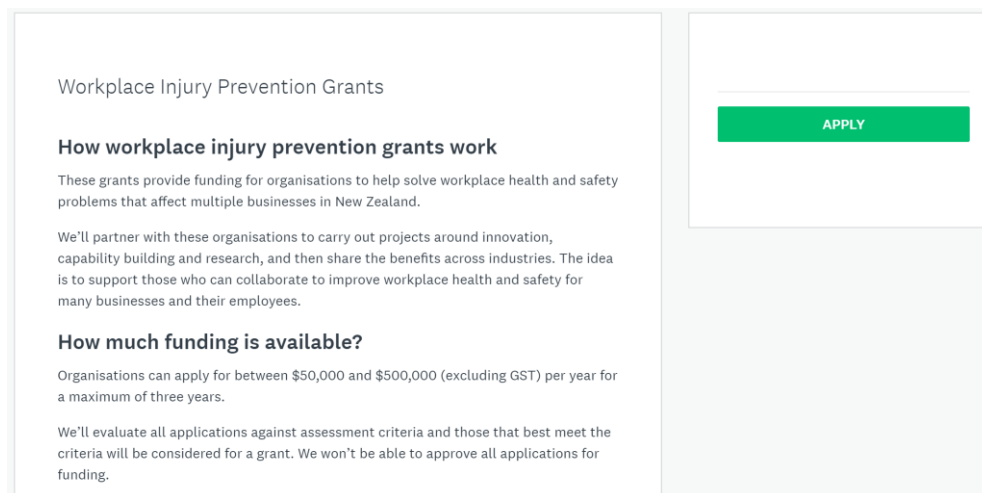
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<sup>4</sup> This link will be live from 5 November 2020

2. Click the **More** button under Workplace Injury Prevention Grants

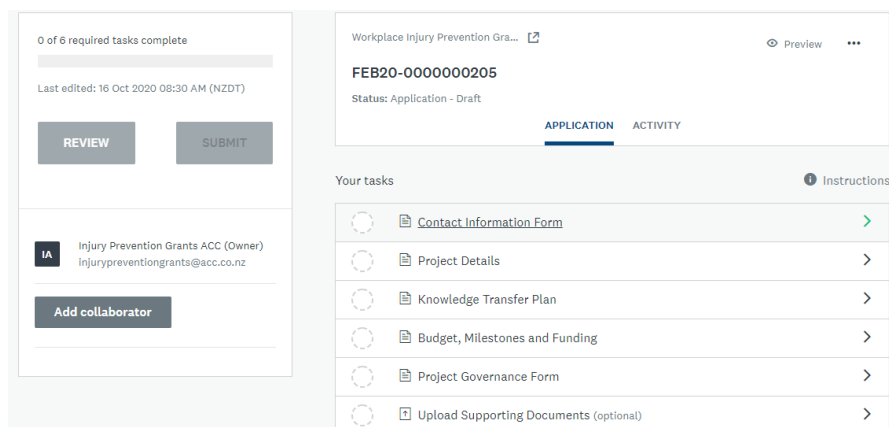


3. You will be able to see additional information and you can begin a new application by clicking the **Apply** button on the right.

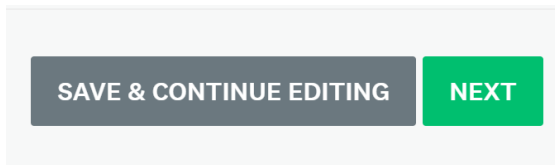


## The application system

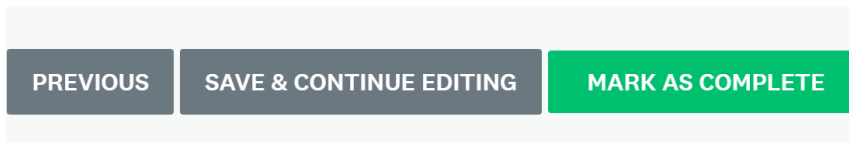
- The main application page provides an overview of your progress. From here you can also add collaborators, complete and edit individual application tasks, review the application, and submit. Note that you cannot click on the **Submit** button if you have not completed all the required tasks.



