



**RTD-B7 “Science with and for Society”
26-02-2014¹**

Vademecum on Gender Equality in Horizon 2020

I. INTRO

The purpose of this Vademecum is to provide the Commission/ Agency staff², potential applicants, the Helsinki Group, NCPs, as well as experts’ evaluators and other actors involved in the implementation of Horizon 2020 with practical guidance on the effective application of the new Gender Equality provisions. This means integrating Gender Equality issues at each stage of the research cycle: from programming through implementation, monitoring and programme evaluation.

II. OBJECTIVES

Three objectives underpin the Commission’s activities on gender equality in Horizon 2020. They are in line with the RTD strategy on gender as well as with the ones set in the ERA Communication of July 2012:

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

¹ This text reflects the provisions as they stand on 26/02/2014

² Scientific and project officers, call coordinators, Work Programme drafters etc.

These objectives are part of the Commission provisions for the implementation of Horizon 2020 and are integrated at each stage of the Research and Innovation cycle.

III. LEGAL BASIS

The promotion of gender equality, including the integration of the gender dimension in research and innovation content is enshrined in the three core documents on Horizon 2020 (cf. Annex 1 for full details):

- The Horizon 2020 Regulation
- The Rules for participation
- The Specific Programme implementing Horizon 2020

IV. IMPLEMENTATION OF GENDER EQUALITY AT EACH STAGE OF THE RESEARCH CYCLE

Advisory Groups

- Equal balance between women and men shall be respected in the composition of the groups.
- Each group includes at least one expert with gender expertise in research and innovation.
- The gender experts from the different groups will meet regularly in an *ad hoc* formation.

General Introduction of the 2014-2015 Work Programme

- Gender balance in research teams: applicants to Horizon 2020 are encouraged “to promote equal opportunities in the implementation of the action and to ensure a balanced participation of women and men at all levels in research and innovation teams and in management structures”.
- Gender dimension: “the gender dimension is explicitly integrated into several topics across all the sections of the Work Programme” (...) “a topic is considered gender relevant when it and/ or its findings affect individuals of groups of persons. In these cases, gender issues should be integrated at various stages of the action and when relevant, specific studies can be included. These topics are flagged to ease access for applicants. This should not however prevent applicants to a non-flagged topic from including a gender dimension in their proposal if they find it relevant”.
- Through the participant portal, interested users have two ways of accessing topics with an explicit gender dimension:
 - By clicking on a “quick finder” link, the list of *all* the gender-flagged topics appears:
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/flags/gender.html#c,topics=flags/s/Gender/1/1&+callDeadline/desc>
 - Through a keyword search, by inserting one or more keywords at the following link:
http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/search/search_topics.html

Proposal template³

- Under ‘*Concept and approach*’, 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. For guidance on methods of sex / gender, and the issues to be taken into account, please refer to: http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm

- Under ‘*Members of the consortium*’, applicants are asked to specify the sex of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities.

Expert evaluators

- Composition of panels: 40% target of the under-represented sex, taking into account the situation in the specific field⁴
- “*Gender equality and gender content of research*” are required areas of expertise, as per the call for expression of interest for individual experts⁵ launched at the end of November.
- Adaptation of EMI categories: the new experts’ database includes subcategories on gender in the various fields of research, which individual can tick while filling in their application.
- Expertise and professional experience on gender should be adequately detailed and documented, e.g. by indicating specific studies or researches on gender, degree in gender studies, publications on gender.
- Briefing of evaluators: briefings should include a tailored component on gender in research content. Scientific officers should also inform the evaluators on how to deal with gender issues during the evaluation, especially for the flagged topics.

Evaluation process

- Gender dimension: for flagged topics, evaluators shall check *how sex and/or gender analysis is taken into account in the project’s content* (as requested in the application form).
- In case gender issues have been developed for a non-flagged topic, they become fully part of the project and evaluators will deal with it as they will with the other relevant parts of the proposals.
- Gender balance comes into play as a ranking factor to prioritise *ex aequo* proposals⁶: “*gender balance among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities*”.

