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State of the Art Analysis: mapping the awarding certification landscape in Higher Education and Research

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List of acronyms / abbreviations used in this document

| | |
|---------------|--|
| CAS | Certification or Award Scheme |
| EHEA | European Higher Education Area |
| ERA | European Research Area |
| EC | European Commission |
| EU | European Union |
| GE | Gender Equality |
| GEP(s) | Gender Equality Plan(s) |
| HE | Higher Education |
| HEIs | Higher Education Institutions |
| HRS4R | Human Resources Strategy for Researchers |



Executive Summary

The State of the Art analysis is the second public deliverable of the CASPER project. It follows the D3.1 “Policy framing” report and focuses on the description and analysis of the certification and awarding schemes identified in the EU 27 countries plus Australia, Iceland, Norway, United Kingdom, Switzerland, and the USA.

Moreover, the State of the Art report provides an overview of the main policies and measures adopted at the national level to integrate gender equality in Research and Higher Education.

The main objective of this deliverable is to provide a comprehensive overview of the certification and awarding landscape, providing information on the certification and awards’ methodologies, organisers and stakeholders. Additionally, it analyses the States national contexts to better situate the CASPER scenarios in the next steps of the project. Finally, it highlights the best and most widespread good practices at the international level, and it reflects on their potential uptake for a possible European-level certification on Gender Equality in Research and Higher Education.

A summative overview of the State of the Art demonstrates that the creation of a European CAS on gender equality in Higher Education and Research may find a fertile ground. The last years show a positive trend in the adoption of CAS on gender equality and diversity and inclusion, with around half of the mapped CAS being focused, or including, HEIs and RPOs. An analysis of the national policy contexts also shows that more than half of the countries have provisions on the use of Gender Equality Plans in HEIs – even though the levels of integration of gender equality in both education and research policies are diverse. This may be a positive sign for the potential uptake of a European CAS which aims at further promoting institutional change.

The State of the Art analysis shows how, in general, CAS focusing on HE and Research tend to use self-assessment as the entry point in the application process, often with internal gender analysis as a first step. Such approach seems to be encouraged to promote internal change, as especially certifications (as opposed to awards) tend to evaluate the applicants in multiple moments and at different levels, promoting progressive improvement. External assessment leading to the awarding/certification is most often responsibility of the certifying institution’s experts. In some cases, third-party experts are also involved, and overall, on site auditing is also used in a quarter of the analysed cases. Regarding assessment criteria, the presence of adequate training, recruitment, anti-harassment, and work-life balance policies are the most common examples. The review of internal policies is the most common among the assessment forms, which use a mix of quantitative and qualitative research methods, with qualitative narrative statements often standing out.

Another finding refers to the adoption in a (however relevant) minority of CAS, of an intersectional approach, which is also promoted by the latest European policies’ developments, confirming the need to carefully consider this as an important element for an innovative European CAS proposal.

The State of the Art analysis also investigates the cross-national examples of CAS. Through an analysis of Athena SWAN and its different national declinations, the report shows how a European CAS may require a flexible approach for customisation and uptake by different national contexts. Focusing on the European Human Resources Strategy for Resources, through a mapping of its uptake, the report shows this may be a potential entry point for a gender equality CAS also in the countries which have shown less proactivity towards gender equality and inclusion in research and HE policies. At the same time, the HRS4R wide uptake also in countries which have numerous national CAS may show that the presence of national CAS does not risk to easily saturate the potential demand for a European CAS.

Data collection has been carried out from March to May 2020. All information reported in this deliverable is to be considered valid as of 30/06/2020, date of its first publication.



1. Introduction

The “State of the Art Analysis: mapping the awarding certification landscape in Higher Education and Research” is the second public deliverable of the CASPER project. It is the result of the work of a network of international researchers who have carefully mapped their national contexts to provide an up-to-date analysis of the current accreditation and quality assurance practices in Higher Education as well as in Research and Innovation policies. The network of researchers has also identified and analysed the current best practices in certification and awarding schemes on Gender Equality and Diversity, providing valuable insights on what is currently in place. The results are further analysed and compared to provide a quick and accessible overview of the State of the Art and the major aspects of interest for the CASPER project.

1.1. Background

Before proceeding with the description of the methodology and the discussion of the results, it is important to give an overview of the CASPER project and its objectives. This background section explains the necessity for an up-to-date analysis of the current certification landscape and outlines the methodological choices behind this mapping exercise.

1.1.1 The CASPER project

The CASPER project (Certification-Award Systems to Promote Gender Equality in Research) aims at studying the feasibility of a European certification or award system on gender equality targeting Universities and research organizations.

Based upon an extensive assessment of available systems and needs across Europe and beyond, the project consortium will develop and evaluate four possible scenarios (including a non-action one) that pave the ground for a realistic EU wide award or certification framework.

The CASPER project examines the feasibility of establishing a European award/certification system for gender equality for research performing organizations. The project runs from January 2020 to December 2021.

The project pursues **three overall objectives**:

- To map and assess existing award and certification systems for gender equality (and related schemes) and to identify existing needs for such a system at the European Union level;
- Design three different award/certification scenarios (plus a fourth no-action scenario) and assess their feasibility along several dimensions with a participative approach;
- Prepare the ground for a successful roll-out of a European award/certification scheme.

An integral part of the first objective and a central output of the project. This report follows Deliverable 3.1, a “Policy Framing” report, and feeds in the next stages of the CASPER project. It provides a complete and exhaustive set of **certification and awarding schemes**, based on national mappings, to inform the design of the different scenarios to assess; moreover, it provides an overview of whether and how gender equality is taken into consideration in the national **accreditation and quality assessment systems** of the mapped countries.



1.1.2 Deliverable 3.1: Policy Framing Report

While it is a self-standing document in its own right, the reading of this report is enhanced when taken together with the previous project deliverable, the “Policy framing report” (available [online](#)).

The “Policy framing report” reviews **European policies, practices and frameworks** related to Higher Education and Research, with a special focus on gender equality and diversity issues in human resources. It explores predominant discourses and policy trends, and also identifies potential windows of opportunities and resistances at EU policy level for the introduction of a gender equality certification or award system. Therefore, it is particularly useful to read the D3.1 report before or in parallel to D3.3, especially because the latter has more of a national focus to better frame and understand the diversity of the local systems. Indeed, this report will often refer to EU policies and structures without further investigating them, but rather considering them as the framework for national practices in a multi-level governance logic.

A summary of the most relevant findings of the “Policy framing report” is therefore provided below to enable the reader to contextualise the research results discussed in this report:

- In the **European Research Area (ERA)** gender equality is a central value, and it is set as one of its **six priorities** embedded into monitoring mechanisms at the EU and Member States levels via the **ERA National Action Plans**;
- In the **European Higher Education Area (EHEA)** gender equality is valued as a component of the so called “**social dimension**” and the overarching goal of increasing enrolment, retention and attainment levels of students of all backgrounds – recognising several gender unbalances and horizontal segregation effect;
- **EHEA** is already promoting **coordinated internal quality assurance processes** in Higher Education Institutions sustained by the **ESG standards** and encourages them to undergo to external Quality Assurance as well for increased transparency and accountability;
- There is a growing attention towards two kinds of policy approaches: **intersectionality** –as stated in the new EU Gender Equality Strategy– and the linking of Higher Education Institutions with their **entrepreneurial and civic milieus**;
- Although the first **Horizon Europe** Programme is still under negotiation at the time of writing, the possibility to require a **Gender Equality Plan** to facilitate access to funds from applicants is becoming more and more concrete.

In addition, D3.1 included a preliminary mapping and collection of good practices of Certification and Awarding Systems –especially those with stimulating gender equality measures – carried out by researchers from the CASPER consortium partner organizations. Such good practices were further developed in this report as a result of a more systematic screening at the country levels, as illustrated below.



1.2. Methodology and limitations of this study

This report (D3.3) is the result of the coordinated efforts of a network of 33 national researchers engaged between March and May 2020 to establish the State of the Art analysis of the Certification and Awarding schemes in their national contexts. The research has been carried out as Task 3.3 of the CASPER project, namely “Mapping the landscape: legal frameworks, stakeholders, resources, indicators”. This report is the public deliverable which summarises the findings of this research, while some of the outputs of the research have been used confidentially as inputs for project tasks that were undertaken in parallel.¹

The report is based on two levels of analysis: one is the in-depth and geographically situated analysis provided by the national researchers, while the other is the data driven, comparative analysis which has been carried out based on the overall research results.

1.2.1 In-depth analysis by national researchers – first stage

The in-depth analysis provided by the national researchers has been divided in **two stages**.

The first stage involved the whole network of researchers, while the second stage only engaged with 15 out of the 33 countries, using a different approach, as outlined below in the methodology section.

The **first stage** was guided by a set of **comprehensive guidelines** provided by the project partner (Smart Venice) responsible for this deliverable.

The guidelines included a series of questions² on the **national contexts**, mainly regarding:

- The national accreditation and quality control systems, policies and main stakeholders for Higher Education and Research;
- The national policies and practices regarding Gender Equality in Research and Higher Education.

The national researchers were required to answer those questions in detail after a desk-based online research. After having provided this kind of information, which worked as a framework for the second and more important aspect of the research, the national researchers followed another set of guidelines³ targeted at the **identification and mapping of national Certification and Award Schemes (CAS)**.

Why “CAS”?

In this report the term CAS is used as an umbrella term to describe “Certification and/or Award Schemes”.

The term CAS is particularly useful not only to have an inclusive term, but also because there is not a clear-cut, common, or shared understanding of the distinction between Award and Certification: generally, it has been up to the awarding institutions to decide which terminology was the most appropriate.

In addition, other commonly used terminology, such as “Standard” and “Label”, are included in the umbrella term.

¹ For example, it was thanks to the mapping carried out during the T3.3 research that the project consortium was able to find many of the relevant stakeholders to interview and involve in the next stages of the CASPER project (which has a strongly participative and bottom-up approach).

² The list of the guiding questions for the national reports is available as an annex ([Annex 1](#)).

³ The overall guidelines were an integrated and holistic set of instructions and templates. The specific set of guidelines we refer to here to support the identification and mapping of national CAS was a spreadsheet



The focus was on “national” CAS, defined in the methodology as “CAS which have their legal basis in, or were invented in”, the researcher’s respective country. This choice was informed by the goal of finding examples of CAS which may not be as well-known as those previously identified by the project’s consortium, capitalising on the diversity of the researchers’ backgrounds and languages.

As with the previous research for the Policy Framing Report’s overview of CAS, the first stage of the research was focused on the **EU 27 countries plus Australia, Iceland, Norway, United Kingdom, Switzerland, and the United States of America**. In all cases, the researchers were either nationals or currently living and working in the selected countries and were able to conduct their research using the national official language. They were thus able to map and describe the CAS which mostly have a national or subnational application, but with potential to be useful as interesting practices for developing the CASPER scenarios. All researchers had a background in social or political studies and prior knowledge/expertise on gender equality issues.

The **national researchers** who contributed to this research task, thus making this report possible, were:

| | | | | | |
|-----------|-----------------------|------------------------------------|------------|------------------------|--|
| AU | Australia | Celina McEwen | LV | Latvia | Marita Zitmane |
| AT | Austria | Bente Knoll | LT | Lithuania | Vilana Pilinkaite-Sotirovic |
| BE | Belgium | Nathalie Wuiame | LU | Luxembourg | Nathalie Wuiame |
| BG | Bulgaria | Ralitsa Golemanova | MT | Malta | Jacqueline Grech |
| HR | Croatia | Sanja Sarnavka | NL | Netherlands | Hannah Worringer |
| CY | Cyprus | Maria Kyprianou | NO | Norway | Marie Hulthin |
| CZ | Czech Republic | Veronika Fajmonova | PL | Poland | Ewelina Ciaputa |
| DK | Denmark | Evanthia K. Schmidt | PT | Portugal | Catarina Sales de Oliveira |
| EE | Estonia | Martin Jaigma | RO | Romania | Monica Stroe |
| FI | Finland | Inkeri Tanhua | SK | Slovakia | Zuzana Ocenasova |
| FR | France | Suzanne de Cheveigné | SI | Slovenia | Katarina Zupevc |
| DE | Germany | Barbara Helfferich | ES | Spain | Lucrecia Rubio Grundell |
| EL | Greece | Nell Kambouri | SE | Sweden | Klara Goedecke |
| HU | Hungary | Ráhel Katalin Turai | CH | Switzerland | Carolina Borra Krages |
| IS | Iceland | Finnborg Salome Steinþórsdóttir | UK | U. Kingdom | OBU ⁴ , Catherine Spellman |
| IE | Ireland | Nadine Shinkwin | USA | U.S. of America | Paloma Caravantes Gonzalez |
| IT | Italy | Nalia Pratelli | | | |

Table 1 – List of national researchers

Each researcher was thus responsible, in the first stage, for the identification and description of relevant CAS on Gender Equality, Diversity, or Excellence in Human Resources, especially in Higher Education and Research but also in the wider “business and others”⁵ sphere.

In order to find relevant CAS, the national researchers were instructed to do an **online desk-based research, contacting the stakeholders** of the CAS (i.e. a representative of the awarding institution) only in cases where the CAS was particularly relevant but had limited information published online.

template with a series of questions and predetermined/open answers. The template is available as an annex ([Annex 2](#)).

⁴ Oxford Brookes University (OBU)’s Centre for Diversity Policy Research and Practice has contributed to the first stage of the research, being one of the partners of the CASPER project. Dr Spellman was engaged for carrying out the second stage of the research.

⁵This umbrella term indicates private businesses, NGOs, but also public administrations and municipalities.



To inform their understanding of “relevance” regarding CAS identification for the CASPER project, the researchers were provided with an ex-ante categorisation, expressed in the following matrix.



Figure 1 – CAS Priority matrix

While all of the CAS which fall within this matrix are in scope for this project, the matrix highlights how the most interesting and “high priority” CAS are those which directly deal with Gender Equality in Research and Higher Education institution. Some CAS may fall in between categories, and the matrix should thus be used as a flexible tool to facilitate interpretation.

The national researchers were instructed to provide **more in-depth information regarding High Priority CAS** than lower priority ones. In particular, for High Priority CAS the researchers were expected to investigate, obtain and describe the **indicators** used for the **assessment** of the applicants to the various CAS. They also looked into the indicators used for the **internal Quality Assurance** of the CAS –insofar as possible given that these are rarely provided in the public domain or made available upon request.

In most cases – including medium and lower priority CAS – the national researchers were able to identify the **criteria** for assessment. In some cases, the **specific indicators⁶ used for assessment were kept confidential** by CAS providers. Nonetheless, in many cases it was possible to infer at least the *type* of indicators used (qualitative or quantitative), even if they were not explicitly described.

The outputs of the first stage of the research were:

- The national context reports
- The analysis of the identified CAS
- The collected indicators (when applicable)
- The publicly available contacts of relevant stakeholders

⁶ The distinction has been made to differentiate the generic “topics” or “areas” of assessment (the criteria) from the specific, either qualitative or quantitative, indicators which show and measure change.

These outputs not only form the basis of this public report but also inform other tasks of the CASPER project (whose responsible partners are using to develop their analysis). In particular, the first two outputs have been reorganised and presented in this report as specific “country sheets” which the reader can consult to obtain valuable insights on each of the analysed countries (see the section “[How to read this report](#)”).

1.2.2 In-depth analysis by national researchers – second stage

The second stage of the research involved only a small number of the countries mapped in the first stage. It was a useful exercise since it provided further “qualitative” insight related to the use of CAS and the **national debates and discourses** around them, especially in the context of gender equality, Higher Education and research and innovation.

The second stage involved national researchers from Australia, Austria, Belgium, Bulgaria, Czech Republic, Finland, Germany, Iceland, Ireland, Latvia, Poland, Portugal, Spain, United Kingdom and USA.

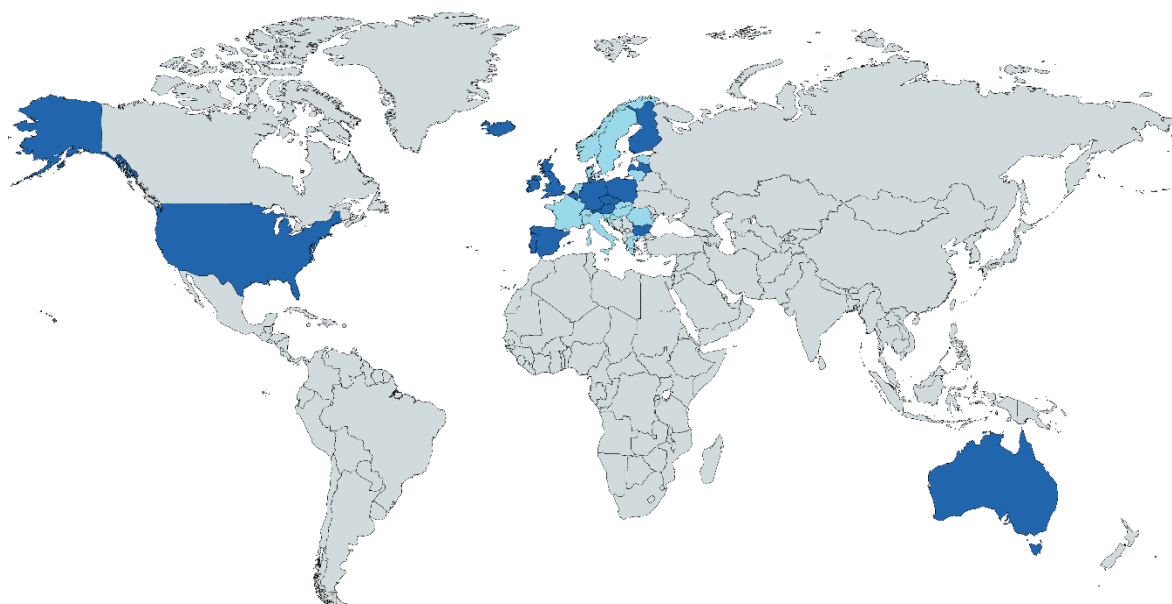


Figure 2 – First Stage (light blue) and Second Stage (dark blue) countries

These countries were selected on the basis of a series of criteria, such as the existence of relevant CAS emerging as good practices in terms of wide uptake, the presence of lively debates and discourses regarding CAS and gender equality, and most importantly representativeness. Representativeness in here intended as the coverage of a variety of different geographical contexts and of diverse approaches to gender equality in research and Higher Education.

The second stage methodology consisted of producing **annotated bibliographies** to identify to what extent CAS have been the subject of scholarly analysis and/or a debate in the countries considered, with a focus on two CAS with an international dimension (HRS4R and Athena SWAN). Moreover, the researchers were expected to address a series of questions, in the form of short essay, tailored to the results of the first stage of the research in their countries.

While the short essays and related questions were included in the country sheets as **informative in-boxes**⁷, the annotated bibliographies were collected and utilised confidentially to inform the next steps of the CASPER project.

The second stage of the research relied on desk research as well: consultation/interviews with national stakeholders were minimised as much as possible and only utilised when important information was not available online. This decision was made to prevent overlap with a parallel CASPER project Task aimed at assessing the impact of existing CAS (WP4) which largely relies on in-depth interviews.

1.2.3 Comparative analysis of the research outputs

The outputs of the national researchers' work were reviewed and edited for publication in this report, and they formed the basis for a comparative analysis provided in the ["context overview" chapter](#) of this report.

The data were distilled, and scrutinized through basic data analysis and data visualisation, using Excel. This analysis provides an immediate overview of the State of the Art regarding the use of Certifications and Awards schemes in Research, Higher Education, and business, in the mapped countries. However, in some cases, the analysis is limited by the lack of available data and consequent data gaps. Possible limitations due to the lack of available data are specified in the results discussion and in the methodological notes provided for the report's tables and figures.

1.2.4 How to read this report

This report is divided in two main chapters, the overall analysis followed by the collection of country sheets, each of which also includes a separate analysis of the related national CAS (CAS sheets). The report is best read in its entirety, as the overall analysis chapter necessarily selects, summarises, and consequently generalises the information provided in the country sheets.

This report uses a system of links that allow for internal navigation– for example, each bibliography is available at the end of the report but is easily accessible through the links provided in each country sheet. Moreover, there are several external links to official sites, documentation, and official reports for those interested in deepening their knowledge on topics presented in this deliverable.

⁷ The informative in-boxes are unedited and reflect the expertise and personal views of the national researcher. They do not necessarily reflect the opinion of the CASPER consortium.



