



The EU Framework Programme for Research and Innovation



**HORIZON 2020**

*Excellent Science  
Competitive Industries  
Better Society*

Research and  
Innovation



**RTD-B7 “Science with and for Society”**

**26-02-2014<sup>1</sup>**

**Rev. 21-03-2016**

## **Vademecum on Gender Equality in Horizon 2020**

### **I. INTRODUCTION**

The purpose of this Vademecum is to provide staff of the European Commission/Executive Agency<sup>2</sup>, 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 in Horizon 2020. This entails 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 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)

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

<sup>2</sup> Scientific and project officers, call coordinators, Work Programme drafters etc.

- *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.*

These objectives are integrated in the Commission provisions for the implementation of Horizon 2020, 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 of 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 thematic Advisory Groups will meet regularly in the Advisory Group for Gender and provide advice to the Commission services during the preparation of the Horizon 2020 Work Programme.

#### General Introduction of the 2016-2017 Work Programme

*(...) All applicants are invited to explore whether and how the **gender dimension in research content** is relevant to their research, including where appropriate specific studies and training. In addition, **gender equality** is promoted in all parts of Horizon 2020 including gender balance at all levels of personnel involved in projects. Gender equality issues linked to careers are also reinforced in the Excellent Science parts of the Horizon 2020 Work Programme dedicated to the ERC and MSCA.*

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* topics with an explicit mention of gender issues ("gender-flagged topics") appears:  
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/ftags/gender.html#c.topics=flags/s/Gender/1/1&+callStatus/asc>
- 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](http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/search/search_topics.html)

### Proposal template<sup>3</sup>

- 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*”<sup>4</sup>.

*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](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 field<sup>5</sup>
- “*Gender equality and gender content of research*” are among the areas of expertise, signalled in the call for expression of interest for individual experts<sup>6</sup> launched at the end of November 2013.
- Adaptation of EMPP categories: the new experts’ database includes subcategories on gender in the various fields of research (e.g gender in nanotechnologies, gender in space...), While filling in their application, individuals can tick as many subcategories as relevant.
- Expertise and professional experience on gender should be adequately detailed and documented, e.g. by indicating specific studies or research on gender, degree in gender studies, publications on gender.
- Selection of experts: complementary guidelines for the selection of evaluators with gender expertise were developed by the Advisory group on Gender <http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupDetailDoc&id=16350&no=1>
- Briefing of evaluators: briefings should include a tailored component on gender in research content, especially for the gender- flagged topics.

### Evaluation process

- Gender dimension: for gender-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, evaluators will deal with them as they will with the other relevant parts of the proposals.

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<sup>3</sup> The present section does not apply to the European Research Council, Marie Skłodowska-Curie Actions and Euratom Prizes.

<sup>4</sup> The present provision does not apply to: Pre-Commercial Procurement (PCP) COFUND.

<sup>5</sup> 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.

<sup>6</sup> 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

- Gender balance comes into play as a ranking factor to prioritise proposals above threshold with the same scores<sup>7</sup>: “*gender balance among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities*”.

### **Grant Agreement and Negotiations**

- When 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*”<sup>8</sup>.
- The Commission will assess the implementation of the above-mentioned obligation along with other commitments of the beneficiaries<sup>9</sup>.

### **Monitoring<sup>10</sup>**

- The Commission will monitor the implementation of gender as a cross-cutting issue, at various stages in the funding process.
- The following indicators will be used on an annual basis to determine the prevalence of gender as a cross-cutting issue:
  - % of women participants in Horizon 2020 projects
  - % of women project coordinators in Horizon 2020
  - % of women in advisory groups, expert groups, evaluation groups and panels
  - % of projects with gender dimension in the project design.

## **V. TRAINING**

### **...within H2020 projects**

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

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

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<sup>7</sup> Cf. Annex H “Evaluation” of the Work Programme 2016-2017

<sup>8</sup> Art. 33.1 of the mono and multi-beneficiaries Model Grant Agreement.

<sup>9</sup> 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),

<sup>10</sup> The provisions on the monitoring reflect the current state of indicators adopted (Ref. "Horizon 2020 indicators. Assessing the results and impact of Horizon" available at [http://ec.europa.eu/newsroom/horizon2020/document.cfm?doc\\_id=10927](http://ec.europa.eu/newsroom/horizon2020/document.cfm?doc_id=10927)).

### **...of Commission staff**

The training is addressed to staff involved in the drafting and the implementation of work programmes<sup>11</sup>. There are two types of training available: a basic training to raise general awareness on gender equality provisions in Horizon 2020, and a more specific training on the integration of the gender dimension in research & innovation content.

## **VI. SPECIFIC TOPICS ON GENDER EQUALITY**

Part 16 of the Work Programme 2016-2017, *Science with and for Society*, foresees specific topics on gender equality, which include:

- Continuous funding for the implementation of institutional changes in universities and research institutions, both in 2016 and 2017;
- An ERA-NET co-fund, in 2016;
- Funding to establish a network of national representatives and resource centres on gender in R&I, in 2016.

The topics for the year 2016 will be launched on 13/04/2016 and will close on 30/08/2016. The topics for the year 2017 will be launched on 12/04/2017 and will close on 30/08/2017.

