



## D 14 Methodological framework to assess gender in international cooperation in STI

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## Executive Summary

This deliverable presents a methodology developed to assess gender equality in STI international cooperation, current practices among partner countries and recommendations delivered to partner countries and globally in the form of a checklist for policy-makers.

## History of changes

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## Background

The Council Conclusions<sup>1</sup> from 1 December 2015 on advancing gender equality in the European Research Area invited the Commission and Member States to consider including, among other things, a gender perspective in dialogues with third countries in the area of science, technology and innovation (STI) and invited Strategic Forum for International S&T Cooperation (SFIC) and the Helsinki Group on Gender in Research and Innovation (HG)<sup>2</sup> to consider developing joint guidelines on a gender perspective for international cooperation in STI.

In response to this invitation, the SFIC and the Standing Working Group on Gender in Research and Innovation (SWG GRI, former Helsinki Group) set up an ad hoc working group to assess the current state as regards the integration of the gender perspective for international cooperation in STI. On 23 January 2018 SFIC and SWG GRI published a joint opinion and recommendations for the Commission and Members States with a view to taking gender perspective in international cooperation further. In the joint opinion SFIC and SWG GRI note that the inclusion of gender aspects in formal bilateral and multilateral agreements for international STI cooperation both at government and funding agencies/programme management level is rather low. They welcome the intention of a number of countries to give gender aspects in international STI cooperation more consideration and underlie that additional resources e.g. through sharing best practices and receiving examples of other countries / organisations, special training of staff and increased political support, need to be provided. The SFIC and SWG GRI express the belief that there is a clear scope within the EU collaboration framework to start working on common guidelines as best practices, concrete examples and a potential common approach would be appreciated by many countries. This would not only support them in operative terms but such a European-level approach would also produce greater commitment and drive from a political point of view.

GENDERACTION, a Horizon 2020 project funded in the Swafs-19-2016 call, foresaw follow-up on this work accomplished by SFIC and SWG GRI and included Work Package 6 Gender in international cooperation in STI in its Work Plan. The first step in achieving Task 6.2 “Assess current practices of integrating gender in international cooperation in STI” was to develop a novel methodology to assess gender equality international cooperation in STI (basic procedures/instruments to mainstream gender international cooperation in STI).

The WP leader and the contributing partners exchanged on the best way to follow up on the opinion and recommendations of SFIC and SWG GRI. In consultation with the rapporteurs of the joint SFIC-SWG GRI opinion and through a consultation among the project partners it was decided that developing a brief and practical checklist with examples for policy makers presents an efficient way to provide guidelines on integrating the gender dimension in international cooperation in STI.

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<sup>1</sup> See <http://data.consilium.europa.eu/doc/document/ST-14846-2015-INIT/en/pdf>.

<sup>2</sup> The HG was terminated as a Commission advisory group as of 30 June 2017. As of 1 July 2017 the ERAC Standing Working Group on Gender in Research and Innovation (SWG GRI) was formed, to provide advice to the Council and the Commission on gender equality issues in R&D.

## Introduction

International cooperation has become an increasingly important issue for national and European STI policies. It is also considered an important aspect of the European Research Area (ERA), and is necessary for reaching the Sustainable Development Goals. International STI cooperation has provided an important opportunity for the EU to advance its research and innovation capacities and its political, social, economic and humanitarian commitments.<sup>3</sup>

The goals of EU's international cooperation in STI include:

- Achieving research excellence;
- Attracting/retaining/developing human resources for S&T;
- Fostering competitiveness & innovation;
- Science diplomacy (furthering foreign policy goals through the use of S&T);
- S&T capacity building in other countries;
- Tackling grand challenges.
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International STI cooperation is carried out through a range of instruments:

- Bilateral agreements and MoUs;
- Multilateral agreements and programmes, which can be highly specific in terms of their targets and modalities;
- Mobility schemes open for extra-EU participants;
- Partnership programmes and initiatives;
- Foreign branches or subsidiaries.

Gender equality is one of the horizontal objectives of research and innovation policies. It is one of the priorities of the ERA as well as the Sustainable Development Goals. The 2016 Science and Innovation for Development report states that “[T]he empowerment of women is the key to all development and gender equality should be a core part of all policy strategies.”<sup>4</sup> Yet, it is rarely addressed in EU and Member State (MS) policies and strategies for international cooperation in STI.

Addressing gender equality in international agreements for research and innovation is contingent upon political will of the parties involved, and this may pose a challenge when international cooperation is negotiated among countries with differing gender equality regimes and understandings of gender equality. The second important condition needed to implement gender equality in international cooperation in STI is to have available sufficient and appropriate statistical data disaggregated by gender. It is useful to have such data ready

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<sup>3</sup> European Commission. 2013. *Overview of international science, technology and innovation cooperation between Member States and countries outside the EU and the development of a future monitoring mechanism*. Luxembourg: Publications Office of the European Union. Available at <https://publications.europa.eu/en/publication-detail/-/publication/5c9b6ae3-de4a-4062-993d-2c771652590c/language-en>.

<sup>4</sup> European Commission. 2016. *Science and Innovation for Development*. Luxembourg: Publications Office of the European Union, p. 7.

before starting the process of preparing an international agreement but it is also possible to set the goal of full and appropriate statistical data collection during the implementation of the international cooperation (see Monitoring and Evaluation section).

The objective of this methodological framework is to provide guidelines on incorporating the gender perspective in international cooperation in STI. The methodological framework is divided into five sections. To the extent possible each section addresses the three priorities of gender equality in European Research Area, specifically gender balance in research teams, gender balance in decision-making and gender dimension in research content. These sections are:

- Preparation of International Agreements
- Preparation of Programmes and Calls
- Proposal Evaluation and Funding Decisions
- Financial Rules and Eligible Costs
- Programme Monitoring and Evaluation

Each section of these guidelines contains specific questions concerning relevant areas. These questions can be seen as specific criteria of gender equality to be implemented in documents and practices in international cooperation in STI. Where possible, the questions also include concrete examples of implementation. The relevance of these areas for the various instruments of international STI cooperation will vary. In several cases we add recommendations and justify why such measures are appropriate.

The guidelines are primarily intended for civil servants and policy makers who are responsible for drafting or commenting on drafts of international agreements for cooperation in research and innovation. Secondly, they are intended for programme managers, reviewers and decision makers involved in international cooperation in STI and evaluation of project proposals on the basis of international cooperation agreements.

## Checklist

This checklist provides a simple guide to addressing a gender perspective in international cooperation in STI.

### A. Preparation of International Agreements

1. Is gender equality clearly declared as a value in the draft international agreement?
2. Are the three main objectives of gender equality included in the draft international agreement?
  - a. Is gender balance in research teams incorporated in the draft international agreement?
  - b. Is gender balance in decision-making incorporated in the draft international agreement?
  - c. Is the gender dimension in research focus and content incorporated in the draft international agreement?
3. Is there a plan for an exchange of good practices between partners in international cooperation in STI?

