

# **Workplace Injury Prevention Grants**

## **Applicant Guidelines**

**August 2019 Funding Round**

## Contents

|     |                                                       |    |
|-----|-------------------------------------------------------|----|
| 1   | What is a Workplace Injury Prevention Grant? .....    | 3  |
| 2   | Purpose of this document .....                        | 3  |
| 2.1 | How to contact us for support .....                   | 3  |
| 3   | Important dates .....                                 | 3  |
| 4   | About this funding round .....                        | 4  |
| 4.1 | Investment Priorities .....                           | 4  |
| 4.2 | Types of projects we'll help fund .....               | 4  |
| 5   | Key considerations before making an application ..... | 5  |
| 5.1 | Checking your project is eligible .....               | 5  |
| 5.2 | Return on Investment .....                            | 5  |
| 5.3 | Who can apply .....                                   | 5  |
| 5.4 | Knowledge Transfer .....                              | 6  |
| 6   | Making your application online .....                  | 6  |
| 6.1 | Registering for ARCUS .....                           | 6  |
| 6.2 | Tips for using ARCUS .....                            | 6  |
| 6.3 | Completing the online application form .....          | 7  |
| 6.4 | Submitting your completed application .....           | 11 |
| 7   | Assessment .....                                      | 12 |
| 7.1 | Assessment process .....                              | 12 |
| 8   | Standard grants conditions .....                      | 13 |
| 9   | Other important information .....                     | 15 |
|     | Appendix 1 - Navigating ARCUS .....                   | 17 |
|     | Appendix 2 - Knowledge Transfer Plan .....            | 18 |
|     | Appendix 3 - Budget, Milestones and Funding .....     | 20 |
|     | Appendix 4 - Risk Management Framework .....          | 22 |
|     | Appendix 5 - Assessment Criteria and Weightings ..... | 26 |
|     | Appendix 6 - Glossary of Terms .....                  | 29 |

# 1 What is a Workplace Injury Prevention Grant?

The Workplace Injury Prevention Grants is an ACC programme that provides funding (in the form of co-investment) and support to eligible organisations for the delivery of initiatives that focus on sustainably improving the health and safety of New Zealand workplaces.

## 2 Purpose of this document

The purpose of this document is to support applicants through the process of applying for a grant in the August 2019 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.

### 2.1 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 ARCUS, 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.

## 3 Important dates

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

| Step                                                  | Description                                                                                                                                                                                                                | Date                          |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| <b>Funding round opens</b>                            | Our online application portal "ARCUS" opens. Applicants can now register and submit applications through the online web portal <a href="https://rasp.com.au/reg/accwipg2.aspx">https://rasp.com.au/reg/accwipg2.aspx</a> . | 12pm NZST, 29 August 2019     |
| <b>Funding round closes</b>                           | Funding round closes. All applications to be submitted through the online portal                                                                                                                                           | By 5pm NZDT, 10 October 2019  |
| <b>Assessment process</b>                             | The ACC Grants team undertake assessment of all completed applications                                                                                                                                                     | 11 October – 26 November 2019 |
| <b>Applicants notified of funding round decisions</b> | Applicants will be notified whether their application has been successful or not by email                                                                                                                                  | 12 December 2019              |
| <b>Funding agreements finalised</b>                   | All funding agreements for successful grants signed.                                                                                                                                                                       | 7 February 2020               |

## 4 About this funding round

### 4.1 Investment Priorities

The August 2019 funding round seeks proposals that align to one of the following investment priorities within the health and safety system in sectors with high rates of injury:

1. **Lead and drive an improvement in workplace health and safety performance across industries with high rates of injury, including Manufacturing, Transport and Warehousing, Agriculture and Commercial Fishing**
  - a. by establishing and/or strengthening the capability of industry sector groups, and
  - b. collaborating with worker representatives at the sector group level to provide a sustainable structure for ongoing cooperation beyond the life of the grant.
  
2. **Deliver an innovative solution to improve workplace health and safety outcomes (injury frequency and severity) for workforces overrepresented in injury statistics. Focusing on the factors impacting groups exposed to higher risk for injury including Māori, Pasifika and migrant workers.** The solutions need:
  - a. to be transferable across sectors, with a high proportion of their workforce in at least one of the prioritised workforce groups,
  - b. to demonstrate how the project collaborates with workers and other stakeholders on its design, implementation and governance, and
  - c. to display a strong cultural context for Māori and/or Pasifika and/or migrant workers.

### 4.2 Types of projects we'll help fund

The grants are available one or more of the following categories:

- **Innovation**

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

Successful applications will clearly and concisely demonstrate how they will integrate these solutions into workplace health and safety.

