

## Invest NI Section 75 Screening

### Summary of Policy Proforma Invest NI TITLE: Grant for Research and Development (R&D)

Invest NI is committed to achieving a successful economy in Northern Ireland which will provide equal opportunities for all. It is fully mindful of its responsibilities across the spectrum of Equality, New TSN and Human Rights.

Section 75 of the NI Act 1998 requires Invest NI, in carrying out all its functions, powers and duties, relating to Northern Ireland, to have due regard to the need to promote equality of opportunity:

- between persons of different religious belief, political opinion, racial group, age, marital status or sexual orientation;
- between men and women generally;
- between persons with a disability and persons without
  - to promote positive attitudes towards disabled people,
  - to encourage participation by disabled people in public life; and
- between persons with dependents and persons without.

<p>What does this policy/programme aim to achieve for the customer? (who does it mainly affect)?</p>	<p>The Grant for R&amp;D will support businesses developing new products, processes and services to improve company competitiveness and to benefit the NI economy. The fund is designed to provide support for R&amp;D and technological innovation relevant at all stages of company development, which will enable companies to progress from undertaking an initial research project to high level innovation and R&amp;D activity.</p>
<p>What does this policy/programme aim to achieve for Invest NI? (provide the main objectives).</p>	<p>In order to meet current and future PSA targets (increase ave. annual growth in BERD expenditure in Invest NI client companies with under 250 employees by 8%; and over 249 employees by 5%) IRTD has identified the most appropriate options for it to provide State Aid under the new enhanced EU Commission guidelines.</p> <p>The Grant for R&amp; D will provide a new single, streamlined R&amp;D fund, which will:</p>

	<p>- Encourage companies to grow competitively by increasing their research, development and technical innovation activities.</p> <p>-Improve the quality and quantity of R&amp;D and Innovation (R&amp;D&amp;I) linkages between companies, both nationally and internationally</p> <p>-Enhance the level of collaboration between businesses and academia.</p>
<p>Where did the policy/programme originate? (ie is this solely an Invest NI programme or are we working in partnership with any other department/ organisation ?)</p>	<p>The programme originated as a direct result of EU Commission Guidelines for R&amp;D&amp;I aid, which present revised scope and aid intensities for R&amp;D&amp;I state aid with the aim of increasing investment in this area. Invest NI, in order to be able to offer support, re-notified all its support for R&amp;D&amp;I under the new Community guidelines in January 2008 (Notification No. N215/08). Commission approval was subsequently granted at 01 August 2008 (C[2008] 4255).</p>
<p>How is this policy /programme delivered or implemented?(ie by delivery agents, client executives, senior management, other agencies?)</p>	<p>The programme will be delivered by staff in the Innovation, &amp; Capability Development Group (ICDG) in Invest NI. When an application is received it will be allocated to the appropriate sector and a Technology Executive will be appointed to assess and appraise the application and subsequently manage approved projects. Support will be provided by the Admin Team.</p> <p>Furthermore, in order to address the relatively low levels of awareness amongst companies about Invest NI's availability of R&amp;D support and how to access it, IRTD have recruited Innovation Advisers and will deploy a number of experts (from the Northstar Mentor list), who have experience of R&amp;D&amp;I functions and can explain the potential rewards from such investment. These Advisers and Mentors will undertake ad-hoc visits in respect of R&amp;D support, bring companies up to date with Invest NI's R&amp;D support, identify technology needs of referred companies, help managers complete the R&amp;D applications form and maintain regular contact with the company for the first year to maximise the benefits accruing from approved projects.</p> <p>Participating companies will be selected using the following criteria:</p> <ul style="list-style-type: none"> <li>• R&amp;D lapsed Clients (last contact with IRTD more than 5 years ago);</li> <li>• Businesses in receipt of SFA but no R&amp;D;</li> <li>• Businesses in receipt of an Innovation Voucher;</li> <li>• Rejected Candidates from Innovation Voucher, SMART Programme;</li> <li>• Small businesses lacking technical resources (small companies with live LoOs</li> <li>• Businesses who request support across a range of areas linked to R&amp;D project implementation.</li> </ul>