³ The present section does not apply to the European Research Council and to Marie Curie Actions.

⁴ The Call for expression of interest for individual experts reminds that the Commission has set itself a target of 40% of the under-represented sex in evaluation panels and expert groups and that in order to achieve this target it particularly encourages applications from suitably qualified women.

⁵ Call addressed to individuals for the establishment of a database of prospective independent experts to assist Commission services with tasks in connection with Horizon 2020

⁶ Cf. Annex H “Evaluation” of the Work Programme 2014-2015

Grant Agreement and Negotiations

- While signing the Grant Agreement, beneficiaries “*must take all measures to promote equal opportunities between men and women in the implementation of the action*” and “*must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level*”⁷.
- The Commission will assess the implementation of the above-mentioned obligation along with other commitments of the beneficiaries⁸.

Monitoring⁹

- The Commission will monitor the implementation of gender as a cross-cutting issue, at various stages in the funding process.
- The following are Specific Performance Indicators for Horizon 2020, starting to be collected in 2016, on an annual basis:
 - Inclusion of gender in the content of research (number of projects including gender analysis in the content of research - products, instruments, methods, technologies, prototypes);
 - Workforce statistics by gender (number in FTE¹⁰ and gender of projects' staff), technicians, administrative staff (including legal);
- The following Indicators will be used on an annual basis to determine the prevalence of gender as a cross-cutting issue:
 - % of women MSC Fellows, starting to be collected in 2015.
 - % of women as ERC principle investigators, starting to be collected in 2015.
 - % of women in advisory groups, expert groups, evaluation groups and panels, starting to be collected in 2014.
 - % of projects with gender dimension in the project design, starting to be collected in 2015.

V. TRAINING

...within H2020 projects

A novelty of Horizon 2020 is the inclusion of gender training among the eligible costs of an action. The aim is to help researchers to further develop and share gender expertise in relation to the funded project.

⁷ Art. 33.1 of the mono and multi-beneficiaries Model Grant Agreement.

⁸ Art. 33.2 of the mono and multi-beneficiaries Model Grant Agreement specifies that in case of breach of the obligation in question, the Commission/ Agency may apply the measures described in Chapter 6 of the Model Grant Agreement (rejection of costs; reduction of the grant; recovery; penalties; damages; suspension; termination),

⁹ The provisions on the monitoring reflect the current state of discussions within the relevant DG RTD groups. They yet have to be confirmed in the Commission staff working document on H2020 evaluation.

¹⁰ Full time equivalent

The annex of the Work Programme explicitly refers to the possibility of including gender training as an activity in proposals as well as to the type of costs that would actually be eligible.

...of Commission staff

Systematic training for those involved in the drafting and the implementation of work programmes. Two types of training: basic for general awareness and specific to individual Challenges/ Programmes.

VI. A SPECIFIC CALL ON GENDER EQUALITY

Part 16 of the Work Programme, *Science with and for Society*, foresees a specific call on gender equality, which includes:

- Continuous funding for the implementation of institutional changes in universities and research institutions, both in 2014 and 2015;
- Two research topics aiming at (1) analysing the impact of gender diversity on Research & Innovation, scheduled for 2014 and (2) evaluating initiatives to promote gender equality in research policy and research organisations, scheduled for 2015;
- Support for the Communication campaign “Science it’s a girl thing” in 2014, to promote cooperation among stakeholders (schools, museums, science centres) in order to encourage more girls to study science.

All topics will be launched on 11/12/2013; the 2014 ones will close on 2/10/2014, while the 2015 on 16/09/2015.

VII. RELEVANT RESOURCES

- GenPort – on-line community of practionners for sharing knowledge and inspire collaboration: www.genderportal.eu
- Gendered Innovations publication: http://ec.europa.eu/research/science-society/document_library/pdf_06/gendered_innovations.pdf
Website, with all case studies: http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm
- Gender Toolkit: <http://www.yellowwindow.be/genderinresearch/>
- Responsible R & I Toolkit – *in development*
- Madrid Declaration on Advancing Gender and Training in Theory and Practice: http://www.quing.eu/files/results/final_opera_report.pdf
- Cost Action GenderSTE: www.genderste.eu

VIII. ANNEXES

Annexes include relevant excerpts on gender from Horizon 2020 official documents, Commission’s implementing provisions as well as from the Guide for Applicants.