- **System Capability Development**

These projects focus on solving problems of national significance. 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.

- **Applied Research**

These projects focus on high-quality applied research that contributes to the prevention of work-related injuries. Generation of new knowledge in areas where a knowledge gap has been identified, or building on existing body of knowledge progressing towards a better understanding of problems and possible approaches to their solution.

Successful applications will demonstrate clear linkages between the research purpose and the creation of outcomes for New Zealand.

## 5 Key considerations before making an application

### 5.1 Checking your project is eligible

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

| No | Criteria                                                                                                                                                                                                                                                           |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1  | Your project aligns with one of the <a href="#">investment priorities</a> for this funding round.                                                                                                                                                                  |
| 2  | Your project will demonstrate health and safety leadership and collaboration with other partners in your industry or supply chain.                                                                                                                                 |
| 3  | Your project will create benefits contributing to improved health and safety in New Zealand for multiple workplaces.                                                                                                                                               |
| 4  | You are applying for an amount between \$50,000 and \$500,000 (GST exclusive) per year for a maximum of three years. The amount of funding we approve will depend on the scope of your project and the health and safety improvements your project aims to create. |
| 5  | The organisation/s participating in the project will contribute a minimum of 20% of the total cost of the project in cash and/or in-kind.                                                                                                                          |
| 6  | Your organisation is a registered legal entity in New Zealand.                                                                                                                                                                                                     |
| 7  | Your organisation operates in New Zealand and the project will be undertaken in New Zealand.                                                                                                                                                                       |

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

### 5.2 Return on Investment

ACC is required to produce a favourable return on all investments (ROI) for injury prevention purposes. Therefore, we focus our efforts on activities that will be the most effective in preventing injuries, ensuring value for money for the people who fund the scheme.

To help ACC estimate the return on investment, there is key information about your project you'll need to provide outlined in page 8 of this document.

### 5.3 Who can apply

Only organisations can apply, not individuals. Organisations need to be a registered legal entity to apply, for example a university, research institute, business or charity. 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 (see Return on Investment above), for example health and safety improvement for contractors who work on site throughout the supply chain of your sector.

## 5.4 Knowledge Transfer

Knowledge Transfer is the process of engaging and collaborating to share project outcomes with relevant sector/industry stakeholders and organisations to influence behaviour change.

An **important** part of your project is to demonstrate how you will generate outcomes at a scale for example, producing outcomes across a sector. ACC is emphasising the need for knowledge transfer to assist in enabling project outcomes past the end date of the project. As part of your application you will need to develop a Knowledge Transfer Plan.

For more information about Knowledge Transfer Plans and what you will need to do to develop one for your project, refer to [Appendix 2](#).

## 6 Making your application online

Your application will need to be submitted to ACC through the online application portal “ARCUS” before the **round closes at 5pm NZDT, Thursday 10 October 2019**.


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

### 6.1 Registering for ARCUS

Applicants register and apply through the online application portal “ARCUS” which opens for applications from 12pm NZST, Thursday 29 August 2019 and closes at 5pm NZDT, Thursday 10 October 2019. If you registered for the February grants round, you still need to register again for the August grants round.

To create your user login in ARCUS, please click this link <https://rasp.com.au/reg/accwipg2.aspx>. You will receive your user login details within one business day.

### 6.2 Tips for using ARCUS

- you don't have to complete the application form all at once, you can save your application form at any time and come back later
- move between pages by clicking 'Previous' or 'Next', or by clicking section tabs at the top of the page
- we recommend saving your work before navigating to a different section
- after 20 minutes of inactivity, you will be logged out and any unsaved information will be lost
- for questions relating to your online application, please use the messaging system 'Messages' from the online application portal to contact us
- completion of tables within ARCUS are also mandatory, ensure you select “table completed” tick box after each relevant table
- branching questions (a question which leads into another question or required response) are indicated by this icon . Depending on your answer, additional questions may be presented.

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

## 6.3 Completing the online application form

The following pages will guide you through the online application form. The sections of the table shaded pale yellow indicate mandatory questions. You will not be able to submit your application unless you provide an answer.