<p>What are the constraints on this policy/programme? (budgetary, legislative, EU directives etc).</p>	<p>The programme must operate within the EU Commission Guidelines on R&amp;D&amp;I. The programme has been developed in accordance with these guidelines and will be monitored by ICDG and the Commission for compliance.</p> <p>ICDG has sufficient budget cover to promote the programme on an open call basis in the first instance. Thereafter the programme will be monitored on an ongoing basis to ensure adequate budget cover remains available to assist the full range of companies in terms of size, sector and those new to R&amp;D. Budget will be monitored with particular regard to ensure sufficient allocation to priority smaller companies. Any future budget constraints will be addressed by prioritising applications on a call basis and through targeted marketing campaigns.</p>
<p>How does Invest NI monitor the delivery of this policy/programme?</p>	<p>ICDG has been divided into sectors to operate the new programme effectively. Technological Executives/Business Advisers within these teams will monitor their projects and Managers will monitor the overall delivery of projects within their area. Progress and/or issues will be monitored and reported to the Director and the Managing Director. Monitoring will be recorded on Meridio and CCMS systems.</p>
<p>What other feedback, research, consultation or additional information is available to assess and screen the impact of this policy/programme? (ie consultative reports, evaluations, surveys, complaints ,monitoring etc).</p>	<p>During the first year of programme delivery, Invest NI will carry out informal reviews on a monthly basis with a formal interim review at 6 months. The internal monthly review will be conducted by ICDG and will address levels and types of application (i.e. sector, size of company, type of project, 'new to R&amp;D', etc.). Ongoing budget cover will also be addressed by IRTD on a monthly basis.</p> <p>Invest NI will carry out an impact review no more than three years after the commencement of the programme.</p>
<p>Are any groups specifically targeted through this policy/programme? If so please detail which groups (e.g. young men, older people or people from ethnic minority backgrounds etc).</p>	<p>Small and Medium sized enterprises in Northern Ireland are specifically targeted as this is where there is the most need to develop R&amp;D but support is available across all sectors, to companies of all sizes, individuals and universities (embarking on collaborative projects with business).</p>

## Equality Evidence Matrix

### 1. Is there any evidence of higher or lower participation or uptake by different groups?

	Yes (please specify)	No	Not known
Religious belief		X	
Political opinion		X	
Racial group		X	
Age		X	
Marital status		X	
Sexual orientation		X	
Gender		X	
Disability		X	
Dependency		X	

**Additional Comments:** There is no evidence that participation in the Grant for R&D programme will reflect on any of the named S75 groups. This programme does not have a different equality impact than the previous programmes it is replacing and so participation will not be affected.

### 2. Is there evidence or indications that different groups have different needs, experiences, issues and priorities in relation to this policy issue?

	Yes (please specify)	No	Not known
Religious belief		X	
Political opinion		X	
Racial group		X	
Age		X	
Marital status		X	
Sexual orientation		X	
Gender		X	
Disability		X	
Dependency		x	

**Additional Comments:** There is no evidence that different needs, priorities, issues and experiences exist among the named groups in relation to the policy issue. As above, this programme does not have a different equality impact than the previous programmes it is replacing.



**3. Have consultations/research with relevant groups, organisations or individuals indicated that policies of this type create problems that are specific to them? (The user engagement guide and protocol provide useful support.)**

	Yes (please specify)	No
Religious belief		X
Political opinion		X
Racial group		X
Age		X
Marital status		X
Sexual orientation		X
Gender		X
Disability		X
Dependency		X

**Additional Comments: No relevant groups, organisations, individuals identified.**

**a) List the organizations/groups/individuals both internal and external, that you contacted during the development of the policy**

Department of Enterprise, Trade and Investment (DETI), DETI EU Compliance Unit, Invest NI Strategic Management Planning Unit, Invest NI Innovation and Capability Division, Enterprise Ireland, Invest NI Economist, Invest NI's Top Management Team and Change and Control Board.

**b) Specify how comments were incorporated into the final draft policy**

All comments received were taken onboard and considered in finalising the programme.

**c) If ideas from groups weren't included please indicate why not**

Not applicable.