Annex I: Glossary

Sex refers to biological qualities characteristic of women [females] and men [males] in terms of reproductive organs and functions based on chromosomal complement and physiology. As such, sex is globally understood as the classification of living things as male and female, and intersexed¹¹.

Gender – a socio-cultural process – refers to cultural and social attitudes that together shape and sanction “feminine” and “masculine” behaviours, products, technologies, environments, and knowledge¹².

Gender equality: gender equality is the result of the absence of discrimination on the basis of a person’s sex in opportunities and the allocation of resources or benefits or in access to services¹³.

Equal opportunities for women and men: equal opportunities indicate the absence of barriers to economic, political and social participation on the grounds of sex¹⁴.

Sex/ gender analysis: is an umbrella term for the entire research cycle that includes the integration of sex/ gender issues from the setting of research priorities through developing methodologies, gathering and analysing data to evaluating and reporting results and transferring them to markets.

Gender dimension in research: is a concept regrouping the various elements concerning biological characteristics and social/cultural factors of both women and men into the development of research policies, programmes and projects.

Annex II: Horizon 2020 texts

Regulation

Recital 25: *“The activities developed under Horizon 2020 should promote equality between women and men in research and innovation, by addressing in particular the underlying causes of gender imbalance, by exploiting the full potential of both female and male researchers, and by integrating the gender dimension into the research and innovation content as well as by paying particular attention to ensuring gender balance, subject to the situation in the field of research and innovation concerned, in evaluation panels and in other relevant advisory and expert bodies in order to improve the quality of research and to stimulate innovation. Activities should also aim at implementation of principles relating to equality between women and men as laid down in Articles 2 and 3 of the Treaty on European Union and in Article 8 TFEU”.*

Art. 14: *“Linkages and interfaces shall be implemented across and within the priorities of Horizon 2020. Particular attention shall be paid in this respect to (...) responsible research and innovation including gender”*

Art. 16: *“Horizon 2020 shall ensure the effective promotion of gender equality and the gender dimension in research and innovation content. Particular attention shall be paid to ensuring*

¹¹ Cf. Gendered Innovations, How gender analysis contributes to research

¹² Cf. Gendered Innovations, How gender analysis contributes to research

¹³ Cf. Strategy for equality between women and men 2010-2015

¹⁴ Cf. Gender Toolkit in EU-funded research

gender balance, subject to the situation in the field of research and innovation concerned, in evaluation panels and in bodies such as advisory groups and expert groups.

The gender dimension shall be adequately integrated in research and innovation content in strategies, programmes and projects and followed through at all stages of the research cycle.

Art. 31: *“The Commission shall annually monitor the implementation of Horizon 2020, its specific programme (...). This shall include information on cross-cutting topics such as (...) gender equality”.*

Art. 32: *“Not later than end 2017 (...) the Commission shall carry out, with the assistance of independent experts, an interim evaluation of Horizon 2020, its specific programme, including the European Research Council, and the activities of the European Institute of Innovation and Technology, on the achievements (at the level of results and progress towards impacts) of the objectives of Horizon 2020 and continued relevance of all the measures, the efficiency and use of resources, the scope for further simplification, and Union added value. That evaluation shall also take into consideration aspects relating to access to funding opportunities (...) for promoting gender balance”*

Rules for participation

Art. 13: *“Where relevant and specified in the work programme or the work plan, proposals shall explain how and to what extent gender analysis is relevant to the content of the intended project”*

Art. 18: *“The grant agreement shall, where appropriate and to the extent possible, reflect the general principles laid down in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (...) as well as the gender equality principle laid down in art. 15 of the Regulation”*