### B. Preparation of Programmes and Calls

4. Is gender equality clearly declared and addressed in the drafting of the programmes/calls?
5. Is gender equality in research teams given due priority in the draft programmes/calls?
6. Is the gender dimension in research content taken into account and promoted in the draft programmes/calls?
7. Are programme announcements, calls and guidelines for applicants formulated in a way that they do not discriminate against women but rather encourage women to apply?
8. Are programmes and calls formulated in such a way that they do not discriminate against, directly or indirectly, researchers with caring responsibilities? Do programmes address issues related to pregnancy, maternity/paternal/parental leave for Primary Investigators and members of research teams?
9. Is a specific Programme in place to support gender research as a self-standing research area?

### C. Proposal Evaluation and Funding Decisions

10. Is gender equality included among horizontal evaluation criteria?
11. Are applicants explicitly required to address the gender dimension in research proposals, especially in any calls involving humans?
12. If a programme or call explicitly mention gender dimension in research, are applicants required to provide an explanation why they have not addressed gender dimension in their research design?
13. Is gender balance ensured among evaluators, on evaluation panels and decision-making committees?
14. Is there a provision to include a member with gender expertise in evaluation panels and decision-making committees?
15. Is a system in place whereby evaluation moderators are made internally accountable for ensuring proper briefing of evaluators on gender issues to be addressed in evaluation?
16. Are staff members and specifically programme managers, evaluators, members of evaluation panels and decision-making committees trained in gender equality? Is it foreseen to provide gender training to all new staff members, and specifically programme managers, evaluators and members of evaluation panels?
17. Is gender equality clearly indicated in the evaluation form template as a criterion for project evaluation?
18. Does the evaluation form template contain a clearly formulated question whether the proposal adequately addresses the gender dimension in research?
19. For call topics and programmes explicitly mentioning gender, do proposals that do not address the gender dimension in research receive a scoring penalty in the Excellence section addressing the research design?
20. Is gender equality clearly indicated in the evaluation report prepared by evaluation committees?
21. Is the gender dimension in research clearly indicated in the evaluation report prepared by evaluation committees, especially in the case of programmes and calls explicitly addressing gender dimension in research?
22. Is there an evaluation scoring advantage given to projects when it is foreseen for members of the research team to undergo gender training?

### D. Financial Rules and Eligible Costs

23. Are the costs of gender equality trainings and gender experts an eligible cost of the programme?

24. Are coaching, mentoring or supervision for female team members included as eligible costs of the programme?
25. Are the costs for caring services or other family support services eligible costs of the programme, in particular in mobility support schemes?

E. Programme Monitoring and Evaluation

26. Are all programme monitoring and evaluation data collected and reported in a sex disaggregated manner, in particular the application and success rates for women and men applicants, the budgets allocated to women and men Principal Investigators and budget cuts for women and men Principal Investigators?
27. Is detailed system of statistical data collection on workforce among Principal Investigators/Coordinators and on teams in place which distinguishes between research and administrative roles?
28. Are the three priorities of gender equality part of the mid-term and final review of projects?
29. Are the three priorities of gender equality an aspect in programme evaluation?
30. Is the impact of gender equality measures assessed as part of the programme evaluation?

## Preparation of International Agreements

At minimum, the text of the international agreement should contain declarations of the intent of parties to the agreement to address gender equality and/or diversity, possibly at the intersection with other policy objectives.

### QUESTION 1:

#### **IS GENDER EQUALITY CLEARLY DECLARED AS A VALUE IN THE DRAFT INTERNATIONAL AGREEMENT?**

##### EXAMPLE 1:

Article 10 of the Agreement between the European Union, Iceland, the Principality of Liechtenstein and the Kingdom of Norway on an EEA Financial Mechanism 2014-2021<sup>5</sup> states the following:

*“The highest degree of transparency, accountability and cost efficiency shall be applied in all implementation phases, as well as principles of good governance, partnership and multi-level governance, sustainable development, **and equality between men and women and non-discrimination.**”*

As a next step, the three priorities for gender equality (gender balance in research teams, gender balance in decision-making and gender dimension in research) can be addressed specifically.

### QUESTION 2:

#### **ARE THE THREE MAIN OBJECTIVES OF GENDER EQUALITY INCLUDED IN THE DRAFT INTERNATIONAL AGREEMENT?**

One possible example of such wording is the following:

“The parties of this agreement will promote gender equality including gender balance in research teams, in decision-making and gender perspective in research.”

##### EXAMPLE 2:

For example, the international agreement which establishes the cooperation of the Czech Republic with the European Commission contains a more detailed description of the intent of the parties to promote gender equality.<sup>6</sup>

Section 1.5.2 of this agreement contains a statement that the principle of equal treatment and

<sup>5</sup> See <https://eeagrants.org/Results-data/Documents/Legal-documents/Agreements-on-the-EEA-and-Norway-Grants>.

<sup>6</sup> See <http://strukturalni-fondy.cz/getmedia/4589b39c-4215-4f0b-914d-b296678db1c8/Partnership-agreement-technical-revision-approved-by-the-EC-on-13-April-2016.pdf?ext=.pdf>.

non-discrimination is a fundamental principle and describes de jure as well as de facto the current state of gender equality in the Czech Republic, including the main problems and challenges. It also mentions relevant bodies which will be responsible for the implementation of gender equality during the programming period. This agreement specifies so called ex-ante conditionalities which have to be fulfilled prior to and during the implementation of the programmes. These are described in more detail in the Annex to the agreement.<sup>7</sup>

#### A. Gender Balance in Research Teams

If the decision is made to address specifically the three priority areas of gender equality policy for research and innovation in the international agreement, the text will declare the intent of the parties to the international cooperation to promote gender balance in research teams, including attention to hiring, promotion and attrition and promoting unbiased treatment of all regardless of gender.

#### QUESTION 2A:

### **IS GENDER BALANCE IN RESEARCH TEAMS INCORPORATED IN THE DRAFT INTERNATIONAL AGREEMENT?**

#### EXAMPLE 3:

Horizon 2020<sup>8</sup> provides an example of how this may be concretely formulated. It includes among others the following criteria:

- *“Fostering gender balance in Horizon 2020 research teams, in order to address the gaps in the participation of women in the Framework Programme’s projects.”*

#### B. Gender Balance in Decision-Making

If the decision is made to address specifically the three priority areas of gender equality policy for research and innovation in the international agreement, the text of the draft international agreement will declare the intent of the parties to the international cooperation to respect gender balance in decision-making.

Gender-balance in decision in international STI cooperation can refer to an overall objective for the governing bodies of the parties to the agreement or the expert and advisory bodies established to implement the international STI cooperation.