2. Overall analysis

This chapter is dedicated to the comparative analysis between the collected CAS of the countries in scope. To contextualise the analysis of the CAS, an introduction to the national policy contexts is also provided. After the grounding provided by the context overview, the report will explore the main approaches, methodologies, stakeholders, and principles behind the mapped CAS, trying to draw some lessons learned useful for the CASPER project objectives.

Such overall analysis will give a grasp of the State of the Art able to ground the CASPER project and its scenarios in a realistic and up-to-date knowledge of the European (and international) context regarding certification and awarding on gender equality. The State of the Art analysis comprises the study of the 27 EU countries plus Australia, Iceland, Norway, United Kingdom, Switzerland, and the USA. While CASPER aims at studying the feasibility of a Europe wide certification or award, it was deemed important to look beyond the EU to ensure the collection of best practices beyond the European level; the scope thus included the aforementioned countries as representatives of non-EU contexts.

2.1. Analysis and discussion / Perspectives

Before delving into the analysis and comparison of the mapped CAS, this section presents a short overview of the main perspectives and policy approaches around the role of gender equality in Higher Education and Research in the mapped countries. This is based on the national researchers' work, and is complementary to the informative [ERA Progress Report \(2018\)](#), which documents in detail the advancement of the ERA countries regarding its fourth priority, "Gender Equality and Gender Mainstreaming in Research and Innovation".

2.1.1 Context overview

Given the diversity of national contexts in how gender equality policies, provisions and practices are addressed in national legislation, quality assurance and funding systems, an attempt to identify common and recurring themes has been made.

The **ex-post screening and analysis of the researchers' reports** on their national contexts⁸ has led to select the following categories featuring policy contexts from a gender perspective:

| | |
|---------------------|--|
| GE Accr./QA | There are gender equality provisions or requirements in the national accreditation and/or Quality Assurance system; |
| Specific law | There is a specific, self-standing law or provision addressing the issue of gender equality in Research and/or Higher Education; |
| GE in HE | There is a reference to gender equality in national laws or provisions on Research and/or Higher Education; |
| HE in GE | There is a reference to Research and/or Higher Education in national laws or provisions on gender equality; |

⁸ An in-depth analysis of the policy contexts is outside the scope of this report. For further information on the integration of gender equality policies in Higher Education and Research, the following analytical paper is recommended: EIGE, 2016, *Integrating gender equality into academia and research organisations*, EIGE, available [online](#) (accessed on 03/06/2020).



| | |
|--------------------------|--|
| Funding GEPs | There are gender equality policies or requirements in funding mechanisms; There are national provisions, requirements, or significative practices on the use of Gender Equality Plans in Higher Education Institutions; |
| Identified issues | The reported issues are explicitly discussed in national laws, policies, and measures. ⁹ |

The table below provides a **maps of the current policies, provisions and practices** on gender equality in Research and Higher Education, visualizing in which country report each category was found to be represented. In some cases, an extra annotation was added inside the cell; in all other cases, a blue cell signifies that the reports have acknowledged the **existence** of the aforementioned policies and provisions. It is important to keep in mind that this table **does not reflect the diversity among the various policies and approaches**, which have **vastly different levels of advancement and actual uptake**.

In order to get a sense of the actual level of advancement and implementation of the policies and provisions, and to gain a clear understanding of the specific problems identified in each country's policies and measures, it is recommended to read the related country sheet, which can be reached through the link embedded in the country codes on the left of the table.

⁹ An analysis of the existing policies by the national researchers has led them to identify the main problems explicitly discussed in national laws, policies and measures and to report on them in the dedicated country sheets. Texts of the country sheets have then been codified ex-post into the categories which are listed in the table below.



| | GE Accr/QA | Specific law | GE in HE | HE in GE | Funding | GEPs | Identified issues |
|-----------|---------------|-----------------|----------|-------------------|---------|--------------------------------|--|
| <u>AU</u> | | | | | | | Women in science, gender balance, horizontal segregation |
| <u>AT</u> | | | | | | | Gender balance, gender pay gap, gender perspective in research, gender perspective in education, training, gender mainstreaming, horizontal segregation |
| <u>BE</u> | | | | | | | Gender balance in decision-making, recruitment, gender perspective in education, gender mainstreaming, work-life balance, training |
| <u>BG</u> | | | | | | | Women in science, gender balance in decision-making |
| <u>HR</u> | | | | | | | Gender balance in decision-making, gender perspective in education |
| <u>CY</u> | | | | | | | Family, training, gender mainstreaming |
| <u>CZ</u> | | | | | | | Gender balance in decision-making, equal opportunities in career, work-life balance, family, recruitment, fight gender-based violence, gender perspective in education, horizontal segregation |
| <u>DK</u> | | | | | | Policies, not structured plans | Gender balance in decision-making, equal opportunities in career, women in science, gender mainstreaming |
| <u>EE</u> | | | | | | | Gender balance in decision-making, gender perspective in education |
| <u>FI</u> | | | | | | | Gender mainstreaming, gender perspective in research, gender perspective in education, horizontal segregation |
| <u>FR</u> | | | | | | | Gender balance in decision-making, work-life balance, fight gender-based violence, gender perspective in research, training, recruitment |
| <u>DE</u> | | | | | | | Gender balance in decision-making, gender mainstreaming, gender perspective in research, women in science |
| <u>EL</u> | | | | | | | Work-life balance, fight gender-based violence, training |
| <u>HU</u> | | | | | | | Women in science, gender perspective in research, family, work-life balance |
| <u>IS</u> | | | | | | | Access to funding |
| <u>IE</u> | | | | | | | Gender balance, gender balance in decision-making, gender perspective in research, women in science |
| <u>IT</u> | | | | | | | Women in science, gender balance, gender balance in decision-making, training, gender perspective in research |
| <u>LV</u> | | | | In education only | | | |
| <u>LT</u> | | | | | | | Gender mainstreaming, gender balance in decision-making, training, access to funding, fight gender-based violence, horizontal segregation, work-life balance |



| | GE Accr/QA | Specific law | GE in HE | HE in GE | Funding | GEPs | Identified issues |
|------------|----------------|-----------------|----------|----------|---------|----------------------------|---|
| <u>LU</u> | | | | | | | Gender balance, gender balance in decision-making, gender mainstreaming |
| <u>MT</u> | | | | | | | Horizontal segregation, gender balance, gender perspective in research |
| <u>NL</u> | | | | | | | Equal opportunities in career, training, recruitment |
| <u>NO</u> | | | | | | | Horizontal segregation, gender balance, gender perspective in research |
| <u>PL</u> | | | | | | | Family, work-life balance, women in science, gender balance in decision-making, |
| <u>PT</u> | | | | | | | Gender perspective in research, gender mainstreaming, gender balance in decision-making, gender perspective in education |
| <u>RO</u> | | | | | | | |
| <u>SK</u> | | | | | | | Gender balance in decision-making, work-life balance |
| <u>SI</u> | | | | | | | Gender balance in decision-making, women in science, equal opportunities in career, gender perspective in research |
| <u>ES</u> | regional level | | | | | | Gender balance in decision-making, work-life balance, fight gender-based violence, gender perspective in education, gender perspective in research, training |
| <u>SE</u> | | | | | | | Equal opportunities in career, horizontal segregation, gender mainstreaming, access to funding, gender perspective in education, work-life balance, fight gender-based violence |
| <u>CH</u> | | | | | | | Gender balance, gender balance in decision-making, training, family, work-life balance |
| <u>UK</u> | | | | | | General non-discrimination | Gender pay gap, equal opportunities in career |
| <u>USA</u> | | | | | | | Gender balance, fight gender-based violence, access to funds, recruitment |

Table 2 – Comparative policy context overview

45% of countries (41% for the EU27) were reported to have some sort of provisions regarding the presence of **gender equality provisions in accreditation or quality assurance of research and Higher Education**: this high number is explained by first, the inclusion of accreditation policies which include **gender equality requirements for obtaining accreditation**, and second, internal policies of the accrediting institutions which often establish the need for an **equitable balance** between women and men, as far as possible, in **External Evaluation Committees**.

Overall, few countries have a separate law or provision on gender equality in Higher Education and Research (24%;30% for the EU27).

More often, the national approach to the issue is inferred by the presence of gender equality provisions in the laws regulating Higher Education and Research quality (64%,EU 59%); the presence of provisions, or at least referencing to, Higher Education and Research in gender equality policies and national plans (67%,EU 70%); or a combination of the two (54%, EU 51%).



A majority of countries have embedded gender equality **provisions in their main research funding mechanisms** (80%, EU 74%).

In most cases, these mechanisms represent **minimal** provisions, such as **requirements for gender balance in research teams**; while in other cases, it is RFOs themselves which commit to review their own **research evaluation criteria**, such as in the case of the [French](#) Agence Nationale de la Recherche, which pledged to reduce gender bias in their selection procedures through specific training. This has also been described [as a best practice](#) in the context of DORA –the San Francisco Declaration on Research Assessment.

CAS have the potential to play an important role in such policy approaches where gender equality entails (financial) incentives.

DORA

The [San Francisco Declaration on Research Assessment](#) was developed in 2012 and it has become “a worldwide initiative covering all scholarly disciplines and all key stakeholders including funders, publishers, professional societies, institutions, and researchers”. The main objective of the Declaration is to improve the evaluation methods of scientific research; in particular, it lobbies for the overcoming of journal-based metrics as primary parameter for research quality, and for the development of more meaningful approaches to research evaluation. While it does not explicitly discuss gender equality measures, it is interesting as it challenges the status quo of meritocracy as based on publications¹³. To RPOs it recommends to 1) be explicit about the criteria used to reach hiring, tenure, and promotion decisions; and 2) for the purposes of research assessment, consider the value and impact of all research outputs (including datasets and software) in addition to research publications, and consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice. The Declaration currently has 1969 organisations as signatories, among which many European HEIs, and RFOs.

Having achieved an **award or certificate on GE** can be set as an **eligibility criterion**, such as is the case in the [UK](#)¹¹ where in fact, eligibility for funding from the National Institute of Health Research (NIHR) is dependent on achieving an Athena SWAN silver award.

A similar approach, but not limited to Health Research only, comes from Ireland, where the Science Foundation Ireland, the Irish Research Council and the Health Research Board set having achieved the Athena SWAN Bronze award by the end of 2019, and the Athena SWAN Silver award by 2023, as an evaluation criterion promoting progressive development.

There are also CAS that link gender equality performance with financial awards backed by governmental funds. For example, the [Norwegian](#) Ministry of Education and Research offered an annual Gender Equality Award (currently inactive) of 2 million Norwegian kroner to reward gender equality efforts. Similarly, the [German](#) “Professorinnenprogramm” certification” is an extraordinary public funding programme to which HEIs and RPOs can apply if they prove their commitment in investing the funds to enhance their gender equality provisions.

Finally, in over half (55%, EU 56%) of countries, there are national provisions, requirements, or significant practices on the use of **Gender Equality Plans (GEPs)** in Higher Education Institutions. In

¹⁰ A reflection on the gendered nature of meritocracy and its consequences on women researchers’ careers can be found in the Iceland country sheet.

¹¹ The analysis and description of the CAS which are referenced to in this section can be found in their respective country sheets. Athena SWAN is a peculiar case as it is analysed both in the UK and the Ireland country sheets, plus the Australia one; as the CAS was originated in the UK, in this case the link takes the reader to the UK country sheet, but it is recommended to review the other countries’ sheets to appreciate the national adaptations of Athena SWAN.



some countries, GEPs seem to be widely accepted in HEIs, to the point that they are reported to cover all universities, as for example in [Belgium](#) and [Norway](#); in other cases, recent Horizon2020 projects which entail the development of GEPs in universities seem to be the *only* relevant practices on gender equality in Higher Education at all –such it is the case for [Romania](#). Having more than half of the EU countries with national policies in place on Gender Equality Plans in HE and Research depicts a favourable environment for setting up an EU Level CAS on gender equality aiming at sustaining and further triggering institutional change and GEPs adoption in Europe.

The identified issues in national laws, policies, and measures listed in table 2, are quite diverse – and the key words used are the result of a systematic ex-post coding of the reports of the national researchers (see methodological note 2). Most of the identified issues can be found in the [ERA reports'](#) sections on Priority 4 (Gender Equality and Gender Mainstreaming in Research and Innovation) of each country; as noted in the “policy framing report”, the ERA process is playing a central role triggering gender equality in research and Higher Education¹² policies in many countries. The identified issues have been grouped, for analytical purposes, into six broader areas of concern, represented in percentage in figure 3, which are discussed separately below.

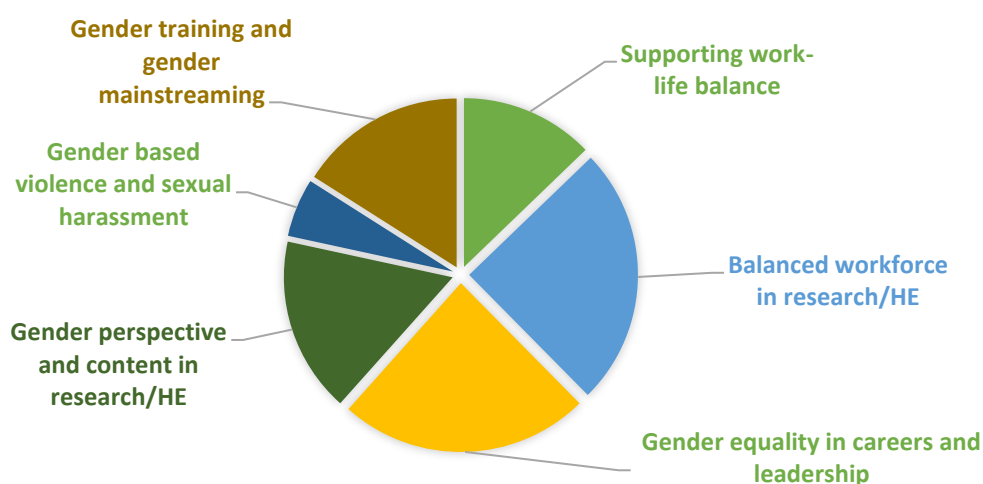


Figure 3 – Identified areas of concern in national policies and measures

Balanced workforce in Research and Higher Education

A major aspect which is explicitly referred to in the national policies of the mapped countries is the issue of a gender balanced workforce. Gender balance is possibly a basic yet very obvious and visible aspect of gender equality. States often look at encouraging the participation of women in education and research especially in hard sciences such as the STEM areas (Science, Technology, Engineering, Mathematics). In fewer cases, the States also explicitly look at encouraging the participation of men in the areas in which they are underrepresented (i.e. education and care areas, in [Austria](#)) Horizontal segregation is considered a major obstacle to tapping into diverse talent in all areas of scientific research and production. Recruitment policies are often considered as instruments to ensure the participation of women in Higher Education and Research.

¹² The implementation of ERA priority 4 is not monolithic, and there are important variations among the countries. GENDERACTION has published a [report monitoring the Priority 4 implementation](#) in January 2020.



Gender equality in careers and leadership

Retention of talent is also considered as an important issue. The “leaky pipeline” is a major obstacle to gender equality in **decision-making**, as women tend to be underrepresented in senior positions in HEIs, but also tend to have fewer funding opportunities as researchers; gender bias in research evaluation has also started to be taken into consideration as a pressing issue. These factors contribute to the gender pay gap, which is also explicitly addressed in some policies.

Supporting work-life balance

The difficulty of balancing work and caring responsibilities is widely recognised to be disproportionately impacting women (Bothwell, 2018)¹³. In some countries, policies explicitly deal with the need to support work-life balance good practices to enhance women chances in developing their career, both as researchers and as professors, and in some cases as students too, yet they more rarely seem to take into consideration men’s role as carers¹⁴. This is indeed recognized as major policy area at EU level: it constitutes a central element within the HRS4R Charter, under the “Working conditions” related principles, and within ERA it is part of complementary indicators and policies which are taken into account when measuring national progress under priority 4 on gender equality (CASPER Project, D.3.1, Policy Framing report). In some cases, the integration of childcare-supporting practices is also foreseen (e.g. the creation of nurseries and care centres for researchers’ children). In some countries (such as in [Poland](#)), these practices seem to be stemming from a more general policy direction towards the support of families and natality levels, more than feminist considerations of gender equality. Indeed, feminist scholars found this to be part of a broader, ongoing, ‘backsliding’ phenomenon towards neoconservative/anti-democratic visions of society and the family, mostly reported in Eastern (Kriszan & Roggeband, 2019), and Southern Europe (Bellè & Poggio, 2018) but present in Nordic countries as well, although less widespread (Kovala, Palonen, Ruotsalainen & Saresma, [\(2018\)](#)).

Methodological note (1)

The researchers’ reports answered the question “What are the main identified problems [in the previously discussed policies and measures]?”. The codes definitions derive from the main concepts provided in ERA documents, in EIGE thesaurus and from the results of the CASPER D3.1 report. In most cases, the researchers have used the exact phrasing used in the coding, thus simplifying the process, while in other cases there has been an *ex-post* identification of the relevant code, whose definition can be found, together with the criteria for the further grouping in “areas of problems” in Figure 3, in [Annex 3](#).

¹³ Bothwell, E. (2018). Work-life balance survey 2018: long hours take their toll on academics, Times Higher Education. Retrieved on 20th June 2020. (A Survey based on almost 2.800 respondents from academics in 56 countries).

¹⁴The study methodology did not foresee an in-depth exploration of this specific aspect and researchers were not asked to detail on the matter. Yet, it can be worth mentioning a study commissioned by ETUC (European Trade Unions Confederation) to the European Social Observatory in 2018. The objective of the study was to map out to what point Member States work-life balance policies complied with the proposed new EC Directive on work-life balance for parents and carers, which entered into force in 2019. The Directive strengthened provisions on paternity leave and the role of men in care: while Sweden was found being far more advanced than the Directive’s provisions with its 4 months non-transferable paid leave per parent, 6 Member States were found not having any type of paternity leave in place. 14 Member States already offer paternity leave of 10 or more working days, paid at least at level of sickness benefit. In 7 Member States (EL, HU, IT, LV, MT, NL and RO), fathers are entitled to shorter leave, and in six Member States (AT, CY, CZ, DE, HR and SK) no paternity leave is in place. Source: European Social Observatory (2018). [Brief overview of measures related to work-life balance in the European Union. country sheets.](#)



Gender perspective in the content of research and education

While typically grouped together, the integration of gender perspective in research is reported slightly more often than the integration of a gender perspective in education. This might be interpreted as a consequence of the increasing prominence of gender as a dimension of research content as one of the ERA headline indicators for Priority 4 on gender equality and from European Commission's inclusion of the former as a requirement for Horizon 2020 research projects—a major source of funding (CASPER Project, D.3.1, Policy Framing Report). The integration of gender content in Higher Education curricula is also taken into consideration in some countries (for example in [Croatian](#) Act on Gender Equality¹⁵).

Gender training and gender mainstreaming

Gender mainstreaming is also referred to as an approach to be adopted in all areas of policy – including (often explicitly) policies regarding Higher Education (as in the [Czech Republic](#) case) R&I funding and quality assurance. Gender training is often considered to be a tool to foster gender mainstreaming (EIGE, [2016](#)) and institutional/organizational change (Bustelo, Ferguson, Forest, [2016](#)): in many countries, the need for specialised training on gender equality, diversity, and gender bias is reported – for example in selection panels and management boards of RFOs.

Combat gender-based violence and sexual harassment

Gender-based violence is increasingly considered as an obstacle to women's participation in research and education careers. [Spain](#) is spearheading policies related to violence against women in the context of Higher Education, with a few other countries also concerned about sexual harassment as a barrier to excellence in research and Higher Education. Working environments and institutional cultures infiltrated by harassment and sexist micro-aggressions are recognised as contributors to the phenomenon of the leaky pipeline and to pushing talent out of the workforce.¹⁶

This overview helps to contextualise the comparative analysis of the CAS of the next chapter. Moreover, it is useful to draw some lessons learned suitable for the continuation of the CASPER project. Such lessons learned, together with the conclusions related to the whole research results, are discussed in [section 2.2](#).

¹⁵ The fact that such issues are acknowledged does not mean that there are any implementation and follow up. For example, the [Croatia](#) country sheet underlines how although the aforementioned issues are promoted in the Gender Equality Act, no implementing policies have been carried out. In [Hungary](#), gender studies programmes at universities have been banned.

¹⁶ The Standing Working Group on Gender in Research and Innovation under European Research Area and Innovation Committee (ERAC SWG GRI) has recently published a mapping of policies against Gender-Based Violence, available [online](#). The related policy brief is also available [online](#).



2.1.2 Analysis of CAS

The CAS selected for analysis are listed in Table 3.