### 1.0 Eligibility Gateway

| Title/Online portal reference | Requirement                                                                                          |
|-------------------------------|------------------------------------------------------------------------------------------------------|
| 1.2-1.9 Eligibility Gateway   | Before you can apply for funding, you'll need to meet all the <a href="#">eligibility criteria</a> . |

### 2.0 Application Summary

| Title/Online portal reference          | Requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.2 Project title                      | Give your idea/project a short name – Use full words; no acronyms or abbreviations. This name will be used in media releases etc., and to refer to the project during its lifetime.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.3-2.5 Investment priority and sector | <p>Your project needs to align to <b>one</b> of the investment priorities. Select which investment priority it aligns to.</p> <p>For the investment priority “<i>Lead and drive an improvement in workplace health and safety performance across industries with high rates of injury</i>”, you may only select the main sector option. These include: Manufacturing, Transport and Warehousing, Agriculture, and Commercial Fishing</p> <p>For the investment priority “<i>Deliver an innovative solution to improve workplace health and safety outcomes for workforces overrepresented in injury statistics, including Māori, Pasifika and migrant workers</i>” select all options that apply.</p> |
| 2.6 Project summary                    | Briefly describe how your project corresponds to the investment priority and why the Workplace Injury Prevention Grant/ACC should invest in the initiative.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

### 3.0 Applicant Details

| Title/Online portal reference   | Requirement                                                                                     |
|---------------------------------|-------------------------------------------------------------------------------------------------|
| 3.2 Legal entity                | Enter the name of the legal entity applying for grants.                                         |
| 3.3 NZ business number (NZBN)   | Enter the 13-digit number.                                                                      |
| 3.4 ACC number                  | Enter your ACC number.                                                                          |
| 3.5 GST number                  | Enter if applicable.                                                                            |
| 3.6-3.12 Primary contact person | This will be the <b>only</b> person who receives all communication relating to the application. |

## 4.0 Project Description

| Title/Online portal reference        | Requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4.2-4.5 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 4.6 Problem/opportunity              | Demonstrate how your project will address the problem or opportunity in the workplace health and safety system. If you're providing supporting evidence (data and/or research), ensure you provide a reference to the source (e.g. author, year and title).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 4.7 Project objectives               | <p>Describe your project's main objectives and how they will be achieved. Use the 'SMART' format as described below.</p> <ul style="list-style-type: none"> <li>• <b>Specific</b> - should target a specific area or answer a specific need</li> <li>• <b>Measurable</b> - should be quantifiable</li> <li>• <b>Attainable</b> - should be realistic, based on available resources and constraints</li> <li>• <b>Relevant</b> - aligns with other business objectives to be considered worthwhile</li> <li>• <b>Time-bound</b> - has a deadline or defined end.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                      |
| 4.8-4.9 Outcomes and benefits        | <p>Describe the outcomes of your project and the benefits it will create. Describe the proposal benefits, how they will be measured, and how the proposal will be evaluated. Detail the project outcomes and benefits, where:</p> <ul style="list-style-type: none"> <li>• Outcome is the result of the change derived from using the project outputs (e.g. a training programme for business owners). For example, participating businesses increase their investment in health and safety by 20%.</li> <li>• Benefit is the measurable improvement resulting from an outcome that is perceived as an advantage by the stakeholders. For example, the risk for injury, and associated cost, decreases by 20% in participating businesses.</li> </ul>                                                                                                                                                                                                           |
| 4.10-4.14 Return on Investment (ROI) | <p>You'll need to provide information to help ACC estimate the ROI for our investment in your project. Note: approximate values only are required.</p> <p>The four inputs to help calculate the ROI are:</p> <ol style="list-style-type: none"> <li>1. <i>Target population</i> – Who is the intervention targeting? (e.g. sector(s), sub-sector(s), or business segments).</li> <li>2. <i>Uptake</i> – How many individuals in the target population (or groups) are likely to take action as a result of the intervention? (e.g. 40% of reached target population are expected to take up the training programme).</li> <li>3. <i>Efficacy</i> – How effective will the intervention be in reducing the rate of injuries? What will be the approximate percentage reduction in the injury rate in the target population? (e.g. 10% of injuries caused by slips, trips and falls will be avoided in those organisations attending to the training).</li> </ol> |



|                                       |                                                                                                                                                                                     |
|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                       | 4. <i>Decay rate</i> – By how much will the impact of the intervention fade over time? (e.g. training effectiveness is expected to decay at 70% per year from the training uptake). |
| <b>4.15-4.16 Sector collaboration</b> | List all organisations that will collaborate on the project, the reasons why you're collaborating with them, and how they'll be engaged.                                            |
| <b>4.17 Worker engagement</b>         | Describe how your project will be governed and consult/engage with workers.                                                                                                         |
| <b>4.18-4.19 Location</b>             | If you have selected regional, also select which regions will benefit from your project.                                                                                            |
| <b>4.20 Grant category</b>            | Select which category your application fits within. You may only select one option.                                                                                                 |