#### QUESTION 2B:

<sup>7</sup> See [http://strukturalni-fondy.cz/Dotace/media/SF/FONDY%20EU/2014-2020/Dokumenty/Dohoda%20o%20partnerstv%C3%AD/Priloha-kapitoly-2-3-Dohody-o-partnerstvi\\_schvalena-EK-26-8-2014.pdf](http://strukturalni-fondy.cz/Dotace/media/SF/FONDY%20EU/2014-2020/Dokumenty/Dohoda%20o%20partnerstv%C3%AD/Priloha-kapitoly-2-3-Dohody-o-partnerstvi_schvalena-EK-26-8-2014.pdf), in Czech language only.

<sup>8</sup> See [https://ec.europa.eu/research/swafs/pdf/pub\\_gender\\_equality/2016-03-21-Vademecum\\_Gender%20in%20H2020-clean-rev.pdf](https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/2016-03-21-Vademecum_Gender%20in%20H2020-clean-rev.pdf).

## IS GENDER BALANCE IN DECISION MAKING INCORPORATED IN THE DRAFT INTERNATIONAL AGREEMENT?

### EXAMPLE 4:

Again, Horizon 2020 serves as a good example.<sup>9</sup>

*“Ensuring gender balance in decision-making, in order to reach the Commission’s target of 40% of the under-represented sex in panels and groups (50% for Advisory Groups).”*

### C. Gender Dimension in Research

If the decision is made to address specifically the three priority areas of gender equality policy for research and innovation in the international agreement, the text will declare the intent of the parties to the international cooperation to make a commitment to broad promotion of responsible research and innovation (RRI) of which gender equality is an integral part and specifically to the integration of the gender dimension in research and innovation as an indicator both of research excellence and societal relevance.

The gender dimension in research and innovation is likely to be relevant in all areas of research where humans are involved. Particular attention to the gender dimension in research and the integration of sex/gender analysis should be paid in medical research (including research working with animals) and promotion of health.

### EXAMPLE 5:

The National Institutes of Health in the US have a robust gender policy.<sup>10</sup> Their policy is introduced as follows:

*“NIH is committed to improving health by supporting the rigorous science that drives medical advances. Sex/gender influence health and disease, and considering these factors in research informs the development of prevention strategies and treatment interventions for both men and women.”*

### QUESTION 2C:

## IS GENDER DIMENSION IN RESEARCH FOCUS AND CONTENT INCORPORATED IN THE DRAFT INTERNATIONAL AGREEMENT?

### EXAMPLE 6:

Again, Horizon 2020 serves as an example:<sup>11</sup>

<sup>9</sup> See [https://ec.europa.eu/research/swafs/pdf/pub\\_gender\\_equality/2016-03-21-Vademecum\\_Gender%20in%20H2020-clean-rev.pdf](https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/2016-03-21-Vademecum_Gender%20in%20H2020-clean-rev.pdf).

<sup>10</sup> See <https://orwh.od.nih.gov/sex-gender>.

<sup>11</sup> See [https://ec.europa.eu/research/swafs/pdf/pub\\_gender\\_equality/2016-03-21-Vademecum\\_Gender%20in%20H2020-clean-rev.pdf](https://ec.europa.eu/research/swafs/pdf/pub_gender_equality/2016-03-21-Vademecum_Gender%20in%20H2020-clean-rev.pdf).

*“Integrating gender/sex analysis in research and innovation (R&I) content, which helps improve the scientific quality and societal relevance of the produced knowledge, technology and/or innovation.”*

QUESTION 3:

**IS THERE A PLAN FOR AN EXCHANGE OF GOOD PRACTICES BETWEEN PARTNERS IN INTERNATIONAL COOPERATION IN STI?**

Exchange of good practices is an integral part of mutual learning and strengthening capacities. International cooperation affords a suitable opportunity where the parties to the agreement can benefit from their respective experience in different countries and contexts.

**EXAMPLE 7:**

The report International Cooperation in Science, Technology and Innovation: Strategies for a Changing World<sup>12</sup> contains the following activity for international cooperation in STI:

*“Exchanging experiences and good practice in governance of international cooperation at national level.”*

**EXAMPLE 8:**

In Statement of Principles and Actions Promoting the Equality and Status of Women in Research of Global Research Council<sup>13</sup> the following is stated among others:

***“Engage in national discussions of policy frameworks regarding equality, diversity and the status of women to ensure recognition of these issues. While many organisations have clear and publicly available policies, the public availability of this information varies considerably. Policy frameworks provide the context within which evidence can be gathered and compared both nationally and with international partners and are important in evaluating the success of policy implementation.”***

This Statement should be read in conjunction with the Survey Report on the Equality and Status of Women in Research, commissioned by the co-hosts of the 2016 Annual Meeting, which provides further information and reflection on GRC participant policies at this point in time.

<sup>12</sup> European Commission. 2012. *International Cooperation in Science, Technology and Innovation: Strategies for a Changing World*. Luxembourg: Publications Office of the European Union, p. 14. Available at <https://ec.europa.eu/research/iscp/pdf/publications/report-inco-web-4.pdf>.

<sup>13</sup> See [https://www.globalresearchcouncil.org/fileadmin/documents/GRC\\_Publications/Statement\\_of\\_Principles\\_and\\_Actions\\_Promoting\\_the\\_Equality\\_and\\_Status\\_of\\_Women\\_in\\_Research.pdf](https://www.globalresearchcouncil.org/fileadmin/documents/GRC_Publications/Statement_of_Principles_and_Actions_Promoting_the_Equality_and_Status_of_Women_in_Research.pdf).

## Preparation of Programmes and Calls

Preparation of a programme is a very important phase, and provisions for gender equality should be addressed at the programme level too, and operationalized through calls as relevant. There will be more detailed criteria than at the level of international agreements as such. Again, all three areas should be covered (i.e. gender balance in research teams, gender balance in decision-making and gender dimension in research).

Clearly, the criteria must be published before the start of the programme or call to be transparent and known by applicants in advance.

### QUESTION 4:

#### **IS GENDER EQUALITY CLEARLY DECLARED AND ADDRESSED IN THE DRAFT PROGRAMMES/CALLS?**

Paying attention to gender equality concerns in the drafting stage of programmes and calls is vital because this ensures that gender will not be treated as an “add-on” later on which significantly limits the effectiveness of measures but is an integral part of the design of the support programme and the specific calls which are to implement it. Indeed, the programme documents must reflect the policy priority of gender equality and translate the policy objective into concrete measures and actions.

#### A. Gender Balance in Research Teams

Diversity and gender balance in research teams have positive impact on performance and work efficiency. It also provides equal opportunities of men and women, prevention of loss of talents, research excellence and relevance arising from variety of perspectives and experiences. Moreover, there are also economic benefits. According to an EIGE study, by 2050 improving gender equality will have led to an increase in EU (GDP) per capita by 6.1 to 9.6%, which amounts to €1.95 to €3.15 trillion.<sup>14</sup>

Ensuring diversity of research teams is not a simple task due to many reasons. There are many barriers which prevent women as well as men from embarking on specific areas of research or from aspiring to specific positions. One of the most effective measures for achieving more balanced representation of women and men in research teams, targets and/or quotas continue to be regarded with controversy and face objections in the research policy making. Less controversial but also less effective for promoting equal balance in research teams are mentoring, coaching or supervision.