## **VII. RELEVANT RESOURCES**

- GenPort – online community of practioners for sharing knowledge and inspiring collaboration: [www.genderportal.eu](http://www.genderportal.eu)
- Gendered Innovations publication: [http://ec.europa.eu/research/science-society/document\\_library/pdf\\_06/gendered\\_innovations.pdf](http://ec.europa.eu/research/science-society/document_library/pdf_06/gendered_innovations.pdf)  
Website with case studies of various research areas:  
[http://ec.europa.eu/research/science-society/gendered-innovations/index\\_en.cfm](http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm)
- Gender Toolkit: <http://www.yellowwindow.com/genderinresearch/>
- RRI (Responsible Research and Innovation) tools: <http://www.rri-tools.eu/>
- Madrid Declaration on Advancing Gender and Training in Theory and Practice: [http://www.quing.eu/files/results/final\\_opera\\_report.pdf](http://www.quing.eu/files/results/final_opera_report.pdf)
- Cost Action GenderSTE: [www.genderste.eu](http://www.genderste.eu)

## **VIII. ANNEXES**

Annexes include relevant excerpts of gender equality provisions in official documents of Horizon 2020, the Commission's implementing provisions, as well as the Guide for Applicants.

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<sup>11</sup> Research programme officers; policy officers, project officers / advisors / assistants; call coordinators; AG coordinators, members and coordinators of H2020 Groups

## Annex I: Glossary

**Sex** refers to biological qualities characteristic of women and men, boys and girls, 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 intersexed<sup>12</sup>.

**Gender** is a socio-cultural process. It refers to cultural values and social attitudes that together shape and sanction “feminine” and “masculine” behaviours, and also affect products, technologies, environments, and knowledge<sup>13</sup>.

**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 services<sup>14</sup>.

**Equal opportunities for women and men:** equal opportunities indicate the absence of barriers to economic, political and social participation on the grounds of sex<sup>15</sup>.

**Gender dimension in research content:** To integrate the gender dimension in research content means taking into account the biological characteristics and the evolving social/cultural features of both women and men. It invites researchers to conduct **sex and gender analysis** in the research process, when developing concepts and theories, formulating research questions, collecting and analysing data and using the analytical tools that are specific to each scientific area.

## Annex II: Horizon 2020 texts

### Framework Regulation<sup>16</sup>

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: "Cross-cutting issues": *“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”*

<sup>12</sup> Cf. Gendered Innovations, How gender analysis contributes to research

<sup>13</sup> Cf. Gendered Innovations, How gender analysis contributes to research

<sup>14</sup> Cf. Strategy for equality between women and men 2010-2015

<sup>15</sup> Cf. Gender Toolkit in EU-funded research

<sup>16</sup> Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC

Art. 16: "Gender equality": *“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 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: "Monitoring": *“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: "Evaluation": *“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<sup>17</sup>**

Art. 13: "Proposals": *“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: "Grant agreement": *“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. 16 of the Regulation”*

Art. 40: "Appointment of independent experts": *“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<sup>18</sup>**

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”.*

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<sup>17</sup> Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006

<sup>18</sup> Council Decision of 3 December 2013 establishing the specific programme implementing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decisions 2006/971/EC, 2006/972/EC, 2006/973/EC, 2006/974/EC and 2006/975/EC. (2013/743/EU)



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 2016-2017

#### General Intro

*(...) criteria used for selecting the priorities to be supported in the Work Programme 2016-2017 were: the maximising of EU added value; addressing and anticipating research and innovation key trends and areas of high potential for world-class breakthroughs; providing strong potential for impact and uptake and leverage of industry and SME participation, by addressing the demand side, tackling barriers to innovation and market deployment and uptake, and building collaborations between industry, businesses, universities and research institutions; providing genuinely cross-cutting approaches and embedding key novelties such as covering the full research and innovation cycle, social science and humanities, **gender aspects**, and climate and sustainable development; improving international cooperation by focusing on key strategic and targeted areas of common interest and mutual benefit one example of which being Euro-Mediterranean cooperation in the field of Research and Innovation, including the work done to date by the PRIMA initiative participating States.*

*This Work Programme incorporates improvements based on the lessons learned from the first Horizon 2020 Work Programme, notably in the need to continue with the open approach to calls; better use of the new instruments promoting innovation in the Work Programme cycle; reinforcing the broad approach to innovation extending beyond technological and research-based innovation and including social innovation and user innovation; promoting SME participation in calls for collaborative projects and other grant-based instruments; promoting the SME instrument; proactive integration of social sciences and humanities aspects; **improved addressing of the gender dimension**; better targeting of potential international cooperation; reinforcing the quality of proposal evaluation; and standards for feedback to applicants.*

*Further efforts in particular have been made to ensure **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 an integrated approach.*

*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’. Included in this are actions aimed at increasing public awareness, improving the scientific knowledge base, and encouraging formal and informal science education.*

*All applicants are invited to explore whether and how the **gender dimension in research content** is relevant to their research, including where appropriate specific studies and training.*



*In addition, **gender equality** is promoted in all parts of Horizon 2020 including gender balance at all levels of personnel involved in projects. Gender equality issues linked to careers are also reinforced in the Excellent Science parts of the Horizon 2020 Work Programme dedicated to the ERC and MSCA.*

## **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 evaluation 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).

<b>Annex IV: Model Grant Agreement</b>
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## **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.

<b>Annex V Horizon 2020 implementing decisions</b>
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## Proposal template

### 1.3 Concept and methodology

- 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](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 gender<sup>19</sup>, 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 geographical and gender balance. Representatives of civil society may also be invited to participate.

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<sup>19</sup> 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).

## **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.

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 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).

For questions related to gender equality in Horizon 2020 please contact:

[RTD-GENDERINRESEARCH@ec.europa.eu](mailto:RTD-GENDERINRESEARCH@ec.europa.eu)