The methodological instructions provided to national researchers (see the [methodology](#) chapter) prioritised the CAS which dealt with gender equality and diversity in Higher Education in Research, but also included CAS related to “business and others”, and those with a broader focus on diversity and inclusion.

The CAS which are dedicated to Higher Education and Research Performing Organisations (RPOs), whether exclusively or in addition to other kinds of institutions, are in **bold**; the CAS which are not active anymore, but were nonetheless included in the analysis as relevant examples, are marked in grey, while the ones still active appear in black.

In total, **113 CAS** were analysed. They are diverse in methodology, approaches, and stakeholders, as described in their respective CAS sheet as part of the related country sheet.

X-Aequo, GEEIS, and Minerva Informatics awards are analysed in a separate “International” chapter, as they were not mapped as related to/founded in a specific country. EDGE certification, Stonewall Global Workplace Equality Index, and Catalyst Award were originally mapped by the national researchers of the respective country of origin/legal basis (Switzerland, UK, and US): as they are international awards which apply beyond their country of origin, though, they are collected in the “International” chapter as well.¹⁷

This chapter also describes the **Gender Equality Seal by the United Nations Development Programme (UNDP)**, as a supranational scheme, together with the **European Commission’s Human Resources Strategy for Researchers (HRS4R)**, which, given its relevance for the CASPER project¹⁸ and its unique structure, is analysed as a separate entity and is not counted among the 113 CAS.

Methodological note (2)

As previously noted, CAS is used as umbrella term to identify all practices which may be relevant for the CASPER project, even if the terminology used is not exactly that of “certification” or “award”. For this reason, among the CAS it was possible to include a minority of Charters, Seals, Emblems, Titles, Indexes; the criterion for their inclusion was the **presence of a sound assessment process**. For example, Gender Equality Charters for HEIs which simply relied on commitment, without monitoring or evaluation of results, have not been included.

¹⁷ These CAS, even if they are collected together in the “international” chapter, are included in the “introduction to CAS” comparative section of their respective country sheet as well ([Switzerland](#), [UK](#) and [US](#)).

¹⁸ The HRS4R and its relevance for the project were already analysed in the CASPER D3.1 “Policy Framing” report; nonetheless, it will be discussed further in this report.



| | | | |
|-----------|---|------------|--|
| Australia | <ul style="list-style-type: none"> • Athena SWAN Bronze Institution Awards • Employer of Choice of Gender Equality (EOCGE) citation • Reconciliation Action Plan • Pleiades Awards | Austria | <ul style="list-style-type: none"> • Audit Hochschule und Familie (audit process university and family) • Diversitätsmanagementpreis Diversitas • Meritus • Sustainability Award für herausragende nachhaltige Projekte an Hochschulen • Audit ZukunftVIELFALT® (audit process Future Diversity) |
| Belgium | <ul style="list-style-type: none"> • Charter Gender In Academia • Diversity Label | Bulgaria | <ul style="list-style-type: none"> • Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy • LGBTI-friendly Corporate Index |
| Cyprus | <ul style="list-style-type: none"> • Good Practice Certification • Equality Employer Certification | Czech Rep. | <ul style="list-style-type: none"> • Firm of the Year – Equal Opportunities • Office on the Road to Equality (Úřad na cestě k rovnosti) |
| Estonia | <ul style="list-style-type: none"> • Family-Friendly Employer Label • Diversity Charter | Finland | <ul style="list-style-type: none"> • FINEEC Quality Label of Excellence |
| France | <ul style="list-style-type: none"> • AFNOR “Professional equality between women and men” • Prix Ingénieuse | Germany | <ul style="list-style-type: none"> • Das Professorinnenprogramm /The Professor Programme • TOTAL E-QUALITY award <ul style="list-style-type: none"> • Audit work and family and audit family friendly university - certification • CEWS university ranking • Helga Stödter Prize from the Hamburg Chamber of Commerce • Bielefeld Equality Award/ Category Structural Equality Measures • Universität Hamburg Equal Opportunity Prize — previously known as the Women’s Advancement Prize • Chancengeber-Award der IHK-Stiftung / Equal Opportunities Award of the IHK Foundation |
| Greece | <ul style="list-style-type: none"> • Equality Badge • Great Place to Work - Hellas • The Best Five Companies for Equal Opportunities (2007) | Hungary | <ul style="list-style-type: none"> • The Best Workplace for Women by Association for Women’s Career Development • Award for Creating Opportunities by Ministry of Human Capacities • Responsible Business in Budapest 11. district • Family-friendly Business in Budapest 11. district • Family-friendly Place Trademark • Responsible Employer of the Year • Family-friendly Company of the Year |
| Iceland | <ul style="list-style-type: none"> • Jafnlaunavottun (Equal Pay Standard and certification) • Jafnvægisvog FKA (The Women in Business Gender Equality Scale) • Hvatningarverðlaun jafnréttismála (Equality Encouragement Award) • Jafnréttisviðurkenning Jafnréttisráðs (Equality Council’s GE acceptance award) | Ireland | <ul style="list-style-type: none"> • Athena SWAN Charter Awards • SIRG Programme (Project Juno) • SFI Discover Programme - Opportunistic Funding Mechanism • Investors in Diversity • The Education Awards 2020 |
| Italy | <ul style="list-style-type: none"> • Family Audit: la certificazione familiare aziendale • Certificazione Parità di genere | Latvia | <ul style="list-style-type: none"> • Ilgtspējas indekss (Sustainability index) |
| Lithuania | <ul style="list-style-type: none"> • The Best Gender Equality Implemented Practice in a Department/Institute at Siauliai University • The Best Planned and Implemented Measures to Promote Equality between Women and Men in Municipalities • Award for Promotion of Gender Equality in Local Governance • Award on Equality at Work • National Equality and Diversity award | Luxembourg | <ul style="list-style-type: none"> • Actions positives |



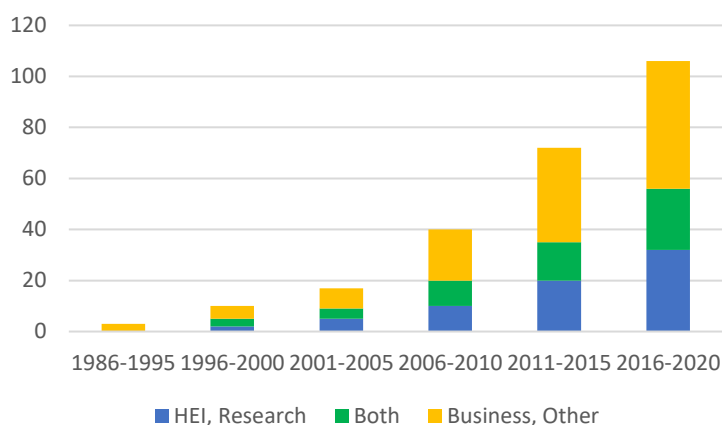
| | | | |
|---------------|--|---------------|---|
| Malta | <ul style="list-style-type: none"> The Equality Mark Malta Business Woman of the Year Award - Company Award for excellence in the promotion of women in business | Netherlands | <ul style="list-style-type: none"> Talent to the Top (Talent naar de Top) Diversity at Work (Diversiteit in Bedrijf) |
| Norway | <ul style="list-style-type: none"> Gender Equality Award (Ministry of Research and Higher Education) NTNU's Gender Equality Award | Poland | <ul style="list-style-type: none"> Excellence in Education Certificate/ Certyfikat Doskonałości Kształcenia Best Quality Employer University leaders/ Uczelnia liderów Equal Opportunities Company/ Firma Równych Szans Trustworthy employer/ Pracodawca Godny Zaufania Good Climate for a Family/ Dobry Klimat dla rodziny Good Climate for a Family/ Dobry Klimat dla rodziny Family-friendly employer/ Pracodawca Przyjazny Rodzini |
| Portugal | <ul style="list-style-type: none"> Prémio Igualdade é Qualidade Prémio Viver em Igualdade Norma Portuguesa 4552:2016 - Sistema de Gestão da Conciliação entre a Vida Profissional, Familiar e Pessoa | Slovakia | <ul style="list-style-type: none"> VIA BONA Employer friendly to family, gender equality and equal opportunity award |
| Slovenia | <ul style="list-style-type: none"> GEMA certificate Priznanje Vključi.Vse (Include.All Award) Certyfikat LGBT prijazno (LGBT-friendly Certificate) Nagrada Zlata nit - Starejšim prijazno podjetje (SPP): Z leti še vedno ZAvzeti (Golden Thread - Elderly-Friendly Company: Still Eager with Age Award) Nagrada Invalidom prijazno podjetje (Disabled-Friendly Company Award) Slovenska nagrada za družbeno odgovornost Horus (Slovenian Social Responsibility Award Horus) | Spain | <ul style="list-style-type: none"> Verification, monitoring, modification and accreditation of university degrees of Cataluña (VMMA) Program ALCAEUS: ACPUA Program of certification 2030 Gender Equality Accreditation Distinctive Emakunde Equality Award The Canary Institute for Equality Awards The “Centre of Excellence Severo Ochoa” and “Unit of Excellence Maria de Maeztu” Awards Equality in Business Distinctive |
| Sweden | <ul style="list-style-type: none"> Quality assessment of HE courses and programmes by the Swedish higher education authority (Universitetskanslerämbetet, UKÄ) LGBTQI-certification by RFSL Gender certification at Lund university On equal terms, the municipality of Falun JämBar, the municipality of Karlskrona EQ-Z-län, in the region of Jämtland EVOLVE diversity certification Gender equality certification by Winnet | Switzerland | <ul style="list-style-type: none"> Federal Equal Opportunity Programme |
| UK | <ul style="list-style-type: none"> Stonewall UK Workplace Equality Index Athena SWAN Race Equality Charter (REC) Disability Standard Juno | US | <ul style="list-style-type: none"> SEA Change (STEM Equity Achievement Change) NSF ADVANCE GEN Certification |
| International | <ul style="list-style-type: none"> * Human Resources Strategy for researchers (HRS4R) UNDP Gender Equality Seal GEEIS Minerva Informatics awards X-Aequo | International | <ul style="list-style-type: none"> EDGE Certification Stonewall Global Workplace Equality Index Catalyst Awards |

Table 3– List of mapped CAS



The comparative analysis of the 113 CAS mapped by the national researchers are necessarily limited in its depth. The number, diversity, and complexity of the CAS require reviewing the collected CAS sheets separately to obtain a better understanding of the stakeholders, methodologies, and instruments used. The country sheets also provide important information about context. Notwithstanding these limitations, a comparative analysis is useful to better position the CASPER scenarios in the current CAS landscape, and to report and discuss good practices in certification and awarding.

Overall context - time and space



The mapping of the CAS starting dates shows that there has been a **steady growth in the introduction of certifications and awards for Higher Education and research regarding gender equality and diversity over time**. The use of CAS for businesses and other institutions (which often are public administration offices) and mixed solutions, which consider both HEIs, RPOs, and businesses, also shows a steady growth.

Figure 4 – Timeline of CAS development

In particular, it was in the first half of the last decade that both the CAS specific to HE and Research and those specific for businesses and public administration had a boom in growth, with their total number almost doubling. Mixed solutions seem to have grown more significantly in the last five years, possibly due to a more mainstreamed approach to gender equality in public institutions.

Geographically, almost every country had at least one example of relevant CAS, including “business and others” certifications and awards.

The exceptions to this are Croatia, Denmark, and Romania.



Figure 5 – Geographical distribution of all CAS¹⁹

¹⁹ The darker the colour on the map, the higher is the number of CAS mapped in that country (cf. Table 1). countries which were not mapped, or which did not present any relevant CAS, are not represented in the map.

These three countries are interesting case studies as the reasons behind the lack of certifications seem to be very different for each one of them: [Denmark](#) has a strong governmental gender mainstreaming approach, which possibly substitutes the perceived need for external certifications²⁰; the same could be said for [Croatia](#), as the policies on gender equality in Higher Education and Research seem to be quite comprehensive – at the same time, the country has been reported as having strong policies but little implementation of the latter, and a rising public intolerance towards “gender” and gender equality discourses. Finally, [Romania](#) has zero gender equality policies in Higher Education and Research, while also having a high percentage of women in research. This may lead to considering or perceiving further policies or CAS related to gender equality in Research and Higher Education institutions as “not needed” or not a priority (especially in a narrow interpretation of gender equality as mere gender balance)²¹.

Regarding CAS which focus on, or include, Higher Education and Research Institutions²² (hereafter: “HEIs and Research CAS” as opposed to CAS focused on Business and Others, but not on HEIs and Research Institutions), there is a smaller number of countries which provide evidence of good practices.

In general, there seems to be a **positive relationship between a large number of HEIs and Research CAS and the presence of numerous policies** on gender equality in Higher Education and research, such as in Spain, Germany, Ireland, Austria and the UK. Poland also figures among the countries with the largest number of CAS, mainly focused on work-life balance demonstrating the reduction of gender equality policies to family policies as a national strategy to foster birth rate.

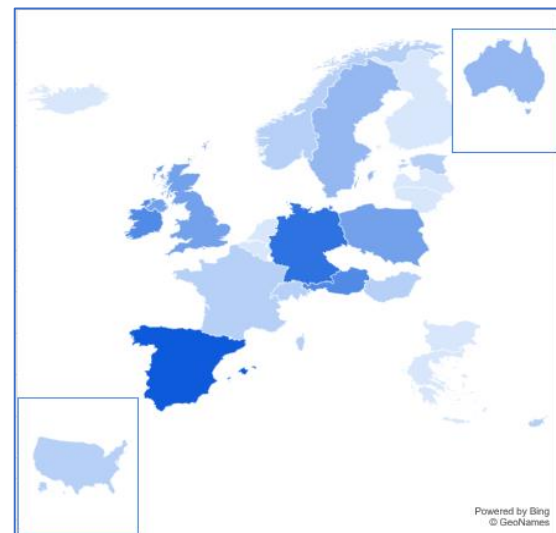


Figure 6 – HEIs and Research CAS distribution

At the same time, we observed that around half **these CAS are promoted by public authorities**, a majority of which are national ministries and, in some cases, CAS are part of the overall policy mechanisms to promote gender equality in research. The role of national ministries can differ significantly, as for example they may be directly managing the CAS; delegating National Agencies or RFOs to manage the CAS (i.e. Science Foundation, in [Ireland](#)); delegating private bodies such NGOs or companies to operate the CAS and still keep the ownership of the CAS itself (i.e. AFNOR, in [France](#)).

²⁰ Arguably, this reasoning is also behind the fact that [Norway](#) has discontinued its Gender Equality award.

²¹ Romania also scores extremely high in the ERA National Progress report, which is a setback of the ERA approach based on headline indicators. This is also stressed in the previously mentioned GENDERACTION report (note 12) and pointed out in CASPER D3.1 as well.

²² The rest of the report mainly focuses on the CAS which were considered High and medium/high priority, namely those dealing with Higher Education Institutions and Research. In case a wider look at the whole collection of 113 CAS is deemed useful for the sake of this discussion, it will be clearly stated that the comparison and analysis is including all of the mapped CAS, hence also those related to business, private bodies, and public administration.

Yet, **the relationship between number of CAS and GE policies in HE and Research is not necessarily a causal one** and it is impossible in the framework of this study to review all of the specific contextual mechanisms which facilitate or hinder the development of CAS in the mapped countries. Our findings seem to indicate that a developed policy framework could work as a fertile ground for CAS to flourish and/or (one possibility not excluding the other) that CAS uptake and success could function as a ‘bottom up’ stimulus for further policy improvements.

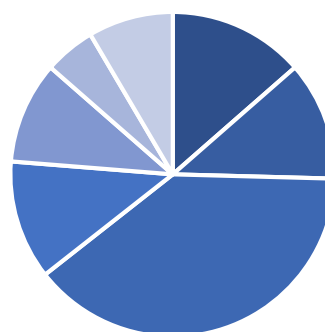
Such factors are better discussed in the specific country sheets, which also provide an overview of the level of development of each country’s policies – a level of analysis which is impossible to include in this part of the report.

In some cases, such as in Germany and France, the HEIs and Research CAS awarding bodies are **private bodies**, mainly private firms, **with collaboration or patronage** from the State.

In other cases, the CAS are **managed directly by private institutions** which work with gender equality and diversity, mostly NGOs and charities, and in their cases the business models tend to rely less on public funding. In more than half of cases, in fact, **funding** of HEIs and Research CAS tends to come from **public resources (national and European funds**, as in the cases of CAS developed under the European Social Fund programme – see for example [Cyprus](#)) through direct governmental sponsorship.

Other funding methods which were reported as the “**main sources of funding**” during the mapping for HEIs and Research CAS are:

- the **payment of a fee by applicants** – especially in the case of CAS registered as certifications;
- the **use of internal funds** of the awarding institution, which have diverse business models;
- a **mixed method**, which in most cases translates into a use of both applicants’ fees and governmental subsidies;
- and finally, the use of **sponsorships by external private bodies**, entities or individuals (such as for the [Ireland](#) CAS Education Awards) which exchange monetary support with visibility and prestige.



- Applicants through fees
- Awarding Institution
- Governmental Institution Sponsorship
- Governmental Institution sponsorship + EU funds
- Mixed method
- Private Body sponsorship (external)
- Unclear/Unknown

Figure 7 – HEIs and Research main sources of funding²³

²³ The graph represents the different percentages of the answers provided by the researchers to the single choice question “what is the main source of funding?”, given the predetermined options (see methodology [annex 2](#))

A further look into the meaning of CAS in the context of Higher education and Research

In the case of HEIs and Research CAS, more than half of them are reported as Awards. It is important to note that the national CAS often have names that cannot be directly translated to a preestablished definition of Award or Certification, hence the phrasing “reported as”. Moreover, awarding does not necessarily entail a monetary prize, even though it is the case for many CAS; there is an overall inconsistency of the terminology used in the different contexts.

Among the reported CAS on HEI and Research 51% are *reported* as awards, 36% as certifications, and 13% as others (against 53%, 35%, 12% for all the mapped CAS, respectively).

The “other” category includes terminology such as “charters”, “standards”, “emblems”, and “ranking mechanism”.



The **assessment methodology** used in the HEI and Research CAS makes a major distinction between the CAS reported as Certifications and those reported as Awards.

Certifications most often **assess the applicants more than once in the same certification period**²⁴, often combining different assessment methodologies, and in some cases with an explicit intention to promote gradual changes. Awards are more likely to focus on a “single point in time” assessment and to be conferred after a single session of assessment – which can include different assessment methodologies too, but does not include a monitoring of progress through time.

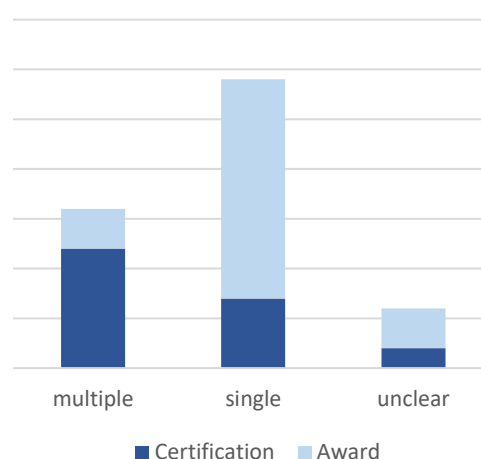


Figure 8 – HEI and Research point in time assessment

To summarize²⁵ (even if of course each CAS is made unique by its own specificities), it is possible to categorise the main **assessment methods** as follows.

²⁴ This is described as “multiple points in time” assessment, as opposed to “single point in time”. This also means that the renewal of the certification or award is not considered as a second assessment for the purposes of this analysis.

²⁵ [Annex 4](#) presents the figure 9 data in a disaggregated manner. For the purposes of this discussion, an aggregated representation of such data is of more immediate understanding. Disaggregated data are also discussed in the text, when relevant.

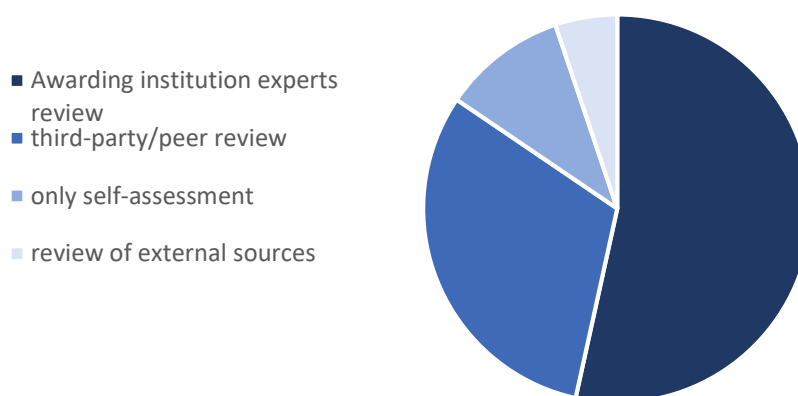


Figure 9 – HEIs and Research main assessment methods (aggregated)

In over half the HEIs and Research CAS, the assessment involves a **review by the awarding institution’s experts** of documentation, policies, and quantitative and qualitative evidence provided with the application. In half of such cases, the awarding institution’s experts also audit the applicants with on-site visits. In around 40% of the assessment methodologies which were reported as principally involving the awarding institutions’ experts’ review, **self-assessment** was reported as a parallel *major*²⁶ aspect of the overall assessment.