## 5.0 Knowledge Transfer Plan

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

| Title/reference                             | Requirement                                                                                                                                                                                                                                                                        |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>5.2-5.3 Target groups and activities</b> | List who is being targeted to share project outcomes and learnings with, and the activities you'll do to engage with these groups: <ul style="list-style-type: none"> <li>• target group</li> <li>• sector/industry</li> <li>• leaders/champions</li> <li>• activities.</li> </ul> |
| <b>5.4 Practice and behaviour change</b>    | Describe what new practices or behaviours will result in a reduction on the risk for injury, and how your proposal will generate these changes in practice and behaviour across your target population.                                                                            |
| <b>5.5-5.6 Monitoring</b>                   | Describe how you will know your Knowledge Transfer Plan is succeeding. List the success measures you will use and the data to be collected.                                                                                                                                        |
| <b>5.7 Sustainability</b>                   | Describe how you will be able to sustain your project outcomes once your project has ended.                                                                                                                                                                                        |

## 6.0 Budget, Milestones and Funding

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

Note that all amounts must be in New Zealand dollars and exclude GST.

| Title/reference               | Requirement                                                                                                                                                                                                                                                                                                                                                                |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>6.2-6.3 Project budget</b> | The totals are <b>not calculated automatically</b> . All numbers need to be entered and you will need to calculate the total amounts. You can attach an Excel spreadsheet of your Budget and Milestones calculations to your application. However, you still need to complete the tables in ARCUS. Failure to do so can mean that an application may not progress further. |

|                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>6.4-6.5 Milestones</b>               | <p>Ensure that the total in the project budget table matches the corresponding total funding in the milestones table.</p> <p>Milestones are major stages or deliverables of your project and demonstrate how the funds and expected project costs are calculated. Successful delivery of the milestones should be critical for achieving the project objectives. Payment of ACC contributions will be linked to successful completion of project milestones.</p> <p>Your milestone table will become the basis for contracting the project activities and deliverables. ACC requires sufficient detail to enable monitor progress and approve payments.</p> <p>To ensure payments can be done within a ACC financial year (1 July to 30 June), we recommend having no milestones planned or due between <b>16 and 30 June</b>.</p> |
| <b>6.6-6.7 Other government funding</b> | <p>Please disclose if you have received or applied for any other government funding for the proposed project.</p> <p>If yes, please identify the amount of government funding, and the source.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

## 7.0 Project Governance

| <b>Title/reference</b>         | <b>Requirement</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>7.2 Governance</b>          | <p>ACC needs to have confidence that applicants have a governance structure in place to provide decision making, guidance and advice to the project.</p> <p>ACC also needs to have confidence that applicants can demonstrate the project and its team members have the necessary skills to deliver a successful project. Project management, financial management and technical skills, plus a sound methodology, are required to deliver the project to the cost and timeframes stated.</p> |
| <b>7.3-7.4 Project team</b>    | <p>Provide contact details, role and responsibilities, qualifications and relevant experience for each of the key personnel involved in delivering your proposed project (including any personnel to be provided by sub-contracted parties).</p>                                                                                                                                                                                                                                              |
| <b>7.5-7.7 Sub-contractors</b> | <p>Complete the table if you're intending to use the services of sub-contractors.</p>                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>7.8-7.9 Risk assessment</b> | <p>Describe potential project risks and barriers to success and outline how they will be addressed. Refer to <a href="#">Appendix 4</a> for the risk management framework.</p>                                                                                                                                                                                                                                                                                                                |

## 8.0 Other Information

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

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

## 9.0 Declaration

| Title/reference     | Requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 9.2-9.9 Declaration | <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 this application is true, correct and complete</li> <li>• the applicant has good workplace health and safety performance and you 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> |

## 6.4 Submitting your completed application

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

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

## 7 Assessment

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

- the completeness of the application,
- assessment against eligibility criteria, and
- assessor moderated scores against the assessment criteria.

### 7.1 Assessment process

There are three stages in the assessment process. All applicants will be notified of their application outcome stage by stage.

**Stage 1** – Initial screening of applications against eligibility criteria and completeness requirements. Applications not sufficiently meeting these requirements will not progress for further assessment.

**Stage 2** – Applications are assessed by Assessors against the grant assessment criteria and scoring matrix.

**Stage 3** – ACC moderates scores and makes final decision. Successful applicants are notified, and discussions start around funding agreements.

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

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

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

Refer to [Appendix 5](#) for **the assessment criteria and weightings** that applications will be assessed against.