Art. 40: *“When appointing independent experts, the Commission or the relevant funding body shall take appropriate measures to seek a balanced composition within the expert groups and evaluation panels in terms of various skills, experience, knowledge, geographical diversity and gender, and taking into account the situation in the field of the action.”*

Specific Programme implementing Horizon 2020

3. Complementarities and cross-cutting actions: *“Gender will be addressed as a cross-cutting issue in order to rectify imbalances between women and men, and to integrate a gender dimension in research and innovation programming and content”.*

3.6. Specific implementation aspects: *“In order to be open to all sources of talent, general measures to overcome any distortions in the access to the grants will be ensured, for example by encouraging equal opportunities in all Marie Curie actions and by benchmarking gender participation. In addition, the Marie Curie actions will support researchers to get established on a more stable career path and to ensure that they can achieve an appropriate work/life balance, taking into account their family situation, and to contribute to facilitate resuming a research career after a break. The principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers promoting open recruitment and attractive working conditions will have to be endorsed and applied by all the funded participants”*

6.2. Innovative societies - 6.2.3 Ensuring societal engagement in research and innovation: “Gender equality will be promoted in particular by supporting changes in the organisation of research institutions and in the content and design of research activities”.

Annex III: Work Programme 2014-2015

General Intro

Cross-cutting issues (e.g. social sciences and humanities, gender, international strategy) have been mainstreamed in each of the different parts of the Work Programme, ensuring a more integrated approach (see section 1.4).

Focus areas have been developed within the Work Programme to support a portfolio of activities that (...) integrate different perspectives, including from the social sciences and humanities, support gender perspectives, and meet the demands from consumers, policy makers and other users of the results.

Science and society: Horizon 2020 funded activities will support the relationships between science and society through the promotion of Responsible Research and Innovation (RRI) as a cross-cutting issue as well as through part 16 of the Work Programme, ‘*Science with and for society*’. In practice, RRI is a package aiming to better engage society all across Horizon 2020 Research and Innovation activities. This package touches mainly upon civil society engagement in Research and Innovation, supported by further activities enabling easier access to scientific results, better uptake of the gender equality and ethics dimension in R&I, and formal and informal education to science.

Gender equality and the gender dimension in research and innovation content: In Horizon 2020, gender will be addressed as a cross-cutting issue in order to rectify imbalances between women and men, and to integrate a gender dimension in research and innovation programming and content.

Applicants to Horizon 2020 are encouraged to promote equal opportunities in the implementation of the action and to ensure a balanced participation of women and men at all levels in research and innovation teams and in management structures.

The gender dimension is explicitly integrated into several topics across all the sections of the Work Programme. An in-depth understanding of men and women’s needs, behaviours and attitudes contributes to the scientific quality and societal relevance of produced knowledge, technologies and innovations. It also contributes to the production of goods and services better suited to potential markets.

A topic is considered gender relevant when it and/ or its findings affect individuals of groups of persons. In these cases, gender issues should be integrated at various stages of the action and when relevant, specific studies can be included. These topics are flagged to ease access for applicants. This should not however prevent applicants to a non-flagged topic from including a gender dimension in their proposal if they find it relevant.

Annex H – Evaluation

The following approach will be applied successively for every group of *ex aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

- (i) Proposals that address topics not otherwise covered by more highly-ranked proposals, will be considered to have the highest priority.
- (ii) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion *excellence*. When these scores are equal, priority will be based on scores for the

criterion *impact*. In the case of Innovation actions, and the SME instrument (phases 1 and 2), this prioritisation will be done first on the basis of the score for *impact*, and then on that for *excellence*.

If necessary, any further prioritisation will be based on the following factors, in order: size of budget allocated to SMEs; gender balance among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities.

If a distinction still cannot be made, the panel may decide to further prioritise by considering how to enhance the quality of the project portfolio through synergies between projects, or other factors related to the objectives of the call or to Horizon 2020 in general. These factors will be documented in the report of the Panel.