When thinking about appropriate measures it is recommended that different personnel scenarios in a dynamic research team should be kept in mind. For example, conditions that may be well suited for an early-career researcher without children or other caring commitments may pose specific challenges for researchers with care commitments; they

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<sup>14</sup> See <http://eige.europa.eu/gender-mainstreaming/policy-areas/economic-and-financial-affairs/economic-benefits-gender-equality>.

may, in fact, even constitute indirect discrimination if researchers cannot benefit equally from a particular programme of support (e.g. international mobility schemes).

#### QUESTION 5:

### **IS GENDER EQUALITY IN RESEARCH TEAMS GIVEN DUE PRIORITY IN THE DRAFT PROGRAMMES/CALLS?**

#### EXAMPLE 9:

As regards proposal templates the Research Council of Norway uses this wording in its templates<sup>15</sup>

*“Gender issues (Recruitment of women, gender balance and gender perspectives)*

*When relevant, a description should be provided here of how the project will promote the Research Council’s general objectives to increase recruitment of women and improve gender balance in projects. If gender perspectives are relevant to the substance of the project, describe how these will be taken into account.”*

#### EXAMPLE 10:

We can again use an example of Horizon 2020 Vademecum on Gender Equality. Among others it states the following for the proposal templates:

*“Under ‘Concept and methodology’, applicants are asked the following question: “Where relevant, describe how sex and/or gender analysis is taken into account in the project’s content”. Sex and gender refer to biological characteristics and social/cultural factors respectively.”*

#### EXAMPLE 11:

As many studies show, diversity within a team is beneficial for results. It is not only gender diversity but also age, nationality etc. For example there is a declaration of the necessity of diverse research teams in the Nordic Co-operation Programme for Innovation and Business Policy 2014 - 2017:<sup>16</sup>

*“In order to promote innovation, it is also important to work with open structures that include both women and men, people with different backgrounds, and young and old. The ideas, knowledge and skills of people with longer work experience are becoming an increasingly important resource. Greater equality in groups also generates more creativity, which is important in the innovation process. Women and men should have the same opportunities to use their competence, attain influence and gain access to resources.”*

<sup>15</sup> See [https://www.forskningsradet.no/en/Templates\\_for\\_project\\_description/1254020010021](https://www.forskningsradet.no/en/Templates_for_project_description/1254020010021).

<sup>16</sup> See <http://nordicinnovation.org/Documents/Programmes/Nordic%20Co-operation%20programme%20for%20innovation%20and%20business%20policy%202014-2017.pdf>.

**EXAMPLE 12:**

It was already mentioned that gender equality is declared in the international agreement between the Czech Republic and the European Commission. Funding is then allocated to specific programmes. One of the programmes is Operational Programme Employment which contains gender equality in section 11.3.<sup>17</sup>

It describes specific priority areas in which gender equality is supported. It also states that gender equality should be implemented in other areas not only the one specifically focused on the topic:

*"[...] It is important for the individuals involved in implementation of the projects within the support of equality of women and men to consider properly the specific needs of individual groups and to use e.g. accompanying measures for removal of potential barriers that prevent women in involvement in the projects (children care and other family member care, traffic accessibility etc.). [...]"*

**QUESTION 6:****IS THE GENDER DIMENSION IN RESEARCH CONTENT TAKEN INTO ACCOUNT AND PROMOTED IN THE DRAFT PROGRAMMES/CALLS?<sup>18</sup>****EXAMPLE 13:**

The Canadian Institutes of Health have developed a checklist for the inclusion of sex/gender analysis.<sup>19</sup>

**EXAMPLE 14:**

The Irish Research Council "...funds excellent research and excellent research fully considers the potential biological sex and social gender elements of the research content to maximise the impact and societal benefit of research. Not including the sex-gender dimension into the methodology, content and impact assessment of research can lead to poor research and missed opportunities. In order 'that any assumptions made or issues addressed are based on the best available evidence and information', the sex-gender dimension has to be fully considered."

<sup>17</sup> See <https://www.esfcr.cz/operacni-program-zamestnanost/-/dokument/799049>.

<sup>18</sup> For policies on sex/gender analysis in research funding organizations see <http://genderedinnovations.stanford.edu/sex-and-gender-analysis-policies-major-granting-agencies.html>.

<sup>19</sup> The checklist is available <http://www.cihr-irsc.gc.ca/e/documents/igh-checklist-integrating-fund-initiatives-bio-en.pdf>.

The Irish Research Council 2013-2020 Gender Strategy & Action Plan:<sup>20</sup>

- 1. requires all applicants to indicate whether there is a sex and/or gender dimension to their research, and, if so, to outline how sex/gender analysis will be integrated in the design, implementation, evaluation, interpretation and dissemination of the results.
- 2. facilitates researchers to correctly identify and recognise a potential gender dimension in their proposed research through the provision of reference materials and training sessions.
- 3. provides guidance and training for Irish-based researchers in this area.
- 4. provides guidance and training for Council peer-review assessors for evaluation in this area.
- 5. reviews and monitors funded proposals (Irish Research Council, 2015).

#### QUESTION 7:

**ARE PROGRAMME ANNOUNCEMENTS, CALLS AND GUIDELINES FOR APPLICANTS FORMULATED IN A WAY THAT THEY DO NOT DISCRIMINATE AGAINST WOMEN BUT RATHER ENCOURAGE WOMEN TO APPLY?**

There are various reasons why women do not apply for research funding to the same extent as men. Programme owners should be encouraged to assume responsibility for actively tackling this issue. One easy way to do this which has proven effective is to include encouragement for women to apply. Such encouragement is important particularly in areas where women are strongly under-represented or in applications for more exclusive sources of funding such as centres of excellence. However, given the continued disproportion between women and men among Principle Investigators, such an encouragement can be used in all programmes and calls.

Example 15:

- *“Women are strongly encouraged to apply.”*
- *“[Name of programme owner] welcomes applications from women / strongly encouraged women to apply.”*

#### QUESTION 8:

**ARE PROGRAMMES AND CALLS FORMULATED IN SUCH A WAY THAT THEY DO NOT DISCRIMINATE AGAINST, DIRECTLY OR INDIRECTLY, RESEARCHERS WITH CARING RESPONSIBILITIES? DO PROGRAMMES ADDRESS ISSUES RELATED TO PREGNANCY, MATERNITY/PARENTAL LEAVE FOR PRIMARY INVESTIGATORS AND MEMBERS OF RESEARCH TEAMS?**

Various issues have been identified that may hinder the participation of people with primary caring commitments and career breaks due to care related leave from application for funding.