## 8 Standard grants conditions

### Applicant clarification

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

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

### Costs of participating in the grant process

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

### Confidentiality

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

### Confidential Information

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

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

### Confidentiality of grants information

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

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

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

An applicant may disclose grant information to any person described above (under “Confidential Information”) but only for the purpose of participating in the grant. Reasonable steps to ensure that such recipients do not disclose confidential information to any other person or use confidential

information for any purpose other than responding to the grant is required to be taken by the applicant.

## Disclaimer

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

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

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

## Ethics

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

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

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

## Elimination

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

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

## No binding legal relations

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

- the applicant's declaration in its application
- the application validity period
- the applicant's statements, representations and/or warranties in its application and in its correspondence and negotiations with ACC
- the assessment approach to be used by ACC to assess an application

- the standard grant conditions set out herein
- any other matters expressly described as binding obligations.

## New Zealand law

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

## Ownership of documents

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

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

## Third Party Information

In making an application, each applicant authorises ACC to collect additional information from any relevant third party and to use that information as part of its assessment of the application.

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

# 9 Other important information

## Tax

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

## Publicity

ACC reserves the right to use information regarding funded projects for publicity purposes. This includes, but not limited to, releasing publicly the names of successful applicants, and a high-level summary of successful projects including the amount that has been awarded.

## Intellectual Property

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

Ownership of intellectual property rights in the application remain the property of the applicant or its licensors. However, the applicant grants to ACC and the New Zealand State Sector a perpetual, irrevocable, world-wide, royalty-free, non-exclusive licence (including the right to sublicense, but not for commercial gain) to use, reproduce, adapt, modify, communicate, broadcast, distribute and publish the new material. Pre-existing material and/or third party material that is required for the project-generated intellectual property to be used effectively will also need to be made available.

## Issues and complaints

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

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



# Appendix 1 - Navigating ARCUS

## Appendix 1 - Navigating Arcus



### Homepage/Workplace Injury Prevention Grants

#### Section Tabs

##### Summary

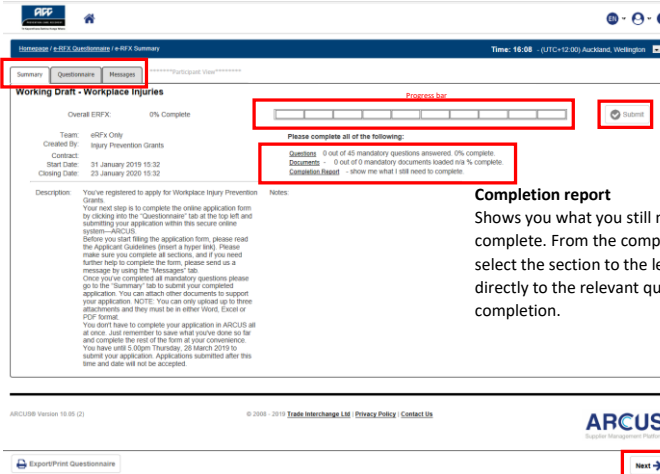
Once you've completed your application, return to the summary tab to submit your completed application.

##### Questionnaire (Application Form)

Complete all 9 sections

##### Messages

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



Submit your completed application.

#### Completion report

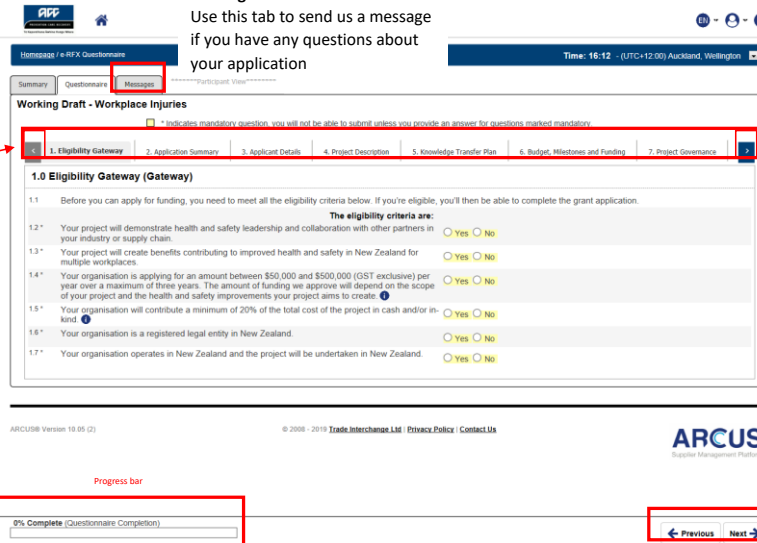
Shows you what you still need to complete. From the completion report, select the section to the left to take you directly to the relevant question for completion.

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

### Homepage/Workplace Injury Prevention Grants/Questionnaire

#### Messages

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



There are 9 sections to the questionnaire.