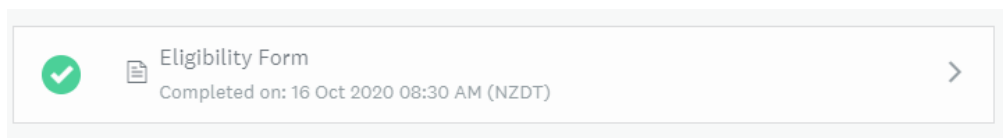
- To view the entire application including attachments/uploaded documents, click on **Preview**
- “Your tasks” is a list of the application form sections. Click on the arrow on the right to start that task.
  - The document icon (📄) indicates a form that you need to fill-in
  - The upload icon (📁) requires 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.



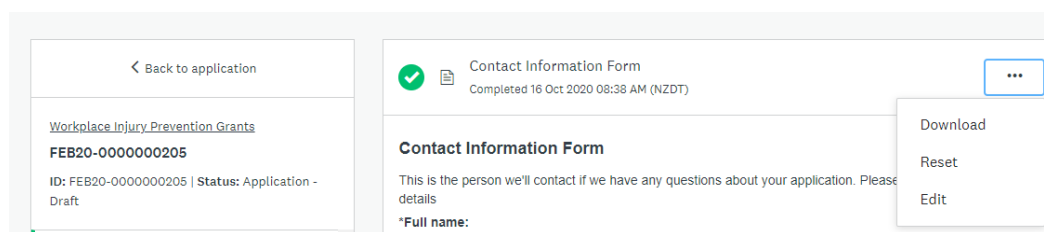
- The **Next** button takes you to the next page of that section/task. Once you have completed all the pages of a particular task, there will be a **Mark as Complete** button at the bottom of the screen.



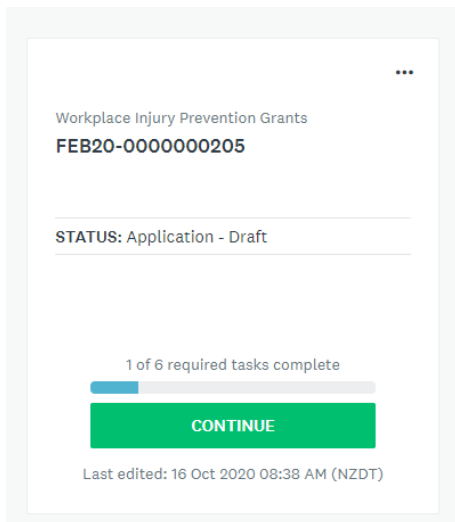
- If any part of the form is incomplete or incorrectly formatted, an error message will appear on your screen. Scroll through the form to find the errors.
- Once you click the **Mark as Complete** button, a green check mark icon will appear next to the task in the “Your tasks” list.