Indeed, the assessment panels generally require, prior to following up with an on-site or off-site review, to obtain the results of a systematic self-assessment.

The same applies for the CAS in which the applications are reviewed by external experts, either as engaged third-party experts or as peer reviewers: in 33% of cases, a prior systematic self-assessment is reported as a *major* aspect of the assessment procedure.

There are only a small number of cases where “only self-assessment” has been reported as the main methodology. Including these cases, overall 43% of all CAS were reported to give a *major* role to self-assessment procedure, while for the rest self-assessment was not as much of a significant part of the overall evaluation procedure and outcomes.



Figure 10 – Self-assessment role

A **minimum form of self-assessment is required in most CAS**, and only in very few cases such step is completely absent (as for example in the [German](#) CEWS gender equality ranking, which can be defined as an “unorthodox” CAS²⁷).

²⁶ “Major role” means that the researchers have explicitly reported self-assessment as an aspect which has, in their understanding, the most relevant weight in the overall evaluation. Methodologically, this means that they have chosen a closed option which also included “self-assessment” when describing the “main assessment methodology” (see [Annex 2](#), [Annex 4](#)). Some, however minimal, forms of self-assessment or self-evaluation are present in most of the reported CAS.

²⁷ The CEWS gender equality ranking is a unique university ranking based on gender data from the Federal Statistical Office, which does not collect data separately. More information is available in the CAS sheet.

Where **self-assessment** was reported as playing *a major role*, this form of assessment was considered central for subsequent award of these CAS²⁸.

Self-assessment is arguably a financially sound choice for the awarding institution (the time and effort spent on this form of assessment fall onto applicants); but self-assessment is also recognised as the first step for promoting change and further good practices, as the **applicants need to reflect on their own policies and processes with a gender equality perspective**, with an approach to institutional change for gender equality similar to the one fostered by the European Commission²⁹.

Self-assessment is rarely taken at face value, though, and in many cases it is complemented by a review by experts which even involves **on-site audits** (in about 25% of the cases). Such on-site audits are usually carried out by the awarding institutions' experts, while the use of peer-review for on-site audits was only identified in one case, for a CAS strictly linked to national Accreditation³⁰ (the [Polish](#) Excellence in Education certificate). This shows that the HRS4R European-level peer-review methodology is a unique approach for an international CAS.

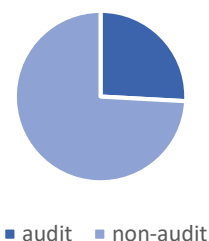


Figure 11 – use of on-site audits

As far as the **types of data** collected during the assessments are concerned, it was not always possible from desk-based research to obtain an exact description and categorization. In general, most CAS appear to rely on a **mixed approach**, where both qualitative and quantitative data are collected:

Most CAS require applicants to provide evidence of their **internal policies and plans** related to gender equality, diversity and inclusion, and non-discrimination for the assessors to review. In the mapped landscape it is therefore customary to include proof of internal policy development and planning as part of the assessment process: this indicates how Gender Equality Plans could play a role in scenarios to develop CAS which would be explicitly aimed at fostering institutional change.

Most CAS use a mix of quantitative and qualitative data collection for their assessment methodology. The latter often takes the form of internal policies review and narrative statements by the applicants.

Moreover, CAS often require **narrative statements and qualitative self-assessment reports** on the applicants' efforts, policies and measures for enhancing gender equality and inclusion. **Questionnaires** are often used to obtain insights into the views of both leadership and staff, and in some cases are complemented with individual **interviews**.

Indicators, metrics and statistics are often required (in most cases, based on sex-disaggregated data on Human Resources).

Less frequently, additional forms of data are collected: **workshop** minutes to demonstrate internal efforts for gender equality training, official **websites**, or **parallel reports** provided by students and student unions, in case of CAS related to Higher Education Institutions.

²⁸ See note 26.

²⁹ See, for example, the EIGE Gender Equality in Academia and Research (GEAR) tool, available [online](#).

³⁰ This proves that the HRS4R European-level peer-review methodology is a unique approach in the international CAS context; this will be further discussed in the related section in the next pages of the report.

Support for applicants is provided before, during, and beyond the assessment period by the awarding institutions. This typically takes the form of guidelines, collections of **best practices** (the most common form of support), and feedback.

In the majority of cases, national researchers were not able to find relevant information on **internal quality assurance mechanisms** and indicators for the adequacy of CAS. Not only are these measures rarely made public on CAS websites, but they were also treated as confidential in the communications with the national researchers.

This could be explained by a reluctance to share internal and proprietary mechanisms and indicators, especially in the cases of CAS managed by private awarding institutions, even among those operating as not for profit organizations. In other cases, the CAS reported not having formalised indicators, and **relying on the judgment, expertise and experience of the individuals composing the assessment panels**. Arguably, the reputation of the experts composing the panels are treated as indicators of the quality of their assessment procedure.

When researchers were able to report on internal quality assurance mechanisms and indicators, the most common form of assurance for the quality of the CAS was a **systemic review of the scheme, its criteria, and its indicators, by external (third-party) experts**.

This overall overview also analysed the CAS “content”. This considers their main principles and criteria, highlighting some interesting practices and trends in the definition of which areas of assessment are most relevant for CAS related to gender equality and inclusion. While for the main methodologies and funding mechanisms it was deemed more useful to look specifically into the high priority CAS related to Higher Education and Research as they are more relevant for the CASPER project, the following analysis has included all of the 113 mapped CAS for an overview of the main principles and criteria for assessment of CAS.



The national researchers were asked to report on the “**main principle**” (with up to two choices) of each one of the mapped CAS. This is particularly useful as, assuming that all CAS are centred around or are at least related to gender equality and diversity, the following analysis uncovers the related priorities which were identified in the national contexts for Certifications and Awards.

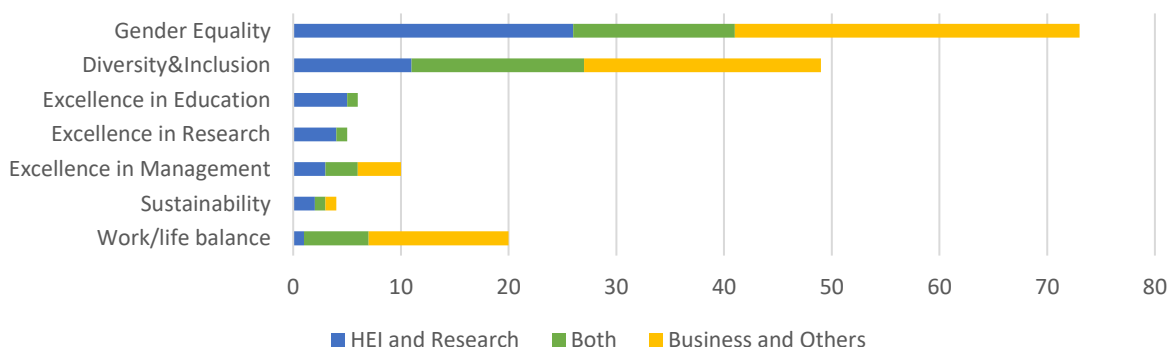


Figure 12 – Main principles of the mapped CAS

Unsurprisingly, most of the CAS had the promotion of **gender equality** as their main driving principle, with the diversity and inclusion as the second most common principle. Gender equality is consistently the most relevant principle, with only the CAS which are open to both HEIs and Research and businesses having a slight preference for more generic and inclusive practices.

Diversity and inclusion was categorised as having a wider approach to human resources issues, thus comprising other forms of potential discrimination other than gender-based ones: for example, in this category some CAS focused on race equality, disability, and LGBT+ inclusion. Only 20% of the total CAS used an **intersectional** approach (22% of the CAS on HEIs and Research), as evidenced by the presence of an explicit statement on intersectionality as a principle.

It is important for the CASPER project to include CAS that deal with these issues; awareness of the best practices in diversity and inclusion for other axes of discrimination is an important prerequisite for designing a gender equality CAS with a truly intersectional approach.

Awareness of the best practices in diversity and inclusion for other axes of discrimination is an important prerequisite for designing a gender equality CAS with a truly intersectional approach.

Certifications and awards focused exclusively on **work-life balance** are the rarest among those dedicated to Higher Education Institutions and research. This may be explained by the fact that most CAS related to gender equality in HEIs and Research also consider work-life balance issues, but not as their central focus of assessment. In contrast, CAS related to businesses and public administration are more likely to focus on work-life balance.

Excellence in education and in research are, quite unsurprisingly, major inspiring principles for CAS on HEIs and Research. Some of these CAS are mainly related to these principles, and only marginally related to gender equality – the latter being framed as an essential element of overall excellence; in other cases, the CAS target awarding gender equality best practices in institutions, but significantly³¹ connect the rationale behind the promotion of gender equality with better quality and excellence.

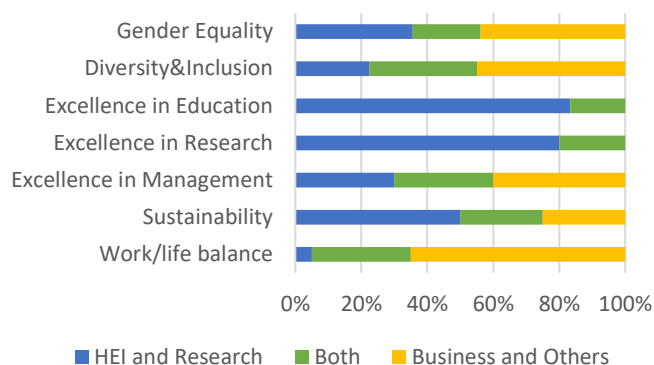


Figure 13 – Percentage distribution³² of the main principles

In 27% of the CAS **excellence** (either in management, in education or in research) is **explicitly connected with gender equality** in the public documentation reviewed by the national researchers. The connection between gender equality, inclusion, and excellence is more often explicitly made in the context of **management**, an area which also includes business and public administration CAS. These CAS deal predominantly with the inclusion of women in leadership positions and mechanisms supporting women’s careers, linking equality with excellence in management practices.

Methodological note (3)

The researchers were provided with the following options to describe the “main principles”:

- Diversity & Inclusion
- Excellence in Management
- Excellence in Research
- Excellence in Education
- Gender Equality
- Work/life balance
- Other – with the possibility to further describe their choice.

As often “other” was described as “Sustainability”, such option was added. The remaining “other” choices connected back to the already provided options, and were therefore reintegrated in these categories.

Finally, **sustainability** was a category not initially considered in the guidelines for the mapping (see methodological note 3), but which emerged as a main principle of a number of CAS. Sustainability and sustainable development are not to be considered as an overarching criterion for the assessment of the applicants but as a fundamental rationale behind the existence of the CAS.

The CAS which have sustainability as a main principle usually refer to the **2030 Sustainable Development Goals (SDGs)** as a relevant framework in which to position themselves. In many cases, the SDG 5 on gender equality is the primary connection to the overall framework, but other SDGs are also included (such as 4, 8, and 10: quality education, decent work, and reduced inequalities).

An example³³ of a CAS which strictly relates to sustainability and SDGs is the [UNDP](#) Gender Equality Seal, which is particularly interesting – even though it focuses on private businesses and public administrations – as it is the only CAS, apart from the European Commission’s HRS4R, which stems from a supranational body.

³¹ The term “significantly” is used to specify that the researchers have been compelled, in these cases, to choose excellence in education and research as one of the two main principles.

³² This graph stems from the same data as Figure 12. It shows the percentual distribution of the main principles among the existing CAS, underling which kind of CAS are more incline to prioritise certain principles.

³³ Other CAS which refer to SDGs are the Spanish Alcaeus, the international GEEIS and the Austrian Diversitas.

As a final section for this overview of all of the 113 mapped CAS, the main areas of concern and of assessment are briefly discussed. Such **areas of assessment** were described, in the methodological guidelines for researchers, as the **assessment criteria**, thus distinguishing the latter from the assessment indicators³⁴.

The criteria for assessment are, of course, contextual and specific to each CAS. Nonetheless, it was possible to obtain a cloud of the most common words used in the available description of criteria³⁵, which is reported and briefly discussed below.



Figure 14 – Word cloud of the assessment criteria of the mapped CAS

Training is the most often recurring word in the reports on the CAS assessment criteria. It usually relates to the presence of capacity building initiatives in the applicants' institutions, such as training on diversity, unconscious bias (especially for recruitment officers and management), and gender diversity. In some cases, the assessment criterion is the successful participation to training provided by the certifying institution itself.

Recruitment policies are the second most frequent area of assessment, which is coherent with the overall consistent attention towards the necessity to ensure gender balance in work/research teams.

The words “**employees**” and “**leadership**” are usually connected, as assessment often requires quantitative and qualitative data on the gender composition of the staff and higher management positions. They are used in connection with the necessity to involve both staff and leadership in the

³⁴ see the methodology chapter of this report.

³⁵ see the “Methodological note (4)” box in the next page.

overall assessment process as well (see also, in smaller letters, “staff involvement”) but also in the design and uptake of gender equality measures and plans.

Specific policies and good practices are often required and assessed regarding **sexual harassment** – for example, the availability and well-functioning of instruments to report **cases of misconduct**.

Institutional **communication**, both internal and external, is often assessed for its gender-sensitivity and transparency. **Transparency** is also generally required for the recruitment, **quality assurance**, and promotion policies.

As a significant percentage of CAS focus on **work-life balance** specifically, and many others refer to it, it is unsurprising to find many keywords related to it, such as **flexible work**, **childcare**, **parental leave** and **family life**. **Personal life** is also used in this context, in a less family-oriented conceptualisation of work-life balance.

While most of the previous keywords were possibly obvious to expect for the description of criteria of gender equality and diversity CAS, **social impact**, **sustainability** and **innovation** are unexpectedly common key words.

Innovative practices tend to be taken in great consideration for their potential to accelerate change and to inspire others, especially in the context of highly visible awards. Sustainable policies and practices are also highly regarded, as they are deemed to promote long-term change.

Social impact, sustainability, and innovation are common key words for CAS, which prioritise applicants who demonstrate the potential to promote change inside and outside the institutions

Finally, social impact is generally considered as an important criterion for the assessment of inclusive practices, as again, CAS tend to prioritise applicants who can promote change inside and outside the institutions. This aspect seems to recall the orientation also detected in D3.1 Policy Framing Report towards opening up the role of RPOs and Universities as actors in their respective economic and societal milieus.

Methodological note (4)

The word cloud has been obtained by

- collecting the reports on a single document
- cleaning up the document and extracting the key words
- grouping the similar and semantically overlapping words (i.e. flexible working, flexible work) via Excel
- inserting the list in an online, AI-powered word cloud programme (MonkeyLearn)

Note: the researchers have reported the criteria as they were described in the official resources on the CAS which they have mapped: not all CAS had a complete description of the assessment criteria, and only the assessment criteria which were reported have been analysed. They are available for consultation in the relative CAS sheet.



Before drawing relevant lessons learned and conclusions for the CASPER project, and proceeding with the analysis of the specific national contexts through the country sheets and CAS sheets, it is important to put in the spotlight the **cross-national dimension of CAS**.

On one side, it is interesting to look at cross national transferability and adaptation of national CAS, Athena SWAN being the “case study” here due to its history of adaptations in the US and more recently in Australia and Canada.³⁶ On the other hand, CAS which target beneficiaries from different countries and have, or not, a supranational governance structure are also of interest in view of designing scenarios for setting up an EU level CAS on gender equality.

The **adoption of the Athena Swan Charter in multiple countries** showed the potentials in terms of replicability of this CAS, and some caveats as well. This process is sustained internally at the Equality Challenge Unit (ECU), a unit of Advance HE as an International Charters Department is in place. Regarding the Athena SWAN replication, what can be noted here is the fact that, while in the UK it has already gone through a process of expansion from STEMM disciplines to arts/humanities and social sciences, when adapting it to the US and Australian contexts, national promoting organizations have opted in for a specifically STEMM oriented approach. The gradual opening to embed an intersectional approach within Athena SWAN in UK (still acknowledged as one of the limitations of the programme in today’s debate) has been already part of its adaptations in Australia and US since the very beginning³⁷.

A relevant aspect which would require further investigation is related to the **IPR, branding and licensing models of Athena SWAN**: in Australia a licensing system is in place and SAGE as a program owned and managed jointly by the Australian Academy of Science and the Australian Academy of Technology and Engineering administers under licence the Athena SWAN accreditation framework, which is owned by the Equality Challenge Unit. This doesn’t appear to be the case in the US, although the Head of the ECU International Charters Departments is an ex-officio member of the Advisory Board at Sea Change.

This study, with the Australian case in particular, has also revealed interesting highlights and some critical aspects of Athena SWAN’s successful adaptation, and relatively quick uptake, in Australia: although overall successful, this has been a subject of a lively debate over the years among scholars and practitioners. Criticalities were highlighted especially in terms of customizing an existing model and the need to distinguish it from its UK origins; the CAS limited scope focusing too much on particular goals such as increasing the number of female students/researchers in STEM rather than on contrasting gender inequalities in academia more broadly; and an insufficient intersectional approach.

With regard to international/supranational management structures, EDGE Certified and UNDP Seal represent interesting models to be taken into consideration and further investigated: the former is built around a more centralized and privately run structure, the latter shows a more decentralized and multi-stakeholder structure with an active role of national governments.

- EDGE Certified is a private Foundation which owns its own standards and operates the CAS transnationally through a complex accreditation mechanism where independent Edge Certification Body Auditors and Scheme managers are accredited, trained and monitored by the Foundation in different countries. ISO standards are also part of such architecture.
- UNDP Gender Equality Seal, applied to public administrations and business, is presented as tailored and Nationally-owned Certification Programmes developed with governments, after

³⁶ Athena Swan has been adopted in Canada as well through the Dimensions Charter and Pilot programme, although this country was not included in our study. More can be found here: https://www.nserc-crsng.gc.ca/NSERC-CRSNG/EDI-EDI/Dimensions_Dimensions_eng.asp

³⁷ Please refer to the country sheets of Australia, United Kingdom and USA for a further discussion of the matter in the informative boxes (in light blue).



assessing each country's particular context, under coordination of a multilateral organization such as UNDP.

Finally, an international CAS extremely relevant in the context of the project, is the European Commission's **Human Resources Strategy for Researchers (HRS4R)**.

In fact, already in the D3.1 Policy Framing Report, the Human Resources Strategy for Researchers has been analysed together with the possible implications of designing a **CASPER scenario in which the HRS4R is reinforced with stronger gender-equality provisions**. While it is recommended to read the [D3.1 report](#), its discussion of the CAS is resumed in the following section.

The HRS4R ([link to CAS sheet](#)) is the only certification scheme which has been created, coordinated and managed by the European Commission (DG RTD), with the support of the EURAXESS network on research mobility for dissemination and outreach. It currently has 521 award holders (as of 30/06/2020), with the most being registered in Spain, United Kingdom, and Poland.