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<sup>20</sup> Available at [http://research.ie/assets/uploads/2013/01/irish\\_research\\_council\\_gender\\_action\\_plan\\_2013\\_-\\_2020.pdf](http://research.ie/assets/uploads/2013/01/irish_research_council_gender_action_plan_2013_-_2020.pdf).

Programmes and particularly eligibility criteria therefore must take care not to discriminate against such researchers. These provisions should address the following:

- If a programme is intended for early-career researchers, avoid age limits but rather define eligibility in terms of years since PhD completion taking into account career breaks due to care
- Including mobility experience among eligibility criteria may be discriminatory and prevent people with care commitments, in particular women, from being able to apply. If mobility experience is to be included, make sure that exemptions can be requested in defined cases, including impaired physical mobility, reduced mobility due to primary caring duties etc.
- Other forms of mobility should be also recognized: short-term mobility and split stays (short stays, conferences etc.) or virtual mobility.<sup>21</sup> If programmes of support are intended for single applicants (e.g. early career researchers), the rules must provide for postponement and interruption of grant implementation due to parental leave.
- If programmes of support are intended for research teams, provisions should be included to facilitate the return of the Principal Investigator after the break. At minimum, the programme owner should ensure that the PI status returns to the person coming back from the parental leave.
- Today, some programme owners provide additional funding to PI coming back from parental level to support childcare which top up existing funding allocation.
- Some mobility schemes contain costs for family relocation (see below section Financial Rules and Eligible Costs).

**EXAMPLE 16:**

European Research Council (ERC) considers parenthood in grant schemes. The eligibility criteria of Principles Investigators can be extended:

- female applicants' eligibility window is extended by 18 months per child (or if longer by the documented amount of leave actually taken for each child)
- male applicants' eligibility window is extended by the documented amount of paternity leave actually taken for each child
- eligibility periods can be extended in the following properly documented circumstances as well (for each incident which occurred):
  - long-term illness (over 90 days for PI or a close family member: child, spouse, parent or sibling)
  - clinical training
  - or national service

Career breaks and other circumstances of PI taken into account during the evaluation of grant.

It is also possible to make appropriate modifications of the project from both scientific and personal grounds (related to PI only: e.g. maternity leave, long term illness):

- suspension of grant

<sup>21</sup> Borchgrevinck, H. and B. Scholz. 2013. *New Concepts of Researcher Mobility. A comprehensive approach including combined/part-time positions*. Strasbourg: European Science Foundation. Available at [http://archives.esf.org/uploads/media/spb49\\_ResearcherMobility.pdf](http://archives.esf.org/uploads/media/spb49_ResearcherMobility.pdf).

- part-time work
- extension of grant duration

#### EXAMPLE 17:

Despite some changes in the distribution of care roles, women continue to be the primary carers who interrupt their research careers for parental breaks. However, this might be applicable to anybody in the research team who is responsible for tending to children, seniors or persons with disability. To take into account the specific situation of such researchers it is necessary to set the conditions of the programme to be inclusive for all. It is also important that mobility measures and mobility schemes should consider whether the eligibility rules (such as mobility duration) are not discriminatory, e.g. if the programme defined length of at least six months or a year for a foreign internship, it could entail indirect discrimination because it may be too long for a researcher with care responsibilities.

For example the Alexander von Humboldt Foundation<sup>22</sup> provides broad support for families of researchers on research internships abroad. They declare among others the following:

*“The Humboldt Foundation can grant, provided that the budget situation allows, allowances and/or a subsidy towards health and personal liability insurance for spouses and minor children who accompany the research fellow during the sponsorship period for at least three months (without interruption). Furthermore, the Foundation offers research fellows a number of options to support them in raising their child or children.”*

The Foundation also has specific conditions for researchers with accompanying families.<sup>23</sup>

#### BUT BE CAREFUL...

Part-time jobs can be seen as one of the measures which help caring persons especially women to reconcile their family and research life. This is true but it is also necessary to bear in mind that part-time jobs can have a negative impact on a researcher's career, remuneration or pension when retired.<sup>24</sup>

<sup>22</sup> See <https://www.humboldt-foundation.de/web/benefits-for-families.html>.

<sup>23</sup> For more details see <https://www.humboldt-foundation.de/web/information-for-women-academics.html>.

<sup>24</sup> See Item 22 of Council conclusions on Women and the economy: Economic independence from the perspective of part-time work and self-employment which state: “Part-time work should be analysed in relation to its potential to enhance women's economic independence and to facilitate work-life balance. However, its potential to exacerbate gender differences in pay, working conditions and career advancement over the life cycle should also be studied.”

**EXAMPLE 18:**

In Statement of Principles and Actions Promoting the Equality and Status of Women in Research of Global Research Council<sup>25</sup> it is stated among others the following:

*“Shift the focus from the researcher “track record” to “research opportunity”. The traditional approach to track record can penalise researchers who have a career gap – often related to caregiving responsibilities – in their record. Shifting the focus from “track record” to “research opportunity” may ensure that career development and progression are not affected adversely by significant or extends periods of, for example, career interruptions, parental leave or part-time work. “Research opportunity” in this context considers how a researcher’s productivity and contribution throughout their career corresponds to the opportunities that have been available to them.”*

**B. Gender balance in decision-making**

Programmes may be governed by specific Programme Committees which adopt programme documents and approve for funding particular calls. When the responsible governing body appoints such a Programme Committee, attention should be paid to gender balance. This also includes invitations for nominations from the research and innovation community.

**EXAMPLE 19:**

Making sure that women and men are represented in a balanced manner can be achieved through soft measures, such as the encouragement of women to apply or for bodies making nominations paying attention to gender balance or requesting a nomination of a woman and a man in order to ensure that women are well represented in the pool from which selection is made.

- *“Women are strongly encouraged to apply.”*
- *“When making nominations, pay attention to gender balance.”*
- *“When making nominations, please nominate one male and one female candidate.”*

**C. Gender dimension in research content**

The gender dimension in research is likely to be relevant in all research and innovation actions which involve humans or human tissue and which are to be used by people. Programmes and calls should take care of explicitly mention the requirement to address the gender dimension in research. Programme owners should provide guidance on how the sex/gender analysis should be tackled by applicants.<sup>26</sup>

**QUESTION 9:**

<sup>25</sup> See

[https://www.globalresearchcouncil.org/fileadmin/documents/GRC\\_Publications/Statement\\_of\\_Principles\\_and\\_Actions\\_Promoting\\_the\\_Equality\\_and\\_Status\\_of\\_Women\\_in\\_Research.pdf](https://www.globalresearchcouncil.org/fileadmin/documents/GRC_Publications/Statement_of_Principles_and_Actions_Promoting_the_Equality_and_Status_of_Women_in_Research.pdf).

<sup>26</sup> The Framework Programme 7 GENDER-NET ERA-NET developed a checklist for grant applicants, available here <http://igar-tool.gender-net.eu/en/checklist-0>. It can be used as an example also for programme owners.