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

Questions shaded pale yellow are mandatory.

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

## Appendix 2 - Knowledge Transfer Plan

ACC is emphasising the need for knowledge transfer to assist in enabling project outcomes past the end date of the project. Ensuring project outcomes are shared with other sector/industry stakeholders at scale will help to improve workplace health and safety.

The Knowledge Transfer Plan (Plan) will assist with the development and implementation of your knowledge transfer to other organisations. It will facilitate creating awareness of the project, sharing new knowledge and lessons learnt, contributing to changes of policy and practice, and influencing changes in behaviour.

### How do I develop my Plan?

To develop an effective Plan, it requires a clear understanding of the problem, the solutions hoped to be achieved, and the systems into which we expect these solutions to be applied. **The online application provides tables to be completed and you'll need to provide information about:**

#### 1. Target groups and activities

- Identify the target group(s) in your sector/industry that you will share your project outcomes with. Include any other sectors/industries that would also benefit.
- Who are the likely leaders/champions that will be involved? Think about credible influential advocates that can also be helpful in building awareness and ways to tap into their support.
- What are the activities that you will develop to engage with your target group(s) to share project outcomes? Include activities that:
  - reflect the actual work of the participants
  - enable participants to compare their own experiences with the new technology, innovation, or ideas
  - share the new knowledge in a way that makes it easy for people to access information when it is needed, e.g. websites can make information available beyond the life of the project.

#### 2. Practice and behaviour change

- What changes/actions do you hope to achieve as a result of your project outcomes?
- Demonstrate the changes/actions that you'd like the target group(s) to adopt within their own organisations.

#### 3. Monitoring of the Knowledge Transfer Plan

This is to show how you're progressing with the project's desired practice change. What does success look like, as measured through changed attitudes, behaviours and practices amongst the target group(s).

**You will need to provide success measures** and the data that will be collected against them.

To establish a benchmark, ensure you collect baseline data at the beginning to compare against your project results. Some specific indicators of success may include:

- your project outcomes are recognised by your wider sector/industry
- the information from your project is widely available and readily accessible

- there is a growing group of people with knowledge and understanding based on your project outcomes
- there are known champions for the information and technology – e.g. researchers, industry leaders, business representatives
- people are making decisions based on the knowledge and outcomes of your project
- people have changed their behaviour or practices.

#### **4. Sustainability of project outcomes**

Outline how you will maintain the sustainability of your project outcomes **after** ACC funding has ended. For example, becoming self-sustaining by obtaining additional income streams such as:

- designing and delivering a competency framework, testing and registration capability
- sector support, sponsorship, and events
- obtaining funding from other agencies e.g. WorkSafe NZ.

## Appendix 3 - Budget, Milestones and Funding

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 Section**

Enter the details of all parties providing cash and in-kind contribution to the project. Indicate whether the co-funding has been confirmed or has 'provisional' status, i.e. yet to be confirmed. 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.

### **In-Kind contributions**

In-kind contributions are materials, equipment, services or personnel that contribute to the project. No money will change hands, but costs still have a financial value and can be used as part of the co-funding contribution. These can come from other organisations and individual stakeholders involved in the project, and sector or industry bodies. The contributing co-funder needs to provide a figure (\$ amount) of how much likely co-funding they would contribute. Ensure you provide a breakdown of your in-kind contributions i.e. description, date and amount in the project budget and milestone tables in the application form. Your in-kind contributions should also be spread over the duration of your project.

### **How to value In-Kind contributions**

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

### **Budget development**

- 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/topics/income-tax/day-to-day-expenses/vehicle-running-costs/kilometre-rates-for-business-use-of-vehicles-2018-2019-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.

### ***Independent Evaluation***

Your budget will need to include a third party independent evaluation on completion of the project, to evaluate the project's performance and achievement of goals, objectives and outcomes.

### ***Milestone Deliverables***

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

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

### ***Reporting Requirements***

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

Reporting documents should consist of:

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

### ***Invoices and Payments***

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

## Appendix 4 - Risk Management Framework

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

| PROJECT CONSEQUENCE ASSESSMENT MATRIX |                                                                                                                         |                                                                                                                                                                     |                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                   |                                                                                                                                                                                                            |
|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                       | MINOR                                                                                                                   | MODERATE                                                                                                                                                            | SIGNIFICANT                                                                                                                                                                                                                          | MAJOR                                                                                                                                                                                                                             | SEVERE                                                                                                                                                                                                     |
| <b>TIME</b>                           | Insignificant delays, minimal impact on project timeline.                                                               | Non-critical tasks are not completed on time.                                                                                                                       | Critical tasks not completed on time.<br><br>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.<br><br>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.<br><br>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.<br><br>The value of change requests and/or variations exceeds 25% of the budgeted project contingency                                                                | Budget overrun above 33% or \$2M of phase/project.<br><br>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.<br><br>Limited/few hazards identified or created                                       | Moderate impact on the quality of output<br><br>Additional activities or cost required to remedy quality issues<br><br>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.<br><br>Non-compliance with legal requirements - potential litigation | Severe impacts on the quality of the product or service delivered.<br><br>Without remediation the product is considered to be unstable and not fit for production use.<br><br>Death of an individual.      |
| <b>SCOPE ACTIVITIES OUTPUT</b>        | No impact on project deliverables.<br><br>All intended outcomes are achievable.                                         | Minor impact on deliverables, and 'nice to have' functionality<br><br>No impact to intended outcomes some workarounds in place.<br><br>Some adverse public reaction | Moderate impact to deliverables - 'could have' functionality not delivered.<br><br>Reputation damage or moderate cultural impact<br><br>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<br><br>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.<br><br>Insufficient adequately skilled dedicated project resources         | Major impact to approved project resourcing requiring multiple additional resources with increase of effort<br><br>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.<br><br>Additional effort or workarounds required to achieve the intended benefits. | Minor impact in ability to realise planned benefits.<br><br>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.<br><br>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.<br><br>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

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 Description - Section weighting: 40% of total project weighting</b>                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Strategic alignment</b><br><br><b>Significance of problem or opportunity</b><br><br><i>(40% of section weighting)</i><br><br><b>Section 4.6</b> | <p>The proposal aligns with one of the Workplace Injury Prevention Grant investment priorities and gives a clear reason why the project is necessary. Improve the quality of customer experience and outcomes and adopts a customer-centric approach for its design and delivery.</p> <p>The proposed initiative is strongly relevant for the New Zealand workplace health and safety system, industry/ sectors, and workers.<br/>The application:</p> <ul style="list-style-type: none"> <li>• clearly describes the outputs and outcomes the initiative will generate</li> <li>• describes how significant the problem/opportunity is to workplaces benefitting from the proposal</li> <li>• demonstrates the feasibility of the proposal, cross sector collaboration, justification of the requested grant amount, impact and sustainability of the project.</li> <li>• demonstrates engagement with workers/staff</li> <li>• clearly identifies target groups or audiences who will benefit from the initiative being funded, and describes the benefits to New Zealand workers, employers, workplaces, industry/ sectors and/or occupational groups</li> <li>• provides sufficient evidence of research or other proof supporting the basis for the proposal.</li> </ul> <p>The proposed initiative does not significantly duplicate or overlap with on-going or completed projects, programmes, or research programmes.<br/>The application demonstrates an innovative approach with appropriate linkages to other work. This includes:</p> <ul style="list-style-type: none"> <li>• description of what is innovative about the initiative</li> <li>• what new practices, methods, models or frameworks will be generated and</li> <li>• indicates how the project provides a unique contribution to health and safety that no other resource can provide.</li> </ul> |
| <b>Objectives/ Outcomes and Benefits/ Return on Investment/ Collaboration/ Reach</b><br><br><i>(60% of section weighting)</i>                      | <p>The application provides evidence that they can deliver on the proposed initiative and that the objectives (in SMART format) can be achieved in the timeframe and with the requested funding.</p> <p>The application demonstrates the potential benefit to accrue the industry sector (or group)/ supply chain and to other New Zealand sectors or groups:</p> <ul style="list-style-type: none"> <li>• providing an outline of the project outcomes, outputs and associated performance measures that demonstrate achievement of project aim and</li> <li>• providing an outline of the proposed evaluation and monitoring of the project plan.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