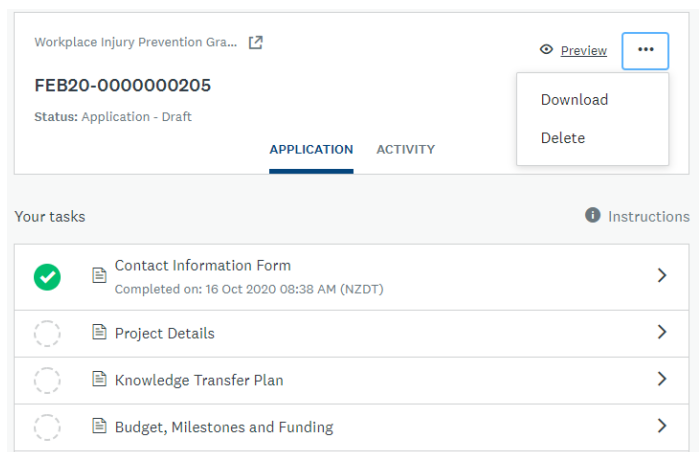
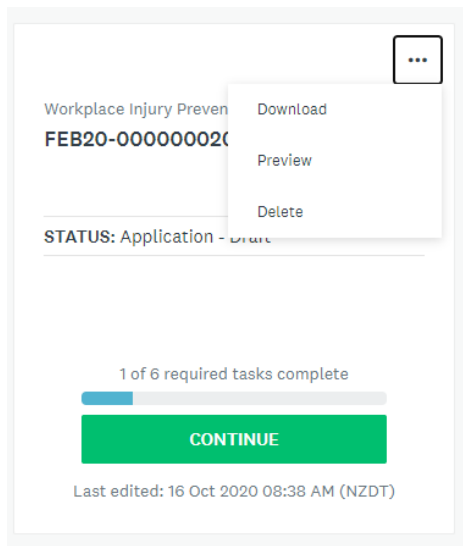
- You can still edit a completed task before submitting. Open up the task by clicking on the arrow. Click on the three dots to view more options. Click on **Edit**



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



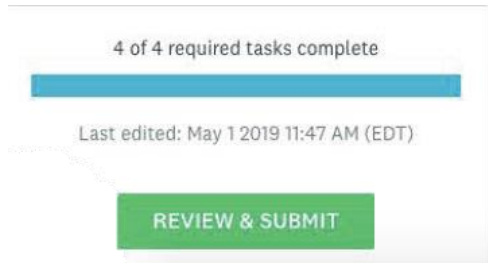
- You can also download a copy of your application. From the “My Applications page”, click on the three dots in the top right corner of the application you wish to download and click **Download**. You can also do this from within the application.



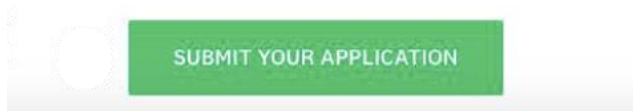
## Submitting your application

Once all tasks are completed, submit your application by:

1. Within the application, click on the **Review & Submit** button



2. 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 2 - Knowledge Transfer and Extension Plan

(5 minute read)

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

### Knowledge transfer and extension plan

Knowledge transfer and extension (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<sup>5</sup>. When identifying the groups, consider the following:

- Who is likely to act on or take up the knowledge or technology? Determine their readiness, capacity and appetite for adoption.
- 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

ACC applies 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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<sup>5</sup> Imagine Canada 2007. Effective Knowledge Transfer & Exchange for Non-Profit Organisations: A Framework. Ontario, Canada

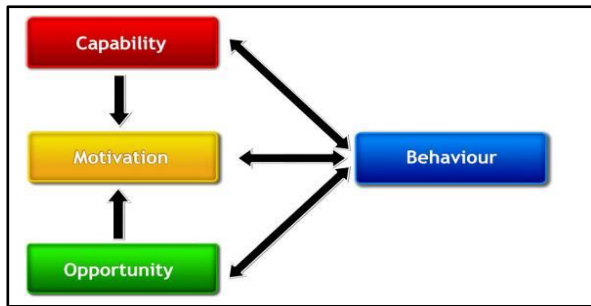


Figure 1 The COM-B system - a framework for understanding behaviour<sup>6</sup>

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 2 below shows a knowledge transfer spectrum that highlights the level of outreach and level of interaction for different types of activities. The arrows point toward higher levels.