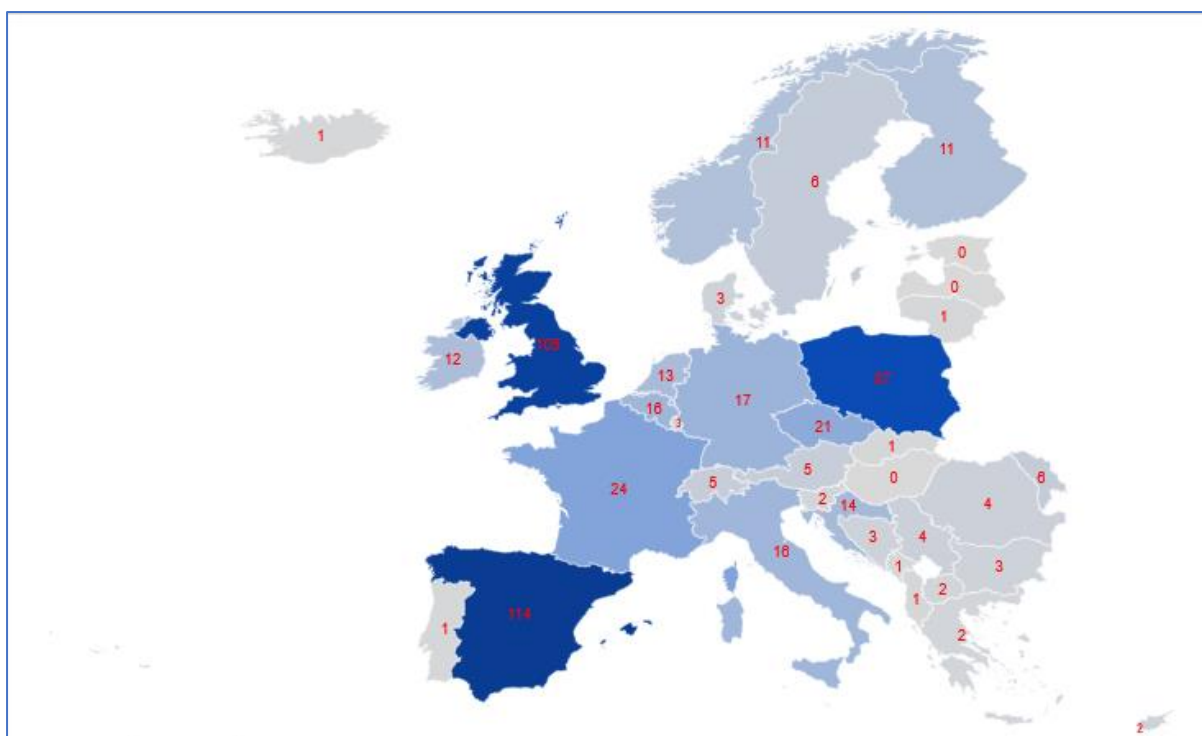


Figure 15 – Map of the HRS4R holders (Israel, 3 awards, not depicted) as of 30/06/2020

Institutions must first endorse the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, self-assess, and then propose an Action Plan to better adhere to the Charter and Code principles. There is a particular attention towards the recruitment process through the integration of a mandatory OTM-R (Open, Transparent and Merit-based Recruitment of Researchers) policy assessment. To maintain the Award, and the possibility to use its logo, the organisations must then demonstrate implementation of the Action Plan, which is assessed by external experts through a peer review process. The use of a peer review process is a unique selling point for a certification of this size, and it makes the HRS4R align more with national accreditation systems rather than with international CAS.

The Charter and Code have gender-related principles embedded, namely non-discrimination, adequate working conditions (with a focus on work-life balance), and gender balance; nonetheless, they are limited in scope.

The **H2020 GEARING-Roles project** consortium is currently exploring the extent to which HRS4R could be further improved as far as gender equality provisions are concerned, and have recently published their preliminary results as “OTM-R European Commission Guidelines Under The Gender Equality Lenses” ([GEARING-Roles, 2020](#)). The project will eventually make a recommendation to the European Commission regarding the integration of its results in the OTM-R toolkit, and it is considering applying such process to the whole HRS4R assessment system.

Also at the ERA policy level, current conversations are starting to seriously consider the revision of the Charter and Code from a gender perspective. As reported in D3.1, the ERA Standing Working Group on Human Resources and Mobility, the SWG on Gender in Research and Innovation, and the Working Group on Open Science and Innovation, have formed a triangle task force to consider a revision of Open Science and Open Innovation (OSOI) and gender equality principles in the Charter and Code.

In this context of potential revision of the HRS4R founding documents, an interesting scenario for a European level certification on gender equality and diversity may be that of being **embedded in the HRS4R process**: an option which the CASPER project should take into careful consideration and explore further within its subsequent stages (for example within the fieldwork of WP4, further questions around the operationalisation of this scheme and its sustainability model).

As the previous CASPER report has highlighted, an integration would make it possible to rely on an already established system, widely known and with a strong communication structure³⁸ – and the certification process could be managed directly by the European Commission. At the same time, it is necessary to consider the potential obstacles: all peer reviewers should undergo training on gender equality and diversity issues, for example – as emerged from the analysis of national CAS, peer review is rare in the context of gender equality CAS, where specific expertise is needed.

³⁸ While the HRS4R is managed directly by the European Commission, it is EURAXESS with its national offices which manage the promotion of the Strategy. While the use of national offices seems to be bringing to a diversified level of awareness and participation among States, it is also an established system which may be interesting to take into consideration.



2.2. Conclusions and lessons learned

The CASPER mapping study provided a comprehensive and stimulating picture of the State of the Art as far as the context of national policies in Research and HE are concerned and the extent to what gender equality is embedded into those. Also, a complete and updated overview of the existing range of CAS is outlined in this report.

The trends identified in D3.1 at the EU level of an increasing convergence between the Higher Education policies related to the Bologna Process and the ERA policies, and the integration of gender equality in both policy frameworks, are not reflected at national levels.

Indeed, only 45% of the countries (41% for the EU27) had **gender equality provisions in accreditation or quality assurance of research and Higher Education**: these were most commonly referred to achieving gender balance in external evaluation committees than to **gender equality requirements for obtaining accreditation**.

Overall, it was **relatively rare for countries to have a separate and specific law or policy on gender equality in Higher Education and Research** (24%; 30% for the EU 27). More often, the national approach to the issue is derived by the presence of gender equality provisions in the laws regulating Higher Education and Research quality (64%, EU 59%); the presence of provisions, or at least referencing to Higher Education and Research in Gender Equality policies and national plans (67%, EU 70%); or a combination of the two (54%, EU 51%). Interestingly, 55% of countries have different type of more or less binding provisions on Gender Equality Plans in Higher Education.

Indeed, having more than half of the EU countries with national policies in place on Gender Equality Plans in Higher Education and Research depicts a **favourable environment for setting up an EU Level CAS on Gender Equality** aiming at sustaining and further triggering institutional change and GEPs adoption in Europe.

The State of the Art depicts a favourable environment for setting up a CAS on Gender Equality aiming at sustaining and further triggering institutional change and GEPs adoption in Europe.

Still, the study has shown how uneven the landscape is in terms of policy development as far as gender mainstreaming in HE and Research policies is concerned. This highlights a **need for devising scenarios which are adaptable/customizable to a variety of more and less advanced country contexts**, with a quite clear-cut geographical cleavage showing how Central and Eastern European countries tend to lag behind to this respect, with perhaps the exception of the Czech Republic (see Table 2, pag.17). Moreover, a reactionary drift has emerged, with the denial of the existence of structural inequalities or “reduction” of gender equality provisions to supporting policies for families. This phenomenon has been detected both in Eastern/Central and Southern European countries and must be taken into account in the design of a whole European level CAS.

A closer look at the content of the existing policy measures on Gender in Higher Education and research confirms how, in order to resonate with most widely adopted measures and provision in the field, certification scheme scenarios proposed by the CASPER project would **need, as a first step, to focus on gender equality in employment/recruitment practices** in research.



Since a holistic approach to gender equality is not yet widespread, an EU level CAS could contribute to foster it: other areas appear to be less taken into consideration in national policies, such as a gender dimension in research content, contrasting sexual harassment and gender-based violence, gender mainstreaming and training more broadly.

The existing CAS offer mapped in this study has shown an increasing and continuous use of CAS for certifying gender equality in research since 2006: CAS targeting specifically HEIs/research and those targeting both HEIs and other type of organizations (companies and public administration included) represent approximately half of the overall pool of the 113 mapped CAS in the last decade.

An EU level CAS could contribute to fostering an holistic approach to gender equality, including areas which are rarely taken into consideration in national practices.

With only a few Member States with no CAS targeted at RPOs and HEIs, we found that an EU level CAS would operate in a landscape where **institutions are becoming more and more acquainted with national certification and**

awarding practices as far as (gender) equality and diversity and inclusion are concerned, and this can be seen as fertile environment for positioning an EU level CAS on gender equality.

We have found **a positive relationship between more comprehensive/varied policies on gender equality in HE and research and a high number of CAS focused on HE and Research in certain countries** (ES, AT, DE, IE, UK): if certification/standardization practices are usually seen as signs of maturity in a certain policy/practice field, it could also be argued that a supranational EU level CAS could trigger more advanced policies at the national levels.

In some countries, gender equality in research is subject to economic incentives to RPOs as GEPs or other gender equality measures are considered part of eligibility or evaluation criteria in competitive allocation of public funds to research. In such cases (IE, UK for example) the role of Research Funding Organizations is vital, and CAS can become important parts of such incentivizing mechanisms. These country cases are of high relevance for CASPER as **the European Commission seems to be pursuing a similar approach in its role of a funding body as far as Horizon Europe is concerned**, and that Gender Equality Plans are envisaged to be included as criteria within calls for proposals in the next Framework Programme.

Looking closer at the subgroup of HEIs and Research specific CAS, we found that in many cases these are promoted by public authorities, mostly national ministries, while the most widespread type of certifying/awarding entities from the private sectors are non for profit organisations and NGOs. Interestingly, public funding is often crucial in the CAS business models, with a minor role played by applicants' fees in ensuring economic sustainability of CAS.

Starting from a bottom up approach based on national/local use of the terminology to distinguish between Certification and Awards, we have found how they are most often distinguished by the assessment process they entice: certifications most often **assess the applicants more than once in the same certification period** and often combining different assessment methodologies, while Awards skew the overall CAS average towards a "single point in time" assessment. Research conducted for impact assessment of CAS in WP4 will probably highlight differences to this regard as well.



As the mapping indicated that **awarding/certifying institutions play a central role in conducting the assessment process, either directly or coordinating peer review**, we envisage that this will impact the development of the CASPER scenarios. A minority of CAS rely on **self-assessment** from the candidate institutions only, and yet it was found how self-assessment is given a major role in combination with other assessment methods by 43% of the mapped CAS targeting HEIs and Research. The process of conducting an **internal gender analysis** was often found to be considered a **first step to promote change**. On site audits by external experts are part of the process for one quarter of the mapped CAS. A variety of mixed quantitative and qualitative data collection and narrative statements is shaping the internal self-assessment practices.

Contrary to what we have found in D3.1 to be a recommendation for national Quality Assurance systems in HEIs practices in the framework of the Bologna Process, a prevailing feature of the existing offer is **the lack of transparent, internal quality assurance processes set in place for the majority of CAS**, even though most of them are run by public authorities or non for profit organization.

An EU level CAS aiming at developing a thorough internal quality assurance process could emphasise the accountability dimension of the awarding/certifying institution and be positioned as more in line with what has been recommended within the Bologna process recent policy developments.

While the mapped CAS often lacked transparent internal quality assurance processes, an European level CAS could emphasise the accountability dimension of the awarding institution, thus positioning itself in line with recent European policy developments.

An **intersectional approach** was found to be included only in a minority of CAS (around 20/22%). Diversity and inclusion approaches are rarely part of the principles upon which CAS for HEIs and Research are shaped. To this respect as well, current policy trends (expanding the role and importance of an intersectional approach to gender equality) are not reflected in the existing CAS offer but could become a distinguishing feature of an EU level CAS.

Beside the most frequent principles driving CAS architectures and processes, such as Excellence in research and Education and gender equality, an emerging principle was found to be sustainability, in particular by considering the **Sustainable Development Goals** (SDGs 5, 4, 8 and 10).

The CAS feature a variety of areas of assessment, primarily adequate training (often offered, in parallel, by the certifying institution itself), recruitment, sexual harassment, work-life balance and, less predictably, social impact. The latter emphasises a conception of gender equality where internal change goes together with promotion of equality externally to the involved RPO, in the broader societal context where it is located.

CAS' cross-national dimension is of importance for CASPER as the project has the objective of assessing the feasibility of an EU level CAS. The study covered both CAS such as Athena SWAN which has been replicated and adapted to different national contexts (in Ireland) or even continents (Athena SWAN in Australia or the pilot scheme SEA Change modelled after Athena Swan in the US), and CAS which are targeting beneficiaries from different countries.

The adoption of the Athena SWAN Charter in multiple countries showed the potentials in terms of replicability of this CAS, and different caveats as well. We have found how adaptations and customization are needed, often foreseeing both piloting phases and more narrow application to STEMM disciplines in the initial stages. Further to be investigated are matters related to **Intellectual**



Property Rights (IPR), branding and licensing models implied in replication of an existing CAS, as emerged in the Australian version of the Athena SWAN charter.

With regard to internationally/supra-nationally managed CAS, the mapping study has highlighted a variety of models: from simpler ones such as Minerva Awards aimed at symbolically acknowledging and honouring good practices without highly formalized processes, to more complex, highly formalized ones, including ones which even rely on accreditation processes and ISO standards (i.e. EDGE Certified). Such kind of CAS can be governed by private or public entities with more or less centralized organization (it seems to be the case for Catalyst, while EDGE's decentralization relies on accreditation of Scheme Managers and Auditors by the central, owning body) and with a more (or less) active role of national governments in the processes (such as in the case of UNDP Gender Equality Seal). All these aspects would benefit from further assessment in WP4 in order to further feed into the design of CASPER scenarios in the feasibility study.

The HRS4R covers the geographical areas where policies on gender equality in Research and Higher Education are less present, which could make it a viable entry point for a gender equality CAS.

Finally, the implications, and potential advantages and disadvantages, of designing a CASPER scenario in which the **HRS4R, as a CAS managed by the European Commission,** is reinforced with stronger gender-equality provisions were already considered in the [D3.1 report](#).

Here we presented, in addition, a map of the HRS4R uptake across EU which is vast and widespread.

Interestingly, **HRS4R covers those geographical areas where Gender Equality in Research and Higher Education policies are less present.** At the same time it seems to be successful in some of the countries such as UK where an important CAS such as the Athena SWAN is rooted and in countries like Spain and Germany where gender equality is well embedded in Research and Higher Education policies and successful national CAS (not only on Gender Equality but also on Diversity and Inclusion) are operating.

This seems to suggest that the **demand for a supranational CAS is not easily saturated by national CAS,** even when those are addressing only partially overlapping issues areas.

Yet, the needed **extra efforts from RPOs and HEIs for taking part to multiple crossing-over CAS** should be taken into account as a potentially hindering factor.



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3.1 country sheets and CAS sheets

This section of the report is dedicated to the reports of the research carried out by the national researchers. It is divided in 33 **country sheets**, plus an “international sheet” where the HRS4R, the UNDP Seal and two other CAS which did not relate to any specific country are collected and described. Each country sheet is in fact accompanied by the **CAS sheets** of the Certification and Award Schemes which were mapped by the respective researchers.

As anticipated in the methodology, the national researchers were provided with a strict and pre-established set of questions related to their country of reference, whose answers were used for internal analysis. In order to make the relevant information accessible to an external reader, their answers have subsequently been edited to fit a narrative structure.

Each country sheet follows this structure:

- National context for Quality Assurance and Accreditation
- Gender in research and higher education
- Link to bibliography
- Introduction to the CAS
- Informative box (only for the second stage countries)
- CAS sheets

For second stage countries, in red, an extra inbox has been included. In such inboxes, the researchers answer, in their own capacity as gender experts, short questions tailored to the content of the first stage research.

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AUSTRALIA

[Link to references](#)

National CAS:

- **Athena SWAN Bronze Institution Awards**
- **Employer of Choice of Gender Equality (EOCGE) Citation**
- **Pleiades Awards**
- **Reconciliation Action Plan**

Number of HRS4R awardees:

- N/A

National context for Quality Assurance and Accreditation

The national mechanism used to assess research quality is the [Excellence in Research for Australia \(ERA\)](#) administered by [the Australian Research Council \(ARC\)](#). Since its inception in 2010, ERA identifies and promotes excellence across the full spectrum of research activity in Australia's higher education institutions. Through ERA, the ARC identifies excellence in research, by comparing Australia's university research effort against international benchmarks, creating incentives to improve the quality of research and identifying emerging research areas and opportunities for further development. ERA assesses quality by comparing key indicators and expert reviews by research evaluation committees of output. Since the initial report, reviews have been conducted every three years (see ERA reports [2010](#), [2012](#), 2015 volumes [1](#) & [2](#), and [2018](#)).

The national mechanisms used to evaluate higher education quality and accreditation are: i) the [Higher Education Standards Framework 2015 \(HESF\)](#) and ii) the [Australian Qualifications Framework \(AQF\)](#).

The **HESF** is managed by the [Tertiary Education Quality and Standards Agency \(TEQSA\)](#). In 2017, the Commonwealth Government of Australia established the [Higher Education Standards Framework \(Threshold Standards\) 2015](#) under the Tertiary Education Quality and Standards Agency Act 2011. The HESF consists of two parts: Part A) Standards for Higher Education (which represent the minimum acceptable requirements for the provision of higher education in or from Australia); and Part B) Criteria for Higher Education Providers (which enable categorisation of different types of providers and help to determine whether a provider is responsible for self-accreditation of the courses it delivers).

The **AQF** is administered through the [Australian Government Department of Education, Skills and Employment](#). It is the common policy of the Commonwealth, State and Territory ministers, for regulated qualifications in the Australian education and training system. It was first introduced in 1995 to underpin the national system of qualifications in Australia, which consists of higher education, vocational education and training (VET), and schools. Its key objectives are to facilitate pathways to and through formal qualifications, to complement national regulatory and quality assurance arrangements for education and training, and to enable the alignment of the AQF with international qualifications frameworks.



The HESF considers issues of diversity in its higher education standards in the delivery of learning and teaching strategies as part of the minimum standards of catering to **under-represented or disadvantaged students**, which includes Aboriginal and Torres Strait Islander peoples.³⁹

Gender in research and higher education

Although there are no separate national policies on gender in higher education and/or scientific research and no explicit statements made about the relationship between gender equality and quality/excellence in research and/or in higher education, the Commonwealth Government of Australia is committed to addressing issues of gender inequality as part of its broader science education, participation and employment strategies. This commitment is made for women, girls, but also for Indigenous Australians and rural/regional residents. However, these groups are considered as separate categories rather than from an intersectional perspective.

Evidence of the government's commitment can be found in the National Science Statement (DISER, 2017) and the National Innovation and Science Agenda (DPMC, 2015).

- The [National Science Statement \(2017\)](#) provides an explicit framework to bring together 'Australia's science system' to increase synergies and collective strengths as well as guide the government's long-term investment and decision-making. In this document, the federal government states:

The government will show and promote leadership in actively addressing inequality in science education, participation and employment. Some groups, including women and girls, Indigenous Australians, and those in rural and regional areas, have lower participation rates in many areas of science. The government cannot address these issues alone. However, it will show leadership in providing Australians with the opportunity to engage in science, develop and use scientific knowledge and skills, and participate in the high-wage careers that depend on scientific knowledge and skills.

- The [National Innovation and Science Agenda](#) is the Australian government's innovation policy. It provides a framework for the government's investment in "smart ideas that create business growth, local jobs and global success" along four key pillars: culture and capital; collaboration; talent and skills; and government as an exemplar. In this document, the Australian government makes a specific commitment to "Expanding opportunities for women in STEM":
 - *We are investing over \$13 million to support the greater participation of girls and women in the research sector, STEM industries, startups and entrepreneurial firms; and*
 - *We will celebrate female STEM role models and build programmes and networks that support workplace gender equality – such as the*

³⁹ The minimum standards are outlined under point 2.2 of the HESF:

1. Institutional policies, practices and approaches to teaching and learning are designed to accommodate student diversity, including the under-representation and/or disadvantage experienced by identified groups, and create equivalent opportunities for academic success regardless of students' backgrounds.

2. Specific consideration is given to the recruitment, admission, participation and completion of Aboriginal and Torres Strait Islander peoples.

3. Participation, progress, and completion by identified student subgroups are monitored and the findings are used to inform admission policies and improvement of teaching, learning and support strategies for those subgroups.

Although under-represented students may include, in some instances, women, this is not made clear and gender equality is not explicitly referred to in these standards.



Science in Australia Gender Equity (SAGE) pilot – to realise our full potential as a nation through greater contribution from women.

Since 2015, the Australian government has allocated \$13 million towards increasing female participation in “the research sector, STEM industries, startups and entrepreneurial firms” (DPMC, 2015) through the provision of programmes and networks that help build and support workplace gender equality. More concretely, these measures and provisions to gender equality have resulted in the funding of SAGE, the organisation administering Athena SWAN Awards in Australia.