## IS A SPECIFIC PROGRAMME IN PLACE TO SUPPORT GENDER RESEARCH AS A SELF-STANDING RESEARCH AREA?

### EXAMPLE 20:

The Swedish International Development Cooperation Agency (Sida) attaches great importance to gender equality in its projects. It has a toolbox for gender in research cooperation.<sup>27</sup> In this toolbox gender equality is addressed through four different approaches. One of these approaches is:

*“Supporting research on gender and research where addressing gender disparities and differences is part of the applied methodology.”*

## Proposal Evaluation and Funding Decisions

Proposal evaluation is a crucial process, and there are many aspects related to gender issues that need to be addressed. These relate to the gender balance among evaluators and programme committees, gender expertise and the capacity to properly evaluate gender dimension in research, and the way the evaluation procedures - including templates for evaluation reports - are designed.

### QUESTION 10:

#### IS GENDER EQUALITY INCLUDED AMONG HORIZONTAL EVALUATION CRITERIA?

Gender equality is a horizontal topic, and applicants should thus be required to address gender equality in their proposal along all the three objectives (gender balance in research teams, gender balance in decision-making and gender dimension in research). This is especially necessary if the agreement or programme text address gender equality issues. Evaluation criteria then must reflect this.

A crucial aspect of addressing gender in the evaluation process is to ensure that it is made explicit, both in the proposal guidelines and templates, in the evaluation form and report as well as any other documents of relevance for decision-making.

Furthermore, where the programme or call specifically mention the gender dimension in research (sex/gender analysis), this aspect must be made explicitly part of the proposal evaluation in the Excellence section (or similar relating to the research design). Evaluation scores should also reflect this. If a project proposal fails to properly address the gender perspective, the project should receive lower point scores and should be ranked lower than other projects of similar quality.

<sup>27</sup> See <https://www.sida.se/contentassets/3a820dbd152f4fca98bacde8a8101e15/gender-tool-integrate-gender-perspective-into-research-cooperation.pdf>.

It is also important to promote gender balance in decision-making in international cooperation in STI. It includes various levels of decision-making especially during the process of reviewing and prioritising proposals. These levels are:

- gender balance among evaluators, evaluation panels and programme committees
- having a gender expert as an obligatory member of the evaluation panel
- gender trainings for those involved, i.e. programme staff, including evaluators and evaluation panels

**QUESTION 11:**

**ARE APPLICANTS EXPLICITLY REQUIRED TO ADDRESS THE GENDER DIMENSION IN RESEARCH PROPOSALS, ESPECIALLY IN CALLS INVOLVING HUMANS?**

**EXAMPLE 21:**

In Horizon 2020 under 'Concept and methodology', applicants are asked the following question: "Where relevant, describe how sex and/or gender analysis is taken into account in the project's content."

**QUESTION 12:**

**IF A PROGRAMME OR CALL EXPLICITLY MENTION GENDER DIMENSION IN RESEARCH, ARE APPLICANTS REQUIRED TO PROVIDE AN EXPLANATION WHY THEY HAVE NOT ADDRESSED GENDER DIMENSION IN THEIR RESEARCH DESIGN?**

**EXAMPLE 22:**

The National Institutes of Health have a policy on sex as a variable to be included in the research design.<sup>28</sup> The 4Cs of Studying Sex to Strengthen Science include:

- **Consider:** Design studies that take sex into account; or explain why it isn't incorporated
- **Collect:** Tabulate sex-based data
- **Characterize:** Analyse sex-based data
- **Communicate:** Publish and report sex-based data

**QUESTION 13:**

**IS GENDER BALANCE ENSURED AMONG EVALUATORS, ON EVALUATION PANELS AND DECISION-MAKING COMMITTEES?**

**EXAMPLE 23:**

<sup>28</sup> See <https://orwh.od.nih.gov/sex-gender/nih-policy-sex-biological-variable>.

As the GENDER-NET analysis report regarding National plans and initiatives promoting gender equality and structural change<sup>29</sup> states:

*“Within ERA, there is an agreed-upon target of at least 40 % participation of each sex in evaluation and recruitment panels. This can be achieved through various measures. [...] three of the assessed countries have reported having legislation on gender balance in the research sector: Spain, France and Norway.”*

There is an example from Spain which is on the legislative measure but it can be a source of inspiration also for the preparation at programme level. With regard to Spain the analysis report states:

*“The Equality Law of Spain states that all public institutions should foster the balanced presence of women and men in selection and evaluation bodies. The Law of Science, Technology and Innovation, which sets the national framework for the promotion and coordination of scientific and technical research, supplements the Equality Law. It recommends confidential evaluation procedures (where the evaluator does not get the personal data of the person being assessed) as a measure to eliminate gender bias and achieve balanced representation. It also states that the institutions have to seek balanced representation of women and men in the selection processes for members of the expert committee boards for university accreditation. The Law of Universities, which regulates the structure and governance of Spanish Universities, supplements the other two laws and obliges the universities to achieve parity in representative/governing bodies. They must also seek a balanced presence of both genders in research groups and in the selection committees for appointing researchers to positions in university faculty bodies. Finally, the committees granting the national accreditation necessary to work in public universities must seek a balanced representation of women and men.”*

#### QUESTION 14:

#### **IS THERE A PROVISION TO INCLUDE A MEMBER WITH GENDER EXPERTISE IN EVALUATION PANELS AND DECISION-MAKING COMMITTEES?**

#### **EXAMPLE 24:**

The inclusion of gender experts on evaluation panels has been recommended by the European Commission's Advisory Group on Gender in Guidance for the selection of evaluators with gender expertise for proposals submitted under H2020 calls.<sup>30</sup>

<sup>29</sup> See [http://kjonnsforskning.no/sites/default/files/rapporter/GENDER-NET\\_D2-5 - National plans and initiatives promoting gender equality and structural chang e.pdf](http://kjonnsforskning.no/sites/default/files/rapporter/GENDER-NET_D2-5_-_National_plans_and_initiatives_promoting_gender_equality_and_structural_chang_e.pdf), page 11.

<sup>30</sup> The Guidance is available at <http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupDetailDoc&id=16350&no=1>. See also a workshop report European Commission's Implicit gender biases during evaluations: How to raise awareness and change attitudes?, available at [http://ec.europa.eu/research/swafs/pdf/pub\\_gender\\_equality/report\\_on\\_implicit\\_gender\\_biases\\_during\\_evaluations.pdf](http://ec.europa.eu/research/swafs/pdf/pub_gender_equality/report_on_implicit_gender_biases_during_evaluations.pdf).