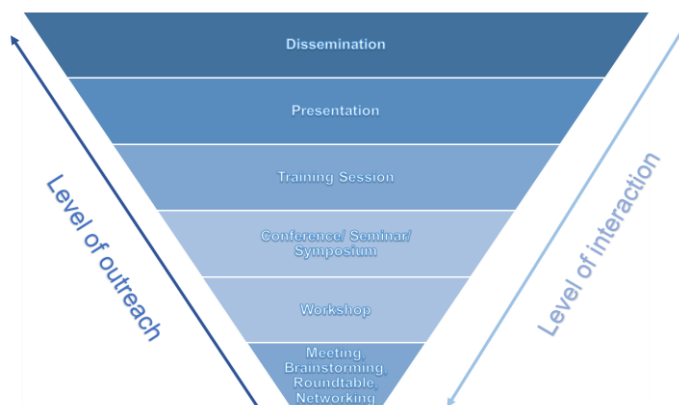


Figure 2 Knowledge Transfer Spectrum<sup>5</sup>

<sup>6</sup> 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)<sup>7</sup>. Dissemination activities can reach a wide audience depending on the means of delivery (ex. 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<sup>8</sup>.

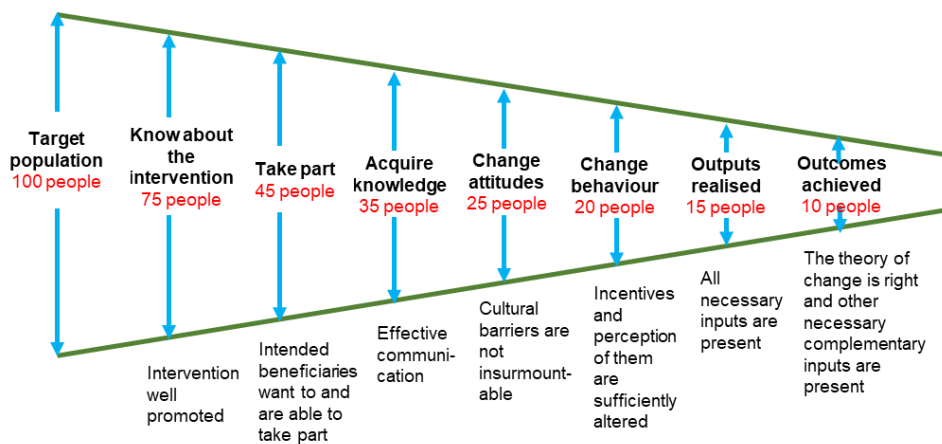


Figure 3 The funnel of attrition

## Monitoring and Evaluation

Monitoring and evaluation will provide insight on how you're progressing with the desired practice or behaviour change so that you can make necessary adjustments in your planned activities. 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<sup>9</sup>.

<sup>7</sup> Owens (2001). Dissemination: A Key Element of the ATE Program. Western Michigan University

<sup>8</sup> International Initiative for Impact Evaluation. <https://www.3ieimpact.org/blogs/using-causal-chain-make-sense-numbers>

<sup>9</sup> 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 are data that you collect directly (e.g. through surveys, interviews, and direct observation). Secondary data are data collected by other organisations.

### Sustainability

Sustainability is the continuation of benefits after ACC funding has ended. Focus should be on sustaining the progress of benefits into the future rather than on sustainable programmes or projects. Projects are not sustainable as they have a defined start and finish date. Maintaining benefit flows after ACC funding is completed assumes that the stakeholders will provide an appropriate level of financial, technical and managerial resources.

Some options for financial sustainability include co-funding, user-pays, 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.

## Appendix 3 – Budget and Funding (2 minute read)

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

- long-term (i.e. longer than the three-year project term) on-going costs of an organisation, business, community group, or trust
- long-term on-going costs of a trial or project
- capital expenditure including heavy machinery, motor vehicles, laptops, etc.
- retrospective costs
- local or central government fees or charges
- commercial product trials
- product commercialisation
- Intellectual Property Rights development for private good
- international travel
- sponsorship
- study fees or
- costs associated with publishing journal articles or peer review.

### Co-funding

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

In-kind contributions are materials, equipment, services or personnel that contribute to project implementation. No money will change hands, but costs still have a financial value. You need to provide an estimate of the dollar/cash value of in-kind contributions.