**4. In relation to implementing this policy, is there an opportunity to better promote equality of opportunity or good relations by altering the policy or by working with others in Government or in the larger community?**

Yes

No

Please Specify:

**5. Have you identified opportunities to:**

**a) promote positive attitudes towards disabled people;**

**b) encourage participation by disabled people in public life?**

Please Specify:

Invest NI implemented a Disability Action Plan in 2008 which aims to promote positive attitudes towards disabled people and encourage participation in public life. This will be adhered to in the delivery of the new Grant for R&D programme.

**6. Monitoring Information: What data will be required to ensure effective monitoring of the policy following implementation?**

During the first year of delivery of the programme, Invest NI will carry out an informal review on a monthly basis with a formal interim review at 6 months. The internal monthly review will be conducted by IRTD and will address levels and types of application (i.e. sector, size of company, type of project, 'new to R&D', etc.). Ongoing budget cover will also be addressed by IRTD on a monthly basis.

Invest NI will carry out an impact review no more than three years after the commencement of the programme.

**7. Have you any other comments on the policy and/or screening exercise?**

None.

## Summary of Screening

Section 75 Category	Is there any evidence of potential under-representation of any Section 75 groups in this policy/programme?	Is there any evidence that people from any S75 groups have any issues / difficulties /problems with this policy/programme?	In your assessment is any further additional action required to address any under representation or problems associated with this policy/programme?	If yes, is an Equality Impact Assessment required to further assess the impact of the policy/programme on this group? Give reasons for your answer
Religion	NO	NO	NO	
Political Opinion	NO	NO	NO	
Age	NO	NO	NO	
Gender	NO	NO	NO	
Disability	NO	NO	NO	
Sexual Orientation	NO	NO	NO	
Dependants	NO	NO	NO	
Marital Status	NO	NO	NO	
Racial Group	NO	NO	NO	



## Human Rights Impact Assessment

### Articles as identified by European Convention of Human Rights.

- Article 2 - Right to life
- Article 3 - Prohibition of torture, inhuman or degrading treatment
- Article 4 - Prohibition of slavery and forced labour
- Article 5 - Right to liberty and security
- Article 6 - Right to fair and public trial
- Article 7 - Right to no punishment with law
- Article 8 - Right to respect for private and family life, home and correspondence
- Article 9 - Right to freedom of thought, conscience and religion
- Article 10 - Right to freedom of expression
- Article 11 - Rights to freedom of assembly and association
- Article 12 – Right to marry and to found a family
- Article 14 – The prohibition of discrimination
- Protocol 1 Article 1 – Protection of Property
- Protocol 1 Article 2 - Right to education

### Definitions of degree of risk of infringement of each article:

**High risk** – It is foreseeable that this policy is very likely to breach this Article.

**Medium risk** – This policy is likely, in certain circumstances, to breach this Article.

**Low risk** – It is possible, though very unlikely, that this policy will breach this Article.

1. Indicate any potential Human Rights implications associated with this policy, the perceived degree of risk (see above) and who the victim may be.

	Has this policy the potential to infringe the rights (Please Tick)		If yes indicate here the degree of risk – High, Medium or Low (See definitions above)	If yes indicate here who the potential victim(s) would be
	Yes	No		
Article 2		X		
Article 3		X		
Article 5		X		
Article 6		X		
Article 8		X		
Article 9		X		
Article 10		X		
Article 11		X		
Article 12		X		
Article 14*		X		
Article 1 of Protocol 1		X		
Article 2 of Protocol 1		X		

Finally are there any other ways in which Invest NI might be able to improve this policy/programme area in terms of improving the equality of opportunity? (ie conducting any further consultations, gathering monitoring data, liaising with other departments or organisations etc.)

No.

### Summary of Decision

**Name(s) of Screening Personnel:**

Ciara Keenan

**Role:**

Equality Co-ordinator, IRTD

**Decision to Conduct Equality Impact Assessment: YES / NO:**

NO

**Date:**

14 October 2008

**Signed: (Screening Personnel):**

*Ciara Keenan 4/11/08.*

**Approved: (Director):**

*Carol Keery*

*4.11.08.*