**QUESTION 15:**

**IS A SYSTEM IN PLACE WHEREBY EVALUATION MODERATORS ARE MADE INTERNALLY ACCOUNTABLE FOR ENSURING PROPER BRIEFING OF EVALUATORS ON GENDER ISSUES TO BE ADDRESSED IN EVALUATION?**

**EXAMPLE 25:**

The Helsinki Group on Gender in Research and Innovation, an advisory group to the Commission, recommended in its Position Paper on Mid-Term Evaluation of Horizon 2020 and Preparation of FP 9 in Section 6 Evaluation and further monitoring the following<sup>31</sup>:

- To institutionalise a procedure whereby evaluation moderators will be held accountable for providing appropriate briefing on gender issues in H2020.

**QUESTION 16:**

**ARE STAFF MEMBERS, AND SPECIFICALLY PROGRAMME MANAGERS, EVALUATORS, MEMBERS OF EVALUATION PANELS AND DECISION-MAKING COMMITTEES TRAINED IN GENDER EQUALITY? IS IT FORESEEN TO PROVIDE GENDER TRAININGS TO ALL NEW STAFF MEMBERS, AND SPECIFICALLY PROGRAMME MANAGERS, EVALUATORS AND MEMBERS OF EVALUATION PANELS?**

**EXAMPLE 26:**

Global Research Council states in its Statement of Principles and Actions Promoting the Equality and Status of Women in Research<sup>32</sup> the following:

*“Provide training on equality and diversity policies, including the recognition of unconscious bias and how it can be addressed. All those involved in research funding decision-making, including those who manage research funding and those involved in the peer review process, should encourage access to training to raise awareness of sources of bias. In particular, training on unconscious bias is encouraged. Membership of review panels should be sufficiently diverse and those that sit on panels should receive appropriate training to ensure that the most promising research ideas are supported.”*

**EXAMPLE 27:**

Operational Programme Employment which is implemented in the Czech Republic<sup>33</sup> contains obligatory training for staff participating in management and supervision. It is stated that it is necessary to implement:

<sup>31</sup> For the Position Paper see <https://epws.org/helsinki-group-position-paper-h2020/>.

<sup>32</sup> See

[https://www.globalresearchcouncil.org/fileadmin/documents/GRC\\_Publications/Statement\\_of\\_Principles\\_and\\_Actions\\_Promoting\\_the\\_Equality\\_and\\_Status\\_of\\_Women\\_in\\_Research.pdf](https://www.globalresearchcouncil.org/fileadmin/documents/GRC_Publications/Statement_of_Principles_and_Actions_Promoting_the_Equality_and_Status_of_Women_in_Research.pdf).

*“Measures aiming for education of employees of the authorities participating in management and supervision of the ESIF in the field of legal regulations and the Union's policy against discrimination.”*

Further provisions stipulate that:

*“In cooperation of [the Office of the Government and the Human Rights Defender], training programmes on equal treatment and ban on discrimination have been prepared for all relevant employees. This criterion is already being fulfilled and this will continue throughout the programming period.*

*The [Ministry of Regional Development] ensures at the horizontal level that employees implementing EU funds are trained under the Education System; Section for Human Rights of the Office of the Government provides content and lecturers for the training.”*

The following measures are crucial for ensuring that gender equality aspects are not “forgotten” in the proposal evaluation.

**QUESTION 17:**

**IS GENDER EQUALITY CLEARLY INDICATED IN THE EVALUATION FORM TEMPLATE AS A CRITERION FOR PROJECT EVALUATION?**

**EXAMPLE 28:**

The National Institutes of Health Guidelines for the Review of Inclusion on the Basis of Sex/Gender, Race, Ethnicity, and Age in Clinical Research<sup>34</sup> which define the following reviewers' responsibilities:

“Evaluate the applicant's plans for inclusion on the basis of sex/gender, race, and ethnicity.”

**QUESTION 18:**

**DOES THE EVALUATION FORM TEMPLATE CONTAIN A CLEARLY FORMULATED QUESTION WHETHER THE PROPOSAL ADEQUATELY ADDRESSES THE GENDER DIMENSION IN RESEARCH?**

**QUESTION 19:**

**FOR CALL TOPICS AND PROGRAMMES EXPLICITLY MENTIONING GENDER, DO PROPOSALS THAT DO NOT ADDRESS THE GENDER DIMENSION IN RESEARCH**

<sup>33</sup> See <https://www.esfcr.cz/operacni-program-zamestnanost/-/dokument/799049>, page 175.

<sup>34</sup> See [https://grants.nih.gov/grants/peer/guidelines\\_general/Review\\_Human\\_subjects\\_Inclusion.pdf](https://grants.nih.gov/grants/peer/guidelines_general/Review_Human_subjects_Inclusion.pdf).

## RECEIVE A SCORING PENALTY IN THE EXCELLENCE SECTION ADDRESSING THE RESEARCH DESIGN?

### QUESTION 20:

**IS GENDER EQUALITY CLEARLY INDICATED IN THE EVALUATION REPORT PREPARED BY EVALUATION COMMITTEE?**

### QUESTION 21:

**IS THE GENDER DIMENSION IN RESEARCH CLEARLY INDICATED IN THE EVALUATION REPORT PREPARED BY EVALUATION COMMITTEES, ESPECIALLY IN THE CASE OF PROGRAMMES AND CALLS EXPLICITLY ADDRESSING GENDER DIMENSION IN RESEARCH?**

### QUESTION 22:

**IS THERE AN EVALUATION SCORING ADVANTAGE GIVEN TO PROJECTS WHEN IT IS FORESEEN FOR MEMBERS OF THE RESEARCH TEAM TO UNDERGO GENDER TRAINING?**

## Financial rules and eligible costs

Financial rules of the programme are a very important steering instrument and can help to promote gender equality in the programme.

### QUESTION 23:

**ARE THE COSTS OF GENDER EQUALITY TRAININGS AND GENDER EXPERTS AN ELIGIBLE COST OF THE PROGRAMME?**

If team members undergo gender training they will be more sensitive to gender issues; equally, an explicit mention of the eligibility of the costs of gender experts may stimulate applicants to foreseen the cooperation of gender experts on their research project.

#### EXAMPLE 29:

The National Institutes of Health in the US have taken a proactive approach and have developed courses on the gender dimension in research. These courses are available online<sup>35</sup> and cover the following topics:

- Course 1: The Basic Science and the Biological Basis for Sex- and Gender-Related Differences
- Course 2: Sex and Gender Differences in Health and Behavior
- Course 3: The Influence of Sex and Gender on Disease Expression and Treatment

<sup>35</sup> For more information see <https://sexandgendercourse.od.nih.gov/>. Courses are also developed at institutional level. For example, University of Heidelberg offers online training on gender bias. For more information see [https://www.uni-heidelberg.de/gleichstellungsbeauftragte/career/onlinetutorial\\_genderbias.html](https://www.uni-heidelberg.de/gleichstellungsbeauftragte/career/onlinetutorial_genderbias.html).