|                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Sections 4.7-4.17</b></p>                                                                                                         | <p>The application provides information about the target population, reach, uptake, impact and decay rate that will help ACC to calculate the ROI for your project.</p> <p>The application demonstrates support from relevant parties, including those industry sectors affected by the health and safety challenge being addressed, workers being impacted, the regulator or any other relevant party.</p> <p>When relevant the application includes evidence of:</p> <ul style="list-style-type: none"> <li>• adequate and appropriate consultation with overarching organisations to facilitate agreement regarding the design and implementation of the project</li> <li>• support of stakeholder groups not directly involved in, but affected by the initiative, e.g. employers, workers, trade unions, industry and/or professional associations.</li> </ul>                                                                                                                            |
| <p><b>Knowledge Transfer – Section weighting: 25% of total project weighting</b></p>                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <p><b>Amplification and sharing - Knowledge Transfer Plan</b><br/><i>(100% of section weighting)</i></p> <p><b>Sections 5.2-5.7</b></p> | <p>The application demonstrates that the results from the project can be disseminated through industry/sector networks, and the project team has the capability to develop and implement a robust Knowledge Transfer Plan (Plan) that will lead to expected outcomes.</p> <p>Where relevant, the Plan includes evidence of:</p> <ul style="list-style-type: none"> <li>• the applicant’s capability to successfully distribute, commercialise, extend, share or implement the results of the project to achieve its outcomes</li> <li>• collaboration with other stakeholders in the health and safety system, and how these networks will be fostered</li> <li>• development of activities to engage target groups, how to engage the groups’ and share project outcomes</li> <li>• influencing practice and behaviour changes</li> <li>• monitoring process to determine the Plan is succeeding</li> <li>• being able to maintain sustainability after the conclusion of funding.</li> </ul> |
| <p><b>Project Funding/ Milestones and Governance – Section weighting: 35% of total project weighting</b></p>                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <p><b>Project budget/ milestones/ and funding</b><br/><i>(30% of section weighting)</i></p>                                             | <p>The application provides evidence that the grants, or any financing from other sources, will have adequate financial support to achieve the objectives of the proposal. The application describes:</p> <ul style="list-style-type: none"> <li>• how the Workplace Injury Prevention Grant funding and the applicant co-investment will be used to deliver on the proposal’s objectives</li> <li>• whole of life costs of the initiative</li> <li>• any supporting third funding, and any funding sought unsuccessfully</li> <li>• justification for purchasing equipment, including the detail on purchase, lease or rental of equipment, and relevance to the proposed initiative.</li> </ul> <p>The project plan needs to demonstrate a clear link between the project’s objectives, deliverables, and budget expenditure items. It also needs to include defined project milestones, milestone start, and completion dates.</p>                                                          |

|                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Ability to deliver and Project Management discipline</b><br/><i>(70% of section weighting)</i></p> <p><b>Sections 6.2-7.9</b></p> | <p>The application provides evidence of:</p> <ul style="list-style-type: none"><li>• clear goals, critical milestones and realistic timeframes to ensure completion within specified time</li><li>• a comprehensive, reasonable, and achievable work plan is appropriate to the size of the initiative. The plan includes stop-go points and an exit strategy</li><li>• a robust risk identification/management. Potential risks (including dependencies) are adequately assessed and relevant mitigation measures identified</li><li>• sound project governance and project management that will provide oversight and direction (e.g. Prince2, Managing Successful Programmes (MSP) methodologies), including financial management and technical skills are applied to the initiative</li><li>• the capacity of the applicant to effectively deliver the project plan.</li></ul> |
|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## Appendix 6 - Glossary of Terms

| Term                                | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Accredited Employee Programme (AEP) | ACC's Accredited Employers Programme allows approved organisation's 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.                                                                                                                                                                                                                                                                                                                                                                                             |
| 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Business Day                        | Any week day in New Zealand, excluding: Saturdays, Sundays, New Zealand (national) public holidays, and all days from Boxing Day, up to and including the day after New Year's Day.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Confidential Information            | <p>Information that:</p> <ul style="list-style-type: none"> <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> |
| Deadline for Applicants             | The date that applications need to be submitted in ARCUS.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| e-RFX                               | Electronic Request for X (e.g. tender). Acronym for the online tendering system.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Funding Agreement                   | The written agreement entered by ACC and each successful applicant for the delivery of the project(s).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

|                                                        |                                                                                                                                                                                                                                                                                                                                          |
|--------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Grantee                                                | The successful applicant that enters a Funding Agreement with ACC. Also includes Recipient.                                                                                                                                                                                                                                              |
| GST                                                    | The goods and services tax payable in accordance with the New Zealand Goods and Services Tax Act 1985.                                                                                                                                                                                                                                   |
| Intellectual Property                                  | All intellectual property rights and interests, including copyright, trademarks, designs, patents and other proprietary rights, recognised or protected by law.                                                                                                                                                                          |
| Investment Priority                                    | Workplace Injury Prevention investment priority is aligned with strategic interventions that support improvements in the health and safety system.                                                                                                                                                                                       |
| 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.                                                                                                                                                                                                                             |
| Point of Contact                                       | ACC and each applicant are required to appoint a Point of Contact. This is the channel to be used for all communications relating to the application and contract management.                                                                                                                                                            |
| Project                                                | A description of a project which the application has been submitted for. This encompasses all activities, steps, tasks, or elements for which an applicant is seeking grant funding.                                                                                                                                                     |
| Public Service Departments/ 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. |