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

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

### Budget development

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

**SM Apply table example**

<b>Year 1</b>					
<b>Activities</b> (examples only)	<b>Cost type</b> (examples only)	<b>ACC Amount</b>	<b>Non-ACC amount (cash)</b>	<b>Non-ACC in-kind</b>	<b>Total</b>
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 at: <https://www.ird.govt.nz/income-tax/income-tax-for-businesses-and-organisations/types-of-business-expenses/claiming-vehicle-expenses/kilometre-rates-2019-2020-to-current-income-year>
  - Domestic flight costs should be estimated at the lower end of the pricing scale. Flights should be booked at the lowest fare price available at the time of booking or the 'best fare of the day', considering the most time efficient and cost-effective options  
Unnecessary overnight stays should be avoided. ACC does not fund international travel.
- 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 4 - 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
<b>TIME</b>	Insignificant delays, minimal impact on project timeline.	Non-critical tasks are not completed on time.	Critical tasks not completed on time.  Likely downstream impacts to project timelines and delivery dates. Timeline is behind schedule.	Key milestones are missed and significant delay to the project delivery date.  Timeline is behind schedule with a key date or critical missed.	Severe impact to schedule, missed critical fixed delivery dates. Significantly behind schedule with multiple key dates/ milestones missed.
<b>COST</b>	Financial loss or budget overrun the lesser of 10% or \$250k of phase/project.	Financial loss or budget overrun the lesser of 10-15% or \$500k of phase/project.	Budget overrun the lesser of 15-20% or \$1M of phase/project.  The value of change requests and/or variations exceeds 10% of budgeted project contingency.	Budget overrun the lesser of 25% or \$1.5M of phase/project.  The value of change requests and/or variations exceeds 25% of the budgeted project contingency	Budget overrun above 33% or \$2M of phase/project.  The value of change requests and/or variations exceeds 50% of the budgeted project contingency.
<b>QUALITY</b>	Insignificant impact on overall quality of product or service. No action required to achieve planned business outcomes.	Minor impact to the quality of the output, remedied without additional cost.  Limited/few hazards identified or created	Moderate impact on the quality of output  Additional activities or cost required to remedy quality issues  Failure to meet legal or regulatory requirements, and/or potential litigation or penalty notifiable incident.	Considerable impact on quality. Requires significant additional effort during/post project to achieve acceptable levels of performance.  Serious harm injury.  Non-compliance with legal requirements - potential litigation	Severe impacts on the quality of the product or service delivered.  Without remediation the product is considered to be unstable and not fit for production use.  Death of an individual.
<b>SCOPE ACTIVITIES OUTPUT</b>	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.			
<b>RESOURCES</b>	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.
<b>BENEFITS AND OUTCOMES</b>	No impact in overall ability to realise planned benefits.  Additional effort or workarounds required to achieve the intended benefits.	Minor impact in ability to realise planned benefits.  Some of the less fundamental benefits may not be fully realised.	Moderate impact on ability to realise benefits. Additional effort/ manual tasks to achieve benefits.  Minor impact to intended outcomes. Reduced likelihood of attaining primary objectives.	Major impact on ability to realise benefits. Significant additional work required to achieve benefits. Noticeable impact to intended outcomes.  Incident/events/ variations greatly reduce attainment of primary objectives.	Critical benefits will not be realised by the project. Significantly reduced probability of attaining primary objectives. Variation and scope changes significantly erode expected benefits.