**QUESTION 24:****ARE COACHING, MENTORING OR SUPERVISION FOR FEMALE TEAM MEMBERS INCLUDED AS ELIGIBLE COSTS OF THE PROGRAMME?**

Women researchers, in particular on the transition between the postdoctoral and research phase, face a higher risk of attrition from research. Research shows that women tend to receive less mentoring, coaching and supervision during doctoral and postdoctoral stages and are less networked. To address these concerns, programmes where doctoral and postdoctoral training are important features can include mentoring, coaching and supervision and make these costs eligible.

**QUESTION 25:****ARE THE COSTS FOR CARING SERVICES OR OTHER FAMILY SUPPORT SERVICES ELIGIBLE COST OF THE PROGRAMME, IN PARTICULAR IN MOBILITY SUPPORT SCHEMES?****EXAMPLE 30:**

The Research Council of Norway in its Strategy for International Cooperation 2010–2020 declares among others the following:<sup>36</sup>

- *“Schemes for achieving this must be adjusted to encourage more women candidates to choose to conduct research stays abroad.”*

**EXAMPLE 31:**

In Marie Skłodowska-Curie actions there is an emphasis on dual career services:<sup>37</sup>

- *“The MSCA pay particular attention to equal opportunities, which includes gender balance and the inclusion of researchers with disabilities. In line with the Charter and Code, all MSCA proposals are encouraged to take appropriate measures to facilitate mobility and counteract gender-related barriers to it. Beneficiaries could offer dual career services or participate in regional/national dual career networks, which may provide information and advice on career opportunities, job search and social interaction in the new geographical area for researchers' spouses/partners.”*

## Programme Monitoring and Evaluation

This level of implementation of the gender perspective in international cooperation in STI is one of the most important because it forms an evaluation framework to monitor progress. It can work with quantitative as well as qualitative criteria of monitoring and evaluation. Each

<sup>36</sup> See here: [https://www.forskningsradet.no/en/International\\_strategy/1253964686548](https://www.forskningsradet.no/en/International_strategy/1253964686548), page 11.

<sup>37</sup> See [http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/main/h2020-wp1820-msca\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/main/h2020-wp1820-msca_en.pdf), page 6.

programme manager may set a number of targets to be achieved and a time period during which they will be achieved. It also allows comparing different partners and countries.

One of the main instruments for monitoring and evaluation is the collection of statistical data and monitoring of relevant indicators. Only with sufficient statistical data is it possible to fully evaluate success in the implementation of gender equality in international cooperation. All statistics should be collected in sex-disaggregated manner where possible in order to monitor the application and success rates of women and men, the funding allocations to women and men Principle Investigators. Furthermore, monitored should be grants which incorporate the gender dimension and the amounts of money allocated for gender equality actions. Indicators to assess the achievements of international cooperation should be segregated by sex too, and specific indicators should be developed to monitor gender equality.

**QUESTION 26:**

**ARE ALL PROGRAMME MONITORING AND EVALUATION DATA COLLECTED AND REPORTED IN A SEX DISAGGREGATED MANNER, IN PARTICULAR THE APPLICATION AND SUCCESS RATES FOR WOMEN AND MEN APPLICANTS, THE BUDGETS ALLOCATED TO WOMEN AND MEN PRINCIPAL INVESTIGATORS AND BUDGET CUTS FOR WOMEN AND MEN PRINCIPAL INVESTIGATORS?**

Below please find a list of statistical data which may be useful to collect:

A. Gender Balance in Research Teams

- Number of male and female applicants by programme, area of research etc.
- Number of male and female principal investigators / coordinators by programme, area of research etc.
- Composition of research teams by sex by programme, area of research etc.
- Number of part-time / full-time jobs for men and women in research teams.
- Number of permanent and temporary staff in research teams, by sex.
- Number of researchers that have returned from the parental leave to the same position in the team and number of that who have not, the ratio of men and women among them.
- Ratio of the overall budget of the programme assigned to men and women measured by principal investigators of research teams.

B. Gender Balance in Decision Making

- Proportion of men and women among evaluators.
- Proportion of men and women on evaluation panels and decision-making bodies.
- Number of recruitment/promotion commissions at different levels of implementation of the programme(s) that fulfil a requirement/promotion of gender balanced recruitment commissions.

- Proportion of men and women in the management and as heads of the Research Funding Organization.
- Proportion of men and women among programme managers.

### C. Gender Dimension in Research

- Number of programmes and calls specifically focused on the gender dimension by programme and area of research.
- Proportion of projects that address the gender dimension by programme, calls and area of research.

#### EXAMPLE 32:

According to the requirements of appendix 1 to ESF regulation, data about sex of the supported individuals shall be collected in the course of monitoring so that the support of women and compliance with the principle of the equality of women and men can be reported and evaluated in the course of evaluation process. Recommendations obtained in this way shall be considered in setting up the parameters of calls and conditions for implementation of the projects and potential modifications of application of the horizontal topic of equality of women and men in the course of implementation of the operation programme.<sup>38</sup>

In addition to statistical data, it is also useful to set up a monitoring mechanism during and after the implementation of the programme and projects that includes monitoring of gender equality.

#### QUESTION 27:

**IS DETAILED SYSTEM OF STATISTICAL DATA COLLECTION ON WORKFORCE AMONG PRINCIPAL INVESTIGATORS/COORDINATORS AND ON TEAMS IN PLACE WHICH DISTINGUISHES BETWEEN RESEARCH AND ADMINISTRATIVE ROLES?**

#### EXAMPLE 32:

The Helsinki Group on Gender in Research and Innovation, an advisory group to the Commission, recommended the following in Section 1 Gender balance in research teams of its Position Paper on Mid-Term Evaluation of Horizon 2020 and Preparation of FP 9:<sup>39</sup>

- *A more detailed system to monitor the workforce, and in particular the research workforce by categories of researchers (Scientific Coordinators, WP leaders, Researchers, Postdocs and PhDs), disaggregated by each part of H2020. For FP9, an additional indicator on the number of ex aequo proposals that have been prioritised in the evaluation process on the basis of the gender balance ranking factor*
- *A monitoring distinction between scientific and administrative coordinators. As a follow up to Article 33, a procedure should be developed to monitor funded projects in terms of gender balance in research teams (at grant agreement and final reporting stage).*

<sup>38</sup> See <https://www.esfcr.cz/operacni-program-zamestnanost/-/dokument/799049>.

<sup>39</sup> For the Position Paper see <https://epws.org/helsinki-group-position-paper-h2020/>.

- *Regarding family/parental leave, additional funding should be provided to recruit a cover post or to extend the research period, in collaborative projects.*

QUESTION 28:

**ARE THE THREE PRIORITIES OF GENDER EQUALITY PART OF THE MID-TERM AND FINAL REVIEW OF PROJECTS?**

QUESTION 29:

**ARE THE THREE PRIORITIES OF GENDER EQUALITY AN ASPECT IN PROGRAMME EVALUATION?**

QUESTION 30:

**IS THE IMPACT OF THE GENDER EQUALITY MEASURES ASSESSED AS PART OF PROGRAMME EVALUATION?**