In its statement of **support and expectations for gender equality in research**, the ARC (2018b, p.4) made a commitment “to engage with stakeholders to identify the most effective support mechanisms to encourage participation by women in the research workforce”. According to the ARC, the main reason for low levels of female participation in science education, research and other professional practice is the “**different career-life balance decisions**” (2018b, p.4) women make compared with men. It is inferred that this is considered a problem because it presents missed opportunities for the Australian government to be competitive in research and innovation at an international level, as evidenced by the following quote: “Achieving gender balance in the research workforce is critical to ensure that outstanding researchers have the opportunity to contribute to Australia’s research and innovation goals” (ibid, p. 3). It is also important to note that these considerations in how to increase the participation of women in research and have a more flexible approach to assessing proposals are based on the notion of merit: “The ARC funds the best projects and research proposals submitted by eligible researchers, irrespective of gender, to support the highest quality” (ibid, p. 3).

The ARC’s strategy to increase representation is also reflected in its funding program. For example: “The ARC encourages all eligible organisations to work towards achieving the Workplace Gender Equality Agency (WGEA) Employer of Choice for Gender Equality citation or other best practice for gender equality programs” (ARC, 2018b, p. 5). Further, under the **Australian Laureate Fellowships scheme**, the ARC administers two fellowships that target outstanding women researchers of international standing: [The Kathleen Fitzpatrick Fellowship \(Humanities and Social Sciences\)](#) and [the Georgina Sweet Fellowship \(Science, Technology, Engineering and Mathematics\)](#). These were established to support excellent women researchers to progress their research and increase the representation, placement and equality of women in research careers. In addition to a focus on research projects, these fellowships were designed to support ambassadorial and mentoring roles promoting women in research.



Introduction to the CAS in Australia

Four⁴⁰ CASs were found to be of interest in Australia. Out of the four, two were nation-wide gender equality schemes: the Athena SWAN Bronze Institution Awards with a sole focus on higher education and research; and the Employer of Choice of Gender Equality Citation with focus on businesses in general. The other two are of interest, but not considered high or medium priority CASs for gender equity. These are the Reconciliation Action Plan, which only considers gender equality as a peripheral aspect of their program, and the Pleiades Awards, that focus on gender equity in research but on for a very small number of hybrid organisations.

The **Athena SWAN Bronze Institution Awards** recognises an institution's commitment to advancing the careers of women, trans and gender diverse individuals in STEMM disciplines in higher education and research. It has been piloted in Australia since 2015. An evaluation of its initial phase conducted in 2019, shows that the scheme has been successful in engaging with the great majority of Australian higher education and research institutions. In February 2020, the Athena SWAN Awards was expanded to include the Silver and Gold Awards and incrementally rolled out to all public and private higher education and research institutions, and to disciplines beyond STEMM. This international CAS, is highly replicable as evidenced by how it has been imported from the UK and successfully modified to suit the Australian context.

The **Employer of Choice of Gender Equality (EOCGE) Citation** builds on a compulsory reporting scheme legislated under the Australian Workplace Gender Equality Act 2012 to promote and improve gender equality in workplaces for both women and men. This voluntary scheme introduced in 2014, has attracted an increasing number of businesses. For example, 119 organisations in 2018 and 140 in 2019 had been awarded the citation, and 58 had been able to maintain their citation from its inception. This scheme is a good example of a sustainable model as it draws on a compulsory activity, including financial resources, staff and data. This CAS is the successor to the Employer of Choice for Women (EOCFW) administered by the precursor to the WGEA, the Equal Opportunity for Women in the Workplace Agency (EOWA).

The **Pleiades Awards** program is inspired by the UK Athena SWAN Award. This CAS was designed for 21 Australian and New Zealander organisations in the field of astronomy that are not eligible for the Athena SWAN and the EOCGE schemes because they span multiple individual institutions and have cultural and data specificities unsuited to the other CAS's criteria. It was created in 2014 by the Inclusion, Diversity and Equity (IDEA) Chapter of the Astronomical Society of Australia (ASA, formerly known as the Women in Astronomy Chapter) to encourage organisations to promote equity and inclusion of all people. In 2016, the program's aims were modified to encompass wider issues of diversity and all marginalised groups (e.g. groups of diverse ethnicities, gender identities, sexual

⁴⁰ A fifth potential CAS has been identified only after the end of the research period, leading to the exclusion of the latter from this overview. Nonetheless, it is interesting to report about it in this note: The [Australian LGBTQ Inclusion](#) celebrates Australian organisations that are leading in the area of LGBTQ inclusion. This award recognises the significant levels of impact leaders, individuals and networks have had on LGBTQ inclusion within their organisation. Awards are also based on organisations' ranking on the Australian Workplace Equality Index (AWEI) and Australian Health + Wellbeing Equality Index (HWEI).



orientations, religions and disabilities), which was then reflected in its selection criteria in 2018. This program seeks change through the adoption of practices that promote awareness of unconscious bias, encourage full participation of a diverse population of people at all levels of professional life, and highlight the importance of work-life balance.

Although of low priority CAS in this project, Reconciliation Australia's **Reconciliation Action Plan (RAP)** is included in the analytical template as the fourth CAS because it is relevant to the Australian social justice context and has been successful in enabling change, as well as critical engagement and commitment from non-Indigenous businesses and people to address the unequal treatment of Aboriginal and Torres Strait Islander peoples. Indeed, in 2018, more than 1,100 organisations had developed a RAP and over 2.7 million people worked or studied at a RAP organisation, a significant increase from 8 organisations in 2006, demonstrating an annual growth of 25% (RA Annual Review, 2018-19, p. 13). Also, with its focus on concrete actions to support and advance the national reconciliation movement, it provides an interesting framework and approach to certification that requires acknowledging economic, socio-historical and cultural factors. The RAP framework calls attention to the five dimensions of historical acceptance, race relations, equality and equity, and institutional integrity and unity to redress unequal levels of respect towards, relationships with, and opportunities for Aboriginal and Torres Strait Islander peoples. Another interesting aspect of this CAS is its four types of RAPs (Reflect, Innovate, Stretch, Elevate), which vary in duration of validity (1 to 3 years) and complexity in the level of actions taken towards organisational and local community reconciliation. However, this approach—although somewhat similar to the Athena SWAN process—is unlikely to be replicable at a European scale for socio-historical reasons, but also for sustainable reasons, because at an organisational level the development of RAPs requires deep engagement with stakeholders and at an operational level it requires a lengthy iterative review process where staff from the administering body support organisations to refine their vision, strategies, commitments, actions, deliverables and timelines.

What is the debate over the use of CAS in the Australian context?

In Australia, the generalist Employer of Choice for Gender Equality (EOCGE) Citation exists alongside two specialist CAS, the Athena SWAN Institutional Bronze Award program and the Pleiades Awards. Their successful co-existence rests on their specific focus on different categories of staff, professions and/or disciplines. In addition, the Athena SWAN and the EOCGE programs are often seen as complementary and participation in both is encouraged to better tackle gender equity (Maddison, 2015). Moreover, to have both is seen as a deep commitment to the cause of gender equity. Moreover, it is perceived as a badge of good practice and reputation for the institutions who hold these awards and citations.

Despite the overwhelmingly positive response, the use of CAS in Australia has also raised major concerns. Some of the schemes' limitations have been discussed in the form of open moderate critiques or veiled critiques presented as recommendations for improvement. The main critique here is that a scheme on its own is not enough to bring about change (Currie & Hill, 2013; Mitchell, Roussel, Walsh & Weeraratna, 2019; Nash, Nash and Moore, 2019). Although it has been suggested that this can be addressed by linking CAS to research funding (Pyke & White, 2018), that proposed solution is not supported by all (Nash, Grant, Lee, Martinez-Marrades and Winzenberg, 2020). Additional moderate critiques point to the fact that these CAS seem to only consider attracting women when there is also a need to improve practices and policies to retain them, especially in science, technology, engineering, mathematics and medicine (STEMM) (McKinon, 2016), as well as to tackle issues of sexual harassment (Nash, King & Bax, 2019).

Other critiques levelled at CAS suggest that these schemes tend to be superficial programs—window dressing—because they do not seek to address the deep systemic and cultural problems at the heart of gender inequality, in particular, and lack of inclusion, in general (Lipton, 2018; Maasoumi, Maynard-Casely, Maddison, Kaiser and Foley,



2019; Rundle, 2010). This argument is supported by studies that have found that being awarded a CAS does not guarantee best practice in gender and diversity equity and does not necessarily reflect the experiences of those most concerned by gender inequality (Currie, 2012; North-Samardzic & Gregson, 2011). Further, researchers have argued that even if these CAS aim to trigger social change, this cannot be achieved when the criteria and indicators used are not designed to support these aims. For example, North-Samardzic and Gregson (ibid) highlight the use of a masculine performance model based on neoliberal and male-oriented notions of merit within the schemes, which they see as part of the underlying reasons for gender inequality.

More detailed critiques and in-depth discussions of the limitations and constraints of the CAS are provided by research framed by critical and/or feminist approaches. In particular, this body of research raised issues about the aims as well as the processes involved. In relation to the processes, some authors have expressed concerns about the kind of data required in the application form; either because it may not be available in specific fields of study or institutions, with the potential effect of excluding organisations within those fields from participating in the schemes (Nash, King & Bax, 2019), or because of the significant amount of resources and effort required to gather relevant data (SAGE, 2018), which would favour the participation of larger publicly funded organisations. Hence, some researchers have warned future applicants not to undertake the process in isolation (Thomas, Thomas & Smith, 2018; Thomas, Thomas, Hinley, Smith & Wess, 2019). Also, other authors expressed concerns about the unintended consequences of the processes used and data required. One unintended consequence is that the process seemed to reinforce certain social norms, including the need for women to tackle both work and life in equal measures (Toffoletti & Starr, 2016). Another major unintended consequence pertains to the fact that the bulk of the burden of these schemes' application process tended to be shouldered by women (Australian Academy of Science, 2015; Nash, Grant et al., 2020; SAGE, 2018).

It is interesting to note that most of these concerns had been considered by the stakeholders of the Athena SWAN program in Australia. Indeed, despite an evaluation of the pilot program finding that there is wide support for the scheme and shows great promise in bringing about change in Australia, SAGE (ibid) acknowledges that much more still needs to be done to achieve gender equity in Australia. Some of the main challenges relate to the SATs processes as well as how to achieve gender parity and involve non-STEMM academics and postgraduate students in the teams. The evaluation of the pilot program also raised issues about how the program was administered. These included the need to distinguish the Australian organisation from its UK origin, but more importantly a critique of the choice to customise the UK model rather than adopt a purposeful developmental approach. In addition to that, some concerns were raised about the program's 'add-on' approach to addressing issues of diversity, intersectionality and Indigeneity—these elements were not part of the UK model—because it was seen by some as too simplistic and/or confusing. Further confusion was linked to what some stakeholders saw as a lack of focus, and, therefore, a recommendation to clarify the program' aim as address gender equity, diversity and/or inclusion issues, in STEMM only or at an organisation-wide level.

All the issue, challenges and concerns mentioned above show that gender equity is still a thorny problem in workplaces, in particular, and in Australian society, in general. Beyond taking stock of what has been achieved so far, further research needs to be carried out into the impact of these schemes on higher education and research institutions in Australia and their effectiveness in tackling gender inequality (O'Connor, 2018). It is also essential to continue to monitor and evaluate these CAS to ensure lasting change. Finally, what these critiques highlight is that tackling gender equity in isolation, one institution or organisation at a time, is not effective. Even though some level of change can occur incrementally, the persistent issues require more vigorous debate and comprehensive, cross-industry and cross-state interventions aimed at transforming the entrenched attitudes and structures that maintain privilege and reproduce inequality.

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Athena SWAN Bronze Institution 2015

Awards

Award

<https://www.sciencegenderequity.org.au/athena-swan-awards/>

International

Email: sage@science.org.au

Phone: +61 (0)2 6201 9468

Street address: Ian Potter House, 9 Gordon St, Acton ACT 2601

Postal address: GPO Box 783, Canberra ACT 2601

Awarding body:

Science in Australia Gender Equity (SAGE)

Target Audience:

Research and Higher Education Institutions

Overall description:

An Athena SWAN Bronze Institution Award recognises an institution's commitment to advancing the careers of women, trans and gender diverse individuals in STEM disciplines in higher education and research. Achieving a Bronze Institution Award requires an institution demonstrates a solid foundation for improving gender equity in STEM. SAGE is a program owned and managed jointly by the Australian Academy of Science (AAS) and the Australian Academy of Technology and Engineering (ATSE). The SAGE program focuses on piloting the Athena SWAN accreditation framework, which is owned by the Equality Challenge Unit (ECU), a unit of the Advance HE established in the UK. The ECU is the owner of the intellectual property rights of the Athena SWAN Charter, including the accreditation framework and "Athena SWAN" trademark. SAGE has licenced the Athena SWAN framework, guaranteeing that accreditation awards conferred under SAGE are branded as "Athena SWAN" awards.

Validity

4 years, with the option to renew

Eligibility and requirements:

Eligibility

Research institutes and agencies

Requirements

Applicants need to be a member of SAGE, agree to terms and conditions under a participation agreement, and pay an annual subscription fees.

Other data

"15 institutions were awarded in year 1 (2018), 13 year 2 (2019) and 11 year 3 (2020) [...]. Forty-five Australian higher education and research institutions have completed the SAGE pathway to accreditation, with the majority (39 organisations/86 per cent) being awarded the Athena SWAN Institutional Bronze Award." (ATSE Media Release, 2020)

Business model:

SAGE administers the Athena SWAN accreditation and awards process in Australia based on the UK Athena SWAN Charter (owned and operated by the ECU). SAGE also supports and engages with its members. SAGE was founded by Australia's leading sciences and technology academies: the AAS and the ATSE. SAGE is funded through membership fees and government funding, under the NISA. There are currently four staff, including Dr Wafa El-Adhami – Executive Director; Tamzen Armer – Accreditation, Training and Education Advisor; and Brendon Houlahan – Administration Officer. The number of staff is fit for purpose and therefore changes according to the aims and goals of the organisation.

Certification process, assessment, and support:

The application for accreditation process includes completing an application form and conducting a lengthy self-assessment process. Applications are reviewed by a panel of experienced and independent peers nominated and selected from Australia's higher education and research sector. Panels consist of seven experts (including a Chair). Each panel reviews up to five applications according to a given set of criteria and indicators under five domains. Experts have six weeks to review, score and comment on applications. Comments and scores are sent to SAGE at least three weeks before the panel meets. This information is then



consolidated by SAGE staff and used by the panel Chair to decide on the order of the review. Panels then meet to discuss each application and provide feedback. Observers are present during the panel sessions, but do not participate. Panels' discussion and feedback are included in the assessment reports. These are reviewed by moderators to ensure consistency. Applicants can appeal the decision.

Applicants have access to detailed guidelines, workshops, FAQs, online resources, webinars, and videos through SAGE's website.

Criteria and Indicators used:

The **10 principles** of the Athena SWAN Charter:

1. We acknowledge that academia cannot reach its full potential unless it can benefit from the talents of all.
2. We commit to advancing gender equality in academia, in particular addressing the loss of women across the career pipeline and the absence of women from senior academic, professional and support roles.
3. We commit to addressing unequal gender representation across academic disciplines and professional and support functions. In this we recognise disciplinary differences including the particularly high loss rate of women in science, technology, engineering, mathematics and medicine (STEMM).
4. We commit to tackling the gender pay gap.
5. We commit to removing the obstacles faced by women, in particular, at major points of career development and progression including the transition from PhD into a sustainable academic career.
6. We commit to addressing the negative consequences of using short-term contracts for the retention and progression of staff in academia, particularly women.
7. We commit to tackling the discriminatory treatment often experienced by transgender people.
8. We acknowledge that advancing gender equality demands commitment and action from all levels of the organisation and in particular active leadership from those in senior roles.
9. We commit to making and mainstreaming sustainable structural and cultural changes to advance gender equality, recognising that initiatives and actions that support individuals alone will not sufficiently advance equality.
10. All individuals have identities shaped by several different factors. We commit to considering the intersection of gender and other factors wherever possible.

The **five domains and associated guiding questions**:

1. Leadership and commitment (Is there commitment from senior staff? How is it communicated?)
2. Honesty and self-reflection (Are challenges and mistakes openly acknowledged and steps taken to address them?)
3. Communication and engagement (How well are the policies and plans communicated to staff? Are staff at every level involved in the development, implementation and evaluation of policies?)
4. Data analysis and discussion (What do the data show, and which actions are being taken to address the issues identified? How will the impact be measured?)
5. SMART actions: specific, measurable, achievable, relevant, and time-bound.

Gender, diversity, and excellence:

SAGE has adopted an intersectional approach to gender equity as evidenced by its 10th principle of the charter: "All individuals have identities shaped by several different factors. We commit to considering the intersection of gender and other factors wherever possible". SAGE define intersectionality as "a framework for thinking about how various forms of inequalities are interconnected for minority women and other under-represented groups" (SAGE, 2015, p. 15). Applicants are required to outline in their forms how intersectionality impacts on gender equity, how their institution will boost awareness of intersectionality within STEMM, and how they will create opportunities to raise the participation, recruitment, promotion, retention, recognition and leadership potential of under-represented groups within STEMM over time.

This CAS refers to one national framework, the National Innovation and Science Agenda ([NISA](#)), which sets Australia's focus on science, research and innovation as long-term drivers of economic prosperity, jobs and growth is mentioned, as it is one of the funding sources of the scheme.



Employer of Choice of Gender 2014

Equality (EOCGE) Citation

Award

<https://www.wgea.gov.au/leading-practice/employer-of-choice-for-gender-equality>

National

Email: wgea@wgea.gov.au
 Phone: +61 (0)2 9432 7000 or 1800 730 233 (local free number)
 Street address: Level 7, 309 Kent Street, Sydney NSW 2000

Awarding body:

Target Audience:

Workplace Gender Equality Agency (WGEA)

Both Business/Others and Research and Higher Education

Overall description:

The EOCGE Citation is strategically aligned with the Workplace Gender Equality Act 2012 to promote and improve gender equality for both women and men, while recognising the historically disadvantaged position of women in the workplace. The EOCGE citation is managed by the Workplace Gender Equality Agency's (WGEA). The citation draws on compulsory reporting data mandated under the Act, but is a voluntary recognition program, separate to WGEA's compliance reporting scheme. All employers with 100 and over staff can apply for the Citation.

Validity

2 Years with the option to renew.

Eligibility and requirements:

Eligibility

All organisations

Requirements

Applicants need to employ 100 and over staff

Other data

"In 2018, 119 organisations had been successful in their application for Workplace Gender Equality Agency Employer of Choice for Gender Equality status, and 58 organisations had consistently maintained their EOCGE status from 2013 to 2018" (Fitzsimmons et al., 2020, p.12).

"The number of citation holders increased yet again, up from 120 in 2017-18 to 141 in 2018-19." (WGEA Annual Report 2018-19, p. 7)

Business model:

The WGEA is an Australian Government statutory agency created by the Workplace Gender Equality Act 2012. It is funded by the government and receives funds for rendered services. The agency employs about 30 staff working towards promoting and improving gender equality in Australian workplaces, including through the provision of advice and assistance to employers and the assessment and measurement of workplace gender data. This work also includes managing the EOCGE Citation.

Certification process, assessment, and support:

Applicants need to have submitted their compliance report to WGEA as required under the Workplace Gender Equality Act 2012. The applicant process requires organisations address a series of questions under seven focus areas, as well as conduct a survey to determine how employees' lived experience reflects the organisation's commitment to gender equality, and that CEOs take part in a 15-20 minute telephone interview to confirm leadership's commitment—although this is conducted with CEOs new to the process, previously interviewed CEOs may be interviewed again based on random selection. WGEA staff assess applications against the six gender equality indicators (GEIs) of the compulsory report and seven focus areas/criteria. They also verify that employees have access to the completed application—excluding remuneration information. The Citation can be rescinded in case of events or changes compromising the integrity of the Citation. It is, however, up to organisations to report any of these changes to WGEA. A panel of three persons, convened



by WGEA, including WGEA's Director and at least one independent panel member, review the relevant information before deciding whether to maintain or rescind the Citation.