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

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

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

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

***Risk tolerance and acceptability***

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

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

## Appendix 5 - Assessment Criteria and Weightings

(2 minute read)

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

Section	Description
<b>Project Details - Section weighting: 40% of total project weighting</b>	
<b>Strategic alignment</b>  <b>Significance of problem or opportunity</b>  <i>(40% of section weighting)</i>	<ul style="list-style-type: none"> <li>The proposal aligns with one of the Workplace Injury Prevention Grant investment priorities and gives a clear reason why the project is necessary</li> <li>The proposed initiative is strongly relevant for the New Zealand workplace health and safety system, industry/ sectors, and workers in reducing injuries and harm</li> <li>The application describes how significant the problem/opportunity is to workplaces benefitting from the proposal</li> <li>The proposed initiative does not significantly duplicate or overlap with on-going or completed projects, programmes, or research programmes</li> </ul>
<b>Objectives/ Outcomes and Benefits</b>  <b>Return on Investment (ROI)</b>  <i>(60% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application gives confidence that the objectives (in SMART format) will be achieved</li> <li>There is a clear and logical connection/path between the intervention's outputs and the stated outcomes and benefits</li> <li>The application provides a sound monitoring and evaluation approach with KPIs that are suitable to the intervention</li> <li>The application gives confidence that the ROI will be achieved</li> </ul>
<b>Knowledge Transfer – Section weighting: 25% of total project weighting</b>	
<b>Knowledge Transfer and Extension Plan</b>  <i>(100% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application provides confidence that the knowledge and learnings from the project will be disseminated through the industry/sectors</li> <li>The application provides evidence of a sound KTE plan that would ensure continuation of benefits after ACC funding has concluded</li> </ul>
<b>Project Budget and Funding– Section weighting: 10% of total project weighting</b>	
<b>Project budget and funding</b>  <i>(100% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application provides evidence that the grant, and any financing from other sources, will achieve the project's initiatives/activities.</li> </ul>
<b>Project Implementation and Governance – Section weighting: 25% of total project weighting</b>	
<b>Project Planning, Collaboration and Risk Management</b>  <i>(60% of section weighting)</i>	<ul style="list-style-type: none"> <li>The application demonstrates strong collaboration and engagement with stakeholders/workers in the health and safety system</li> <li>The application identifies potential project risks and barriers to success and outlines their mitigation.</li> </ul>
<b>Ability to deliver and Project implementation and Governance</b>  <i>(40% of section weighting)</i>	<ul style="list-style-type: none"> <li>The proposed team has the mix of complementary skills, knowledge and resources to deliver the proposed intervention(s) within time and budget.</li> <li>The proposed project management and governance groups provide confidence to ACC that the decisions will ensure the outcomes and benefits are achieved</li> </ul>

## Appendix 6 - 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.
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	<p>Information that:</p> <ul style="list-style-type: none"> <li>• is by its nature confidential;</li> <li>• is marked by either ACC or an applicant as 'confidential', 'commercially sensitive', 'sensitive', 'in confidence', 'top secret', 'secret', 'classified' and/or 'restricted';</li> <li>• is provided by ACC, an applicant, or a third party in confidence;</li> <li>• ACC or an applicant knows, or ought to know, is confidential.</li> </ul> <p>Confidential information does not cover information that is in the public domain through no fault of either ACC or an applicant.</p>
Conflict of Interest	<p>A Conflict of Interest arises if an applicant's personal or business interests or obligations do, could, or be perceived to, conflict with its obligations to ACC under the application for 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:</p> <ul style="list-style-type: none"> <li>• actual: where the conflict currently exists</li> <li>• potential: where the conflict is about to happen, or could happen, or</li> <li>• perceived: where other people may reasonably think that a person is compromised.</li> </ul>
Deliverables	Are a measurable and tangible outcome of a project. They are developed by project team members in alignment with the goals of the project.
Funding Agreement	The written agreement entered by ACC and each successful applicant for the delivery of the project(s).
Grantee	The successful applicant that enters a Funding Agreement with ACC. Also includes Recipient.
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 <a href="https://www.ssc.govt.nz/state_sector_organisations">https://www.ssc.govt.nz/state_sector_organisations</a>
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 <a href="https://www.ssc.govt.nz/state_sector_organisations">https://www.ssc.govt.nz/state_sector_organisations</a>
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.