Annex D – Types of action: specific provisions and funding rates

In addition, as training researchers on gender issues serves the policy objectives of Horizon 2020 and is necessary for the implementation of R&I actions, applicants may include in their proposal such activity and the following corresponding estimated costs that may be eligible for EU funding:

- i. Costs of delivering the training (personnel costs if the trainers are employees of the beneficiary or subcontracting if the training is outsourced);
- ii. Accessory direct costs such as travel and subsistence costs, if the training is delivered outside the beneficiary's premises;
- iii. Remuneration costs for the researchers attending the training, in proportion to the actual hours spent on the training (as personnel costs).

Annex IV: Model Grant Agreement

Article 16 – Provision of trans-national or virtual access to research infrastructure

16.1 Rules for providing trans-national access to research infrastructure

16.1.2 In addition, the access provider must (...) promote equal opportunities in advertising the access and take into account the gender dimension when defining the support provided to users;

Article 33 – gender equality

33.1 Obligation to aim for gender equality

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

33.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the *[Commission]**[Agency]* may apply any of the measures described in Chapter 6.

Proposal template

1.3 Concept and approach

- 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. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm*

4.1. Participants (applicants)

Please provide, for each participant, the following (if available):

- a curriculum vitae or description of the profile of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities;

Horizon 2020 Guidelines for submission of proposals, and the related evaluation, selection and award procedures

Providing the above condition can be satisfied, the Commission shall also seek a balanced composition in terms of various skills, experience, and knowledge, geographical diversity and gender¹⁵, depending on the situation in the field of the action.

Statistics on gender, geographic distribution, rotation (including the target for newcomers) and where appropriate, private-public sector balance will be monitored and reported on an annual basis. *Ethics Experts*: The independent ethics experts, involved in the ethics reviews, checks and audits are selected on the basis of their skills, expertise and knowledge in the specific field(s) of the proposed research. The recruitment pool will comprise of ethics experts coming from a wide variety of disciplines. The selection of experts takes into account the nature of the proposals to be assessed as well as the type of ethical issues and or breach of research integrity to be addressed. Efforts are also made to achieve a geographical and gender balance. Representatives of civil society may also be invited to participate.

Call for expressions of interest for the selection of experts for the Horizon 2020 Advisory Groups

3. Mandate of the Groups: (...) advice should pertain to all activities under the relevant challenge/objective, including, where relevant (...) responsible research and innovation including gender.

4. Composition of the groups: (...) the composition of the groups will be based on the following profiles, while taking into account the different characteristics of the specific challenge/objective in question: (...) Experts with experience of promoting **gender equality** in research and innovation.

¹⁵ The European Union pursue an equal opportunities policy and aims in particular at achieving in the medium term at least 40 % of members of each sex in each expert group and committee (Commission Decision n°2000/407/EC of 19 June 2000 relating to gender balance within the committees and expert groups established by it).

9. Selection: (...) for achieving a balanced membership in each group, the following selection criteria will be taken into account: the need to strike a balance within the Advisory Groups in terms of representativeness of (...) gender.

Selection guidelines for the set-up of the first Horizon 2020 Advisory Groups

The selection of experts shall be based on the following criteria:

- Proven competence and experience of the individual candidate or, of the designated representatives from organisations, including at European and/or international level, in areas of relevance to the challenge/objective concerned;
- Proven competence and experience of the individual candidate or, of the designated representatives from organisations, in horizontal expertise, including cross-cutting issues of relevance to Horizon 2020;
- In addition, for individuals appointed to represent a stakeholders' interest, the proven capacity of the candidate to represent effectively the position shared by stakeholders; and for individuals appointed to represent an organisation, the competence, experience and hierarchical level of the proposed representative.

Provided that the above conditions are satisfied, the following selection criteria will also be taken into account to achieve a balanced membership in each group (without calling into question the necessary level of expertise and insight):

While the general Commission gender target is 40%, the target should be at least 50% women in each group;

(...)

Additional guidelines: For all groups, the cross-cutting dimension should be taken into account, requiring expertise to cover (...) responsible research and innovation, including gender (at least one expert with gender expertise in each group).