Criteria and Indicators used:**The six GEIs:**

"GEI 1: gender composition of the workforce

GEI 2: gender composition of governing bodies

GEI 3: equal remuneration between women and men

GEI 4: availability and utility of employment terms, conditions and practices relating to flexible working arrangements for employees and to working arrangements supporting employees with family or caring responsibilities

GEI 5: consultation with employees on issues concerning gender equality in the workplace

GEI 6: any other matters specified by the Minister in a legislative instrument: sex-based harassment and discrimination"

The seven focus areas/criteria:

1. Leadership, strategy and accountability

2. Developing a gender-balanced workforce

3. Gender pay equity

4. Support for caring

5. Mainstreaming flexible work

6. Preventing gender-based harassment and discrimination, sexual harassment and bullying

7. Driving change beyond your workplace."

Gender, diversity, and excellence:

This CAS's documentation shows a sole focus on women, with no special consideration for intersectional issues, such as those that might affect women living with disabilities, from different age groups or from diverse cultural backgrounds.



| | |
|---|---|
| Pleiades Awards | 2014 |
| Award | International |
| https://www.reconciliation.org.au/reconciliation-action-plans/ | Email: krzysztof.bolejko@utas.edu.au Phone: +61 (0)3 6226 2234 Postal address: Astronomical Society of Australia Prizes & Awards Coordinator Dr Krzysztof Bolejko School of Natural Sciences University of Tasmania Private Bag 37, Hobart TAS 7001 |
| Awarding body: | The Inclusion, Diversity and Equity (IDEA) Chapter of the Astronomical Society of Australia (ASA) |
| Target Audience: | Research and Higher Education |

Overall description:

Inspired by the UK Athena SWAN Award, the Pleiades Awards were created in 2014 by the Inclusion, Diversity and Equity (IDEA) Chapter of the Astronomical Society of Australia (ASA, formerly known as the Women in Astronomy Chapter). This CAS aims to encourage organisations to promote equity and inclusion of all people, and to actively support currently marginalised groups, including those of diverse ethnicities, gender identities, sexual orientations, religions, and disabilities. According to the IDEA Chapter, key components to achieving the goal of equity and inclusion within an organisation include adopting practices that promote awareness of unconscious bias, encourage full participation of a diverse population of people at all levels of professional life, and highlight the importance of work-life balance. Further, the Chapter believes that transparency and communication within organisations are key to achieving this goal. In 2016, ASA Chapter for Women in Astronomy (WiA) broadened its aims to encompass wider issues of diversity. In 2018, the criteria changed to reflect this expanded goal of equity and inclusion at all levels, and across all people in the astronomical community.

"The Bronze Pleiades is the entry-level award for organisations that are committed to the aims of the IDEA Chapter. Organisations must demonstrate that they have examined their conduct against the aims of the Chapter, developed a credible and measurable plan of action and demonstrated commitment to implement changes consistently across the organisation.

The Silver Pleiades recognises organisations with a sustained record of at least two years monitoring and improving the working environment. It also recognises leadership in promoting positive actions as examples of best practice to other organisations in the astronomy community. Prior attainment of a Bronze award is a prerequisite for this award.

The Gold Pleiades award recognises a truly outstanding sustained commitment to best practice in relation to the aims of the IDEA Chapter. Attaining a Gold Pleiades award is an exceptional accomplishment. Prior attainment of both Bronze and Silver awards is a prerequisite for this award."

Validity

2 years with the option to renew

Eligibility and requirements:**Eligibility**

In 2018, applicants needed to be one of 21 organisations (20 in Australia and 1 in New Zealand as listed on IDEA's Chapter website).

Requirements

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Other data

As of 2018, there were 14 award holders out of the 21 eligible organisations.

Business model:

The IDEA Chapter of the ASA administers the Pleiades Awards. The ASA was formed in 1966 as the organisation of professional astronomers in Australia. It was incorporated as a not-for-profit association in



1993. Many of the ASA's prizes, including the Pleiades Awards, are funded through its Foundation for the Advancement of Astronomy (FAA). The FAA is a charitable, tax-deductible entity created to support of prizes, scholarships, research and facilities. Moneys raised by FAA are complemented by members' fees and other donations.

Certification process, assessment, and support:

As with Athena SWAN, applicants to the Pleiades Awards a submit detailed questionnaire and supporting material about the organisation's philosophy, strategies and previous and expected outcomes of gender equity actions and strategies. Applications are then reviewed against a set of criteria and indicators by an independent panel of certification authority experts.

Criteria and Indicators used:

"Philosophy (for all levels)

P1. Examined the conduct of the organisation in relation to equity and inclusion, and identified several specific areas in which there are opportunities to improve.

P2. Devised ways to measure the impact (or lack thereof) of planned initiatives within the organisation. Ideally the implemented initiatives will be Specific, Measurable, Achievable, Relevant and Timebound and should be monitored over time.

Strategy (for all levels and some variations according to level as indicated)

S1. Established a committee to identify, implement and monitor positive changes in equity and inclusion within the organisation. Planned for committee members to undertake relevant diversity training as soon as possible within the next 2 years.

(For Silver and Gold only) S1.a. Maintained a committed team over the past 2 years (4 years for Gold) with a quorum meeting regularly (at least four times a year) to identify, monitor and implement positive changes, and ensured that a majority of committee members have undertaken relevant diversity training.

S2. Demonstrated a credible commitment to implement a range of initiatives during the coming 2 years that will promote equity and inclusion and demonstrate best practice.

S3. Ensured all staff are aware of the University's or institution's code of conduct as well as the process for reporting cases of misconduct.

S4. Provided safe avenues for staff to report issues or make suggestions without risk of repercussions, typically outside of formal reporting options provided through organisational Human Resources channels. All staff should be aware of how to make any report, what happens to that report once it is made and whether it is possible to make a report anonymously.

Outcomes (varies according to level as indicated)

O1. Announced a credible commitment from the head of the organisation to achieving equity and inclusion goals set out by the organisation.

(For Silver and Gold only) O1.a. Demonstrated effective commitment from the head of the organisation to achieving equity and inclusion goals set out by the organisation over the past 2 years.

(For Gold only) O1.a.G Demonstrated widespread 'buy-in' throughout the organisation, including universal uptake of appropriate training and vocal public leadership by senior managers over the past 4 years.

O2. Established the number of reported cases of misconduct, the number resolved and the average time to resolution over the past year. If the applying organisation is a new entity, plans for such reporting should be clearly outlined.

Where an organisation is restricted in what can be reported - or, with reference to criterion O2.b, what support can be provided to complainants - by institutional policy or legal considerations, these constraints should be explicitly stated, and, where appropriate, supported by additional documentation.

(For Silver and Gold only) O2.a. Published, where institutional and legal constraints permit, the number of reported cases of misconduct, the number resolved and the average time to resolution over the past 2 years (4 years for Gold) in a public document (e.g., an annual report). The location of the document should be specified in the application.

(For Silver and Gold only) O2.b. Demonstrated support for complainants in misconduct cases, including, where institutional and legal constraints permit, the freedom to publicly speak about such cases. Demonstrated unequivocal strong support of complainants when retaliation for a complaint has occurred.

O3. Publicised the commitment to work towards best practice by circulating specific plans to all staff and students within the organisation including sharing this application with all staff and students for their comment at least 2 weeks prior to submission.

(For Silver and Gold only) O3.a. Monitored the conduct of the organisation in relation to equity and inclusion over a sustained period of at least 2 years (4 years for Gold).



(For Silver and Gold only) O3.b. Demonstrated regular communication of goals and progress reports to all staff and students within the organisation.

(For Gold only) O3.b.G Demonstrated a regular public commitment to sharing best practice and achievements inside as well as outside the organisation, thereby encouraging others to implement positive change .

(For Silver and Gold only) O3.c. Demonstrated the implementation of a range of initiatives during the past 2 years including best practices and initiatives with high potential in promoting equity and inclusion. Also identified several specific areas in which there are still opportunities to improve, and made plans to address those over the coming 2 years.

(For Gold only) O3.c.G Demonstrated sustained best practice across a broad range of measures for at least the past 4 years, and implemented novel and/or high-profile initiatives that have a broad reach and have significantly progressed equity and inclusion in the organisation over the past 4 years.

(For Silver and Gold only) O3.d. Measured the impact (or lack thereof) of initiatives within the organisation over the past 2 years or more.

(For Gold only) O3.d.G Demonstrated the tangible positive impact of initiatives within the organisation over the past 2 years or more.

(For Silver and Gold only) O3.e. Performed an (anonymous) climate survey to identify equity and inclusion issues within the organisation and developed an action plan to address those issues. Consulted with, and actively sought feedback from, staff and students regarding those results and action plan.

(For Gold only) O3.e.G Executed the action plan to address issues uncovered by climate survey within 2 years of climate survey findings."



Reconciliation Action Plan (RAP) 2006

Plan of Action

<https://www.reconciliation.org.au/reconciliation-action-plans/>

National

Email: enquiries@reconciliation.org.au

Phone: +61 (0)2 6153 4400

Street address: Old Parliament House, King George Terrace, Parkes ACT 2600

Postal address: PO Box 4773, Kingston ACT 2604

Awarding body:

Reconciliation Australia

Target Audience:

Business/Others

Overall description:

Reconciliation Australia's RAP Framework provides organisations with a structured approach to support the national reconciliation movement and to advance the five dimensions of reconciliation between Indigenous and non-Indigenous Australians (historical acceptance; race relations; equality and equity; institutional integrity and unity) around 3 core domains (respect, relationships, and opportunities with Aboriginal and Torres Strait Islander peoples). A RAP is a strategic document that supports an organisation's business plan. It includes practical actions to drive an organisation's contribution to reconciliation both internally and in the communities in which it operates. There are four types of RAP, which correspond to different "levels" of awarding, that an organisation can develop: Reflect, Innovate, Stretch, and Elevate.

Validity

Between 1 and 3 years (depending on the level) with the option to renew

Eligibility and requirements:

Eligibility

All organisations

Requirements

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Other data

"Over 1,100 organisations of every type and size now make up the RAP community. [...] Beginning with eight trailblazing organisations in 2006, the RAP program has now seen annual growth of 25 per cent in each of the past five years. The 2018 RAP Impact Survey demonstrated that more than 2.7 million people work or study at a RAP organisation. This means nearly one in five working age Australians (18 per cent) are directly impacted by the RAP program." (RA Annual Review 2018-19, p. 13)

Business model:

Reconciliation Australia (RA) is the national body for reconciliation. It is an independent not-for-profit organisation that promotes and facilitates reconciliation by building relationships, respect and trust between the wider Australian community and Aboriginal and Torres Strait Islander peoples. RA's vision of reconciliation is based on five inter-related dimensions: race relations, equality and equity, institutional integrity, unity, and historical acceptance. RA is funded by the Australian Government through the National Indigenous Australians Agency (NIAA) as well as through significant funding from the BHP Foundation, and smaller income from corporate supporters, private donors and interest income. Staff include Karen Mundine (CEO), Tessa Keenan (General Manager - Narragunnawali: Reconciliation in Education), Andrew Meehan (General Manager - Policy, Research & Government Affairs), and Peter Morris (General Manager - Reconciliation Action Plan program).

Certification process, assessment, and support:

Applicants work with their employees and RA staff in developing RA's template action plan. The first RAP of an organisation is assessed against a series of key expectations. The stated vision, strategies, commitments, actions, deliverables, timelines, and who is responsible for the actions are closely scrutinised to determine whether they will help improve the conditions of Aboriginal and Torres Strait Islander peoples under the five dimensions and three core domains of reconciliation. RA staff provide feedback to applicants to improve their draft RAP. Once a RAP is deemed satisfactory, it is ratified by RA. Subsequent RAPs are assessed by RA staff



against previous finalised RAPs to ensure there is continued improvements in the actions and deliverables of the applying organisation.

Criteria and Indicators used:

"Five dimensions of reconciliation: historical acceptance; race relations; equality and equity; institutional integrity and unity.

Three core domains: respect, relationships, and opportunities with Aboriginal and Torres Strait Islander peoples.

Key expectations

For the Reflect RAP:

- § Establish an effective governance structure, including RAP Working Group
- § Determine your organisation's vision for reconciliation
- § Scope and reflect on how the organisation can contribute to reconciliation
- § Improve relationships with Aboriginal and Torres Strait Islander peoples and relevant stakeholders
- § Build understanding of who, how, why and when to seek guidance and consultation
- § Prepare business cases to senior leaders for future reconciliation initiatives
- § Not necessarily expected to make changes to policies or internal operations

For the Innovate RAP:

- § Develop mutually beneficial relationships with Aboriginal and Torres Strait Islander stakeholders
- § Develop and pilot strategies for reconciliation initiatives
- § Engage staff in reconciliation
- § Identify the best approach for the organisation through aspirational deliverable
- § Explore how the organisation can drive reconciliation through its business activities, services, programs, stakeholders and/or sphere of influence
- § Report to Reconciliation Australia by September each year, through the RAP Impact measurement questionnaire
- § Publically report on RAP progress to external stakeholders

For the Stretch RAP:

- § Set measurable targets and firm tangible commitments throughout the RAP
- § Implement strategies to ensure staff throughout the organisation is engaged in reconciliation
- § Continuous improvement of engagement, cultural learning, employment and procurement strategies
- § Engage external stakeholders in reconciliation
- § Consider initiatives to address the five dimensions of reconciliation
- § Report to Reconciliation Australia by September each year, through the RAP Impact Measurement Questionnaire
- § Publically report on RAP progress to external stakeholders

For the Elevate RAP:

Unique to each organisation and negotiated with RA.

Gender, diversity, and excellence:

Intersectionality is not explicitly mentioned in the RAP template. The focus is on Aboriginal and Torres Strait Islander peoples rather than on Women or disable people, for example, within those cultural backgrounds.

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AUSTRIA

[Link to references](#)

National CAS:

- **Audit Hochschule und Familie**
- **Diversitätsmanagementpreis Diversitas**
- **Meritus**
- **Zukunft Vielfalt**

Number of HRS4R awardees:

- **5 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

The **Act on Quality Assurance in Higher Education (HS-QSG)** is the legal basis for the external quality assurance of public universities, universities of applied sciences and private universities and distinguishes between two external quality assurance procedures: i) accreditation and ii) certification by audit, which have different objectives and therefore encompass different assessment areas. Regardless of the type of quality assurance procedure, the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG) provide the international reference framework for the Austrian higher education quality assurance system.

Accreditation procedures are used to determine whether a higher education institution or degree programme meets prescribed (minimum) standards and to award the (temporary) right to operate a higher education institution or conduct higher education degree programmes. In this context, **a distinction is made between institutional accreditation procedures and programme accreditation procedures**. If the findings are positive, these procedures lead to federal recognition of a higher education institution and/or degree programme. Accreditation procedures are required for private universities and their degree programmes, for the introduction of new degree programmes at universities of applied sciences and for the establishment of new universities of applied sciences.

An audit is a cyclical peer review process that assesses the performance of a university's institutional quality management system. This is designed to ensure that the quality management system supports the university's performance areas and makes an important contribution to the quality assurance and quality development of the institution. Consequently, certification by audit confirms the performance of the internal quality management system of a higher education institution. **Public universities and established universities of applied sciences must undergo audits** of this kind, carried out by external assessors.

The **"Agency for Quality Assurance and Accreditation Austria (AQ Austria)"** is a legally established cross-sector agency for quality assurance and accreditation. As an **independent body for external quality assurance** in the higher education sector, AQ Austria is responsible for conducting accreditation procedures and audits in Austria. In addition to AQ Austria, **other internationally recognised and independent agencies may also carry out audits**; most of these agencies are listed in the European Quality Assurance Register for Higher Education.

As cross-cutting issues, gender equality and diversity management are central pillars of the Federal Ministry of Education, Science and Research (BMBWF) and its management tools. The specific tasks are based on existing national and European agreements with a high degree of obligation due to legal requirements, such as performance agreements with universities. The unit **"Gender Equality and Diversity Management department"** fulfils these tasks. The core is the development of strategies and measures to achieve a diversity-oriented gender equality policy along the entire education chain as



well as the coordination of the implementation of gender equality processes (e.g. impact-oriented budgeting, performance agreement for universities, non-university research institutions, target and performance plan / resource plan for universities of teacher education).

Furthermore, the **Working Group for Equality Issues** within the Federal Ministry of Education, Science and Research is established in accordance with the Federal Equal Treatment Act (Bundes-Gleichbehandlungsgesetz, B-GlBG) and deals with all issues relating to equal treatment and the promotion of women within the ministry.

Gender in research and higher education

As previously stated, gender equality and diversity management are cross-cutting issues of the Austrian Federal Ministry of Education, Science and Research.

The main national policies on Gender in Higher Education and/or Scientific Research & Innovation are as follows:

- **Regulatory Impact Assessment and the Impact Dimension of Gender Equality including specific objectives of achieving gender equality.** This means that the actions of public administration are no longer exclusively based on the available resources (i.e. input), but rather that the desired outcomes and the outputs required of public administration in order to achieve these play a central role.

The Federal Ministry of Education, Science and Research has set up the following objective concerning gender equality: “A balanced gender ratio in management positions and committees as well as among young academics / artists”.

All **gender equality provisions relevant to universities** can be found in the University’s Act 2002 (UG 2002), which created the legal requirements for gender equality units and plans to promote women and gender equality.

The gender equality provisions of the **UG 2002** include

- the autonomous university’s obligation to adopt a plan to promote women and gender equality;
- legal instruments (working group for gender equality issues, arbitration committee)
- tools for promoting women to reduce structural inequalities
- organisational framework conditions for the continuation of proven mechanisms, such as the “coordination centres for women and gender research” or the “children’s offices” at universities.

The **problems** which are identified as most relevant as far as gender equality is concerned are the unequal representation of men and women in science and the poor consideration of gender dimensions in research, innovation, and teaching.

Regarding **concrete measures and provisions**, the [ministry follows the “fixing”-approach](#), that is also promoted by the European Commission and European research area (ERA Roadmap).

The Ministry promotes the “fixing the institution” – strengthening structural change processes within the institutions – as follows:

- Promotion of a reflective science culture in which gender equality is considered as a quality criterion for the further development of universities
- Development of gender expertise and competence among all members of the universities
- Gender mainstreaming in budgetary processes (e.g. reducing the gender pay gap)
- Supporting the compatibility of studies and / or work with childcare obligations for children and relatives in need of care

There is also an approach to **“fixing the knowledge”** – integration of the gender dimension in research content and teaching:



- Promotion of the establishment of gender research in scientific disciplines in the sense of an interdisciplinary approach
- Making research achievements in this area visible
- Anchoring gender research in the curricula and ensuring high-quality teaching in this area

Further effort is spent on the approach “**fixing the numbers**” – increasing the representation of the underrepresented sex

- Reduction of vertical (management positions, young academics and collegial bodies) and horizontal segregation (e.g. of women in technology and IT and integration of men into women-dominated areas "boys in care" - men in educational and training occupations)

A provision which includes reference to awarding and certification is the implementation of the “Diversitas” CAS, which is awarded to universities for their efforts in “fixing the institutions”. This CAS also has an intersectional approach (see Diversitas CAS sheet).

National practices create a **link between funding and gender equality**.

- Equal treatment of women and men in research is a **top priority at the Austrian Science Fund (FWF)**, and the organisation pursues this objective through **specific programs and implementing gender mainstreaming** in all fields. In its 2019-2021 program, the Austrian Science Fund (FWF) has embedded the goals concerning gender equality and gender mainstreaming of the ERA Roadmap (European Research Area) in its mechanisms. The aim is to involve researchers in a gender balanced manner with sustainable structural measures, to support structural changes in terms of gender equality at the national research institutions and to integrate gender dimension into research.
- Back in 2010, the **Austrian Research Promotion Agency (FFG) implemented three gender criteria in the evaluation scheme of its programs**. These are criteria that reflect the gender-specific balance and equal opportunities for women and men: Gender dimension in the research content and positive impact towards gender equality; gender balance in the project team; gender-balanced working conditions in the organisation. Furthermore, Austrian Research Promotion Agency (FFG) **promotes the programme “FEMtech Research Projects”** that initiates and supports projects in research, technology and innovation that deal with the different needs and requirements of men and women. By considering the relevance of gender dimensions within the project, innovations are supported, and new market potential is generated. Scientists should be more aware of the gender issue when developing and carrying out research projects, to improve the quality and capability of solutions, products and technologies to meet the needs of all customers.



Introduction to the CAS in Austria

Overall, five relevant CAS could be mapped in Austria.

The non-profit but state-owned organisation “Familie & Beruf Management GmbH” offers the audit process “universityandfamily” which is specifically designed to assist universities in creating a family-friendly environment for students and staff alike.

“Diversitas”, an outstanding award by the Federal Ministry for Education, Science and Research, is intended to promote the sensitisation and sharpening of social and organisational awareness of gender- and diversity-oriented gender equality policy and organisational development at Austrian universities and research institutions.

The “Meritus” has been awarded every two years to companies and other organisations (also universities) that are particularly committed to diversity management in the dimension of sexual orientation.

The “Sustainability Award for outstanding sustainable projects at universities” is a joint initiative of the Federal Ministry of Climate Action, Environment, Energy, Mobility, Innovation and Technology and the Federal Ministry of Education, Science and Research as a means of promoting and increasing awareness for sustainability processes by a whole-institutional approach within Austrian universities. It also considers gender equality as an important aspect of sustainability.

“ZukunftVIELFALT”/Future Diversity offers a standardized certification procedure by a private certification institution, that helps to increase the quality of diversity management in a company/organization. Fields of action are communication, corporate and leadership culture, human resources management and qualification.

Within the five mapped CAs, the “universityandfamily” certificate and “Diversitas” award seem to be well proven to promote internal structural changes, identify weak points and promote the compatibility of university, research and family.

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Civil society: does civil society, and particularly feminist civil society, consider “gender in research” policies inadequate or not relevant? If yes, how?

In context to the consideration of the topic of “gender in research” in civil and feminist society, the focus in Austria is less on scientific publication activity in reviewed journals or books. Feminist academics, scholars and networks are endeavouring to advance a civil society commitment. On one hand, they foster the topic in their individual professional activities (universities, private companies, consultations etc.), on the other hand they are engaged in public relations activities. With the help of thematic petitions, protests (for example at the inauguration of a middle-right political government in 2017 or currently – in time of the COVID-19 pandemic – when legally bundled measures promote gender inequality), rallies, press conferences on current topics, lectures e.g. at universities or companies, participation in research projects, political statements and criticism (e.g. on gender issues in the government program, public budgets, laws and other regulations), scholars actively contribute to promote the topic and bring it into the broad public, social and scientific discourse. These feminist movements in the political and civil society are essential that in research and publication activities gender equality becomes more and more important. The “Österreichischer Frauenring” as an umbrella organisation of around 50 feminist associations, networks and women’s lobby groups is important to mention in that respect.



| | |
|---|---|
| Audit Hochschule und Familie | 2006 |
| Certification https://www.familieundberuf.at/audits/audit-hochschuleundfamilie | National Jan Ledochowski jan.ledochowski@familieundberuf.at |
| Awarding body: | Familie & Beruf Management GmbH (State-owned) |
| Target Audience: | Research and Higher Education Institutions |

Overall description:

In the scientific field, it is a challenge to optimally combine professional requirements and family needs. Universities therefore play a key role as employers as well as educational institutions in offering their employees and students a family-friendly working and learning environment. The compatibility of family and teaching, career or studies increases motivation and willingness to perform and ultimately the overall success of the institution. In the audit process, existing measures are evaluated and ways for new possibilities and strategies are identified. Individual measures strengthen the positioning as an attractive employer and make it easier to recruit and retain highly qualified employees.

Validity

No time limit, hence, no possibility to renew.

Eligibility and requirements:**Eligibility**

public and private colleges (incl. pedagogic colleges) and universities within Austria and 20 or more employees, employers must be in an employment relationship with the university/college

Requirements

application for funding must be completely filled out and legally validly signed, additional documents like an agreement on the conduct of the audit, evidence of legal basis, data concerning last annual accounts (incl. information on the employees of the entire university/college and those in the audit)

Business model:

The main source of funding comes from the certifying institution itself, with the financial support of the Ministry.

Certification process, assessment, and support:

The course of the audit process at the university is precisely defined and guarantees tailor-made results for the applying university that are oriented towards the needs of employees and students: 1) Strategy workshop to define the objectives and fields of action of the process, 2) formation of a representative project group, 3) definition of concrete measures, 4) final agreement with the university management to implement the measures over a period of three years 5) assessment by an external certification body. After receiving the certificate, the university is integrated into the audit network. The annual reporting shows the current implementation status and is the basis for the cost-benefit analysis of the university.

The data sources reviewed are internal policies, data concerning last annual report, site visit by certified auditor.

Criteria and Indicators used:

13 fields of action within 5 clusters: 1) studies and science: organisation of studies, science and teaching, 2) framework condition: place of work, work organisation, 3) personnel development: leadership & qualification, time out management, health and employability, 4) benefits and services: services for families, childcare, care, financial commitment, 5) communication and culture: information and communication policy.

Gender, diversity, and excellence:

In the submission text diverse national policies are mentioned (like Federal Equal Treatment Act (Bundes-Gleichbehandlungsgesetz), Federal Disability Equality Act (Bundes-Behindertengleichstellungsgesetz), ban on discrimination (Diskriminierungsverbot), Disability Employment Act (Behinderteneinstellungsgesetz)) and must be acknowledged by signing the document.



| | |
|---|--|
| Diversitätsmanagementpreis | 2016 |
| Diversitas | |
| Award https://www.bmbwf.gv.at/diversitas | National Dr Roberta Schaller-Steidl 66ctivit.schaller-steidl@bmbwf.gv.at |
| Awarding body: | Federal Ministry for Education, Science and Research |
| Target Audience: | Research and Higher Education Institutions |

Overall description:

The award "Diversitas" is intended to promote the sensitisation and sharpening of social and organisational awareness of gender- and diversity-oriented gender equality policy and organisational development at Austrian universities and research institutions. It is intended to raise awareness and raise social awareness of a diversity-oriented and non-discriminatory culture in organisational structures. Activities for the implementation of diversity management that have already been set up and specifically developed will thus be brought before the curtain.

There are five main-awards, two recognition awards.

Validity

No time limit, hence, no possibility to renew.

Eligibility and requirements:**Eligibility**

public and private colleges (incl. pedagogic colleges) and universities in Austria, Institute of Science and Technology Austria, Österreichische Akademie der Wissenschaft, Ludwig Boltzmann-Gesellschaft

Requirements

application for funding must be completely filled out and legally validly signed

Business model:

The main source of funding is the governmental institution sponsorship. The award is organised by the ministry and the winner receives a one-time financial support by the Ministry (five main prizes at € 25,000 each and two recognition prizes at € 12,500 each = total sum of € 150,000).

Certification process, assessment, and support:

The submissions are presented to a jury. The jury consists of experts from Austria and abroad and is appointed by the Federal Minister of Education, Science and Research. The jury then evaluates the submissions according to three thematic areas and 10 assessment criteria. The jury submits its proposal for the awarding of the prize to the Federal Minister for decision. The winners is then informed. The Federal Minister of Education, Science and Research hands over the award in a formal ceremony.

The assessment methodology is a review by third party experts (without audit on site). The data are collected through a questionnaire (form) with open questions along-side the criteria filled out by applicants.

Criteria and Indicators used:

Thematic areas:

- anchoring in the performance and target system of the university and research institution
- strategy and structural anchoring
- development of an organisational culture that is appropriate to diversity

Assessment criteria:

- potential orientation
- intersectionality
- internal cooperation/networking and promotion of participation
- external cooperation and networking
- innovation and creativity
- further development of gender and diversity competence
- impact assessment and quality assurance
- "third mission": assuming social responsibility
- model character and transfer potential
- solution orientation and dealing with challenges



Gender, diversity, and excellence:

In assessment criteria number 2 “intersectionality” an **intersectional approach** is defined;

Explicit reference to national frameworks in assessment criteria 8: description of effects of submitted activity(ies) in terms of the social mission or social commitment of the organisation, like: National Strategy on the Social Dimension in Higher Education;

Link between quality and **excellence and gender equality**: in thematic area 1 – orientation on the impact goal of “opportunities and gender equality”, in thematic area 3 – strengthening of technical and personal gender and diversity competences, in assessment criteria 2 – consideration of diversity in the acquisition of students through innovative application and admission procedures, promotion of didactics appropriate to diversity, professional handling of conflict issues, in assessment criteria 6 – building and developing gender and diversity competence in learning outcomes

Meritus**Award**

<https://pridebiz.at/meritus/>

Awarding body:**Target Audience:****2009****National**

Astrid Weiwurm-Wilhelm and Feri Thierry

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Association for the promotion of the inclusion of sexual diversity in business and employment (Verband zur Förderung der Inklusion von sexueller Diversität in Wirtschaft und Arbeitswelt)
Both Business/Others and Research and Higher Education

Overall description:

Since 2009, the “Meritus” has been awarded every two years to companies and other organisations (also universities) that are particularly committed to diversity management in the dimension of sexual orientation. To date, Meritus has made a decisive contribution to the significant improvement in the situation of LGBTI (collective term for: Lesbian, Gay, Bisexual, Transsexual, Intersex) people in the business and working world in Austria. The supporting organisations from business and the public sector prove how relevant the dimension of sexual orientation has become in diversity management. There are 3 categories for private companies, 1 category for public bodies and authorities, in addition: PRIDE BIZ Sonderpreis.

Validity

No time limit, hence, no possibility to renew.

Eligibility and requirements:**Eligibility**

micro companies (up to 10 employees), small/medium-sized companies (11 to 250 employees), large companies (more than 250 employees), public sector bodies

Requirements

completely filled out catalogue of criteria (at the same time a checklist for diversity management for companies and organisations) and timely submission (e.g. for announcement and honouring of the winners on the 7th of November 2019: 3rd of July to 15th of September)

Business model:

The business model is not clear.

The winners are awarded within a ceremony and obtain publicity.

Certification process, assessment, and support:

The submission texts (catalogue of criteria) are presented to a jury, which, with the help of these texts that are as precise as possible, obtains a detailed picture of how LGBTI diversity is integrated and lived in everyday working life in the applying companies. After submission, a jury reviews and evaluates the applications, which ends with a final jury meeting. The data are collected through a questionnaire (form) with open questions along-side the abovementioned criteria filled out by applicants.

Criteria and Indicators used:

These are specified in a catalogue of criteria. The thematic fields are mission statement and implementation, organisation, dealing with discrimination, company side and voluntary social benefits, communication, human resource management, suppliers and cooperation partners, target groups, additional question for public bodies, supporting materials. These thematic areas are scored.

Gender, diversity, and excellence:

National frameworks are explicitly referred to within the catalogue of criteria: it is asked to what extent the strategy/mission statement reflects social changes in dealing with the issue of sexual orientation. The possible answers are: 1) We explicitly orient on the legal requirements with regard to no discrimination, 2) We consciously go beyond the legal standards.

Sustainability Award für herausragende nachhaltige Projekt an Hochschulen

2008

Award

[Website](#)

National

Dr Anna Streissler

anna.streissler@umweltbildung.at

Awarding body:

FORUM Umweltbildung (NGO)
Federal Ministry of Climate Action, Environment,
Energy, Mobility, Innovation and Technology
and the Federal Ministry of Education, Science and
Research

Target Audience:

Research and Higher Education

Overall description:

The Austrian Sustainability Award is a joint initiative of the Federal Ministry of Climate Action, Environment, Energy, Mobility, Innovation and Technology and the Federal Ministry of Education, Science and Research and was established in 2008 as a means of promoting and increasing awareness for sustainability processes within Austrian universities. The Austrian Sustainability Award exhibits a whole-institutional approach. Thus, it is addressed to a large target group consisting of students, teachers, staff, administration and regional stakeholders. University-wide sustainability is understood as a process of participatory and reflective learning characterized by several alternative routes. It does not target individual or one-time projects, but instead recognizes long-term processes and improvements that mirror the internal learning and formation processes of the institution as a whole, concerning eight different aspects of university organisation and activities. In each of the eight categories (see: criteria) one project receives an Austrian Sustainability Award and there are second and third places as well.

Validity

No time limit.

Eligibility and requirements:

Eligibility

Austrian public and private universities and colleges (incl. pedagogic colleges)

Requirements

completely filled out submission/application

Business model:



The business model is not clear.
The winners are awarded within a ceremony and obtain publicity.

Certification process, assessment, and support:

A submission form is required for participation, as well as a timely submission. Following the competition submission, a jury of prominent and interdisciplinary representatives from universities and society (in the fields of science, research, culture, media) will decide which projects will win. One Sustainability Award will be presented every two years for each field of action.

Criteria and Indicators used:

There are 8 fields of actions: 1) curriculum and instruction, 2.) research,, 3) structural implementation, 4) student initiatives, 5) administration and management, 6) communication and decision-making, 7) regional cooperation, 8) international cooperation. For each of these categories, a series of guiding questions was developed to help applicants locate their initiatives. Participation, learning processes and innovation are supposed to be at the very heart of each project. The award for “sustainable university” aims at participative and reflective learning and design processes. The award is given for the continuous improvement of sustainability performance or the successful initiation, development and documentation of a participative improvement and design process. The Sustainability Award is therefore not aimed at one-off projects, but at long-term university processes or improvements that reflect an internal learning and design process at the university, university of applied sciences or teacher training college.

Gender, diversity, and excellence:

Sustainability is seen as not only focusing on the environment and the economy but also “taking account of socio-cultural aspects like gender equality, the fight against poverty, peacebuilding, and integration”.

Audit ZukunftVIELFALT

Unavailable

(auditprocess Future Diversity)

Certification

<https://www.zukunftvielfalt.at/>

National

office@zukunftvielfalt.at

Awarding body:

ZukunftVIELFALT® is framed by three private firms: Arbeitswelten Consulting e.U., Mtraining – Mathias Cimzar e.U., Caliskan Crossing Cultures

Target Audience:

Both Business/Others and Research and Higher Education

Overall description:

ZukunftVIELFALT offers a standardized certification procedure that helps to increase the quality of diversity management in a company/organisation. A catalogue of criteria is applied, which contains sample measures as well as defining fields of action in the areas of communication, corporate and leadership culture, human resources management and qualification. The conception in several steps enables a continuous improvement process. The process can be repeated every three years and the associated certification, which promotes continuous development.”

Validity

if the basic certificate is not elected for a three-year extension (with a re-audit process), it expires after one year

Eligibility and requirements:

Eligibility

private companies, non-profit-organisations, public institutions – independent to number of employees or sector

Requirements

Fulfil the following requirements: 1) Feasibility – organisational structure allows continuous improvement process, 2) Commitment of the top management to a positive attitude towards diversity management, no cases of discrimination, implementation of ongoing awareness-raising measures and freeing up resources (personnel, time, financial), 3) Appointment of a diversity officer, 4) Establishment of a diversity project team during the audit process and on recommendation also after the certification.

Business model:



Not available.

Certification process, assessment, and support:

First, a face-to-face meeting with the consultant takes place to discuss the basic framework, the motives for participation and the prerequisites. If necessary, it can be useful to open up persons involved in the process to the topic in a sensitization training or to close knowledge gaps. Following, a diversity training takes place and the requirements are assessed.

Criteria and Indicators used:

The catalogue of criteria includes minimum requirements and suggested measures in the fields of action: communication & information, organisation- & management culture, human resource management, qualification; and minimum standards and specific measures in the dimension: age, people with disabilities, gender, sexual orientation, ethic affiliation and colour, religion and philosophy of life.

Gender, diversity, and excellence:

Part of the requirements is that the top management of the organisation is obliged to respect and comply with applicable law and recognised international standards of conduct, in particular anti-discrimination regulations and equal treatment laws. The dimensions include age, disabilities, gender, sexual orientation, ethic affiliation, skin colour, religion, and philosophy of life, though it is not clear if they are considered separately or in an intersectional way.

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BELGIUM

[Link to references](#)

| | |
|----------------------------------|---|
| National CAS: | <ul style="list-style-type: none"> • Label Diversité • Charter Gender in Academia |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 16 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

In Belgium there are **no national** mechanisms for the evaluation of research quality⁴¹.

There are no federal mechanisms for evaluation of higher education quality and accreditation. In Belgium the **communities** are responsible for education and the two main communities (French-speaking and Dutch-speaking) have two different systems, both with internal and external quality assurance systems.

At federal level, the Belgian Science Policy Office (BELSPO) is in charge of research and of reporting for internal institutions (e.g. ERA reports).

Flemish- and French-speaking universities integrate teaching and research. Researches assigned to the universities and, except for a few specialised institutions, there are no major public research institutes outside the universities. Independent centres for industrial and technological research have been created by universities in order to promote scientific collaboration with the business sector.

In both **Flanders and Wallonia**, higher education institutions and programmes are recognised by law (*decreet/décret*). This means that the institutions and their disciplines are listed in the higher education laws. Only institutions in that list can call themselves ‘universities’ and no other institutions can award officially recognised degrees or diplomas. While there arguably is a sort of ex-ante licensing, it is important to note that the person responsible for a course enjoys academic freedom in the exercise of his or her task. This includes the choice of teaching methods, scientific and technical content, assessment, and the various activities undertaken to meet the specific objectives subject to compliance with certain requirements set out in decrees.

External quality assurance is provided, in the **French-speaking** part of the country, by the Agency for the Quality Evaluation of Higher Education (AEQES) a body evaluated by ENQA. This independent body is responsible for the planning and following-up of external quality evaluation procedures. It provides periodical evaluation of both curricula and institutions. A quick review of some reports reveals no mention of gender equality as a quality criterion in these evaluation..

In Flanders, the quality of higher education is monitored by NVAO, which is an accreditation organisation of the Netherlands and Flanders. The principle of the Flemish quality assurance system is that of accountability: universities and university colleges are themselves responsible for ensuring the quality of their programmes. However, a new programme must first be recognised and, after a few years, attain its first programme accreditation. An **initial accreditation** for (new) programmes based on an assessment of the potential quality of programmes is delivered based on eight quality features and assessed by a panel of independent experts. All institutions in Flanders that are recognised as university colleges or universities are periodically subject to an institutional review. The review assesses the educational policy in place and the manner in which the institution itself ensures

⁴¹ Research institutions may participate in international schemes of institutional evaluation, for example EUA or EQUIS for business schools. See list at (<https://efmdglobal.org/accreditations/business-schools/equis/equis-accredited-schools/>). These activities are however voluntary and outside the public – controlled or recognised schemes.



the quality of its programmes. The assessment procedure is coordinated by an external quality assessment agency which is either registered with EQAR or has signed an agreement with NVAO that guarantees that the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG, 2015) are satisfied.

Quality mechanisms in Flanders and Wallonia **do not mention or integrate gender and diversity** principles.

Within the federal research framework programme Brain.be (Belgian Research Action through Interdisciplinary Networks), since 2012, gender has been integrated into the evaluation criteria of “potential impact of the project” and “quality of the network”⁴². However, looking at information available on the website, the gender dimension is not promoted (cf. presentation of the programme) and does not seem to be monitored (reporting format). This programme has been replaced by the current programme Brain.be 2.0, in which the projects should explain how the gender dimension, if relevant, is taken into account in the research topics. In terms of evaluation criteria, the gender dimension is now only mentioned under “Potential impact of the project on science, society in general and on decision-making” and framed as “Integration of relevant societal themes such as sustainability, the gender aspect, etc.”. (https://www.belspo.be/belspo/brain2-be/call_closed_fr.stm#call2019) Finally, there is an obligation to consider the gender dimension in the postdoctoral fellowships granted to researchers from outside the EU (2013).⁴³

Gender in research and higher education

At federal level and in all entities except for Flanders, there is legislation concerning the implementation of gender mainstreaming. In relation to human resources, all entities have adopted legislation promoting gender equality and/or diversity.

A number of **legislations imposing a quota** for the underrepresented sex (33% quota) have been adopted for a broad range of sectors and institutions. These gender quotas laws have been initially adopted by the federal government, for example, list of candidates for political office, members of advisory committees or of boards of state-owned listed companies, but are also now adopted by federate entities (communities and regions) in their fields of competence. All regions and communities adopted a gender quota for advisory committees (except for the German Community). These apply to public bodies but not to private institutions. However, such rules are quite common in Universities (e.g. in selection committees). In the academia, the Flemish Government adopted in 2012 a 33% quota for all major decision-making bodies of the Universities of Antwerp, Ghent and Hasselt and for the selection committees of the Flemish Research Council (FWO)⁴⁴.

In the French community, an **interuniversity committee** dedicated to the promotion of gender equity in research has been established by the decree of 10 March 2016. It is called the Committee for Women in Science (*Comité Femmes & Sciences*). ARES ensures its secretarial functions. The CF&S multi-year work programme (2016-2018) was broken down into axes and actions. This programme was implemented through working groups corresponding to the five axes of the programme:

1. Criteria for regulating research and careers
2. Reconciliation of private and professional lives
3. Professional situation of researchers
4. Gender and education and training policies

⁴² Belgian Era-Roadmap, April 2016.

⁴³ Since 2015, the application form contains the following remark: "Please note that this question is related to research content only, and not to equal chances or human resources management".

⁴⁴ Universities where it could intervene. See, Meier Petra, 2015, *Gender Quotas in Belgium: a never ending story of gendering compartmentalized citizenship?*, EUI Working Paper LAW 2015/25, European University Institute, available at <https://cadmus.eui.eu/handle/1814/35975>.



5. Recognition of women in research and research on gender
Also a Gender Contact Point has been appointed in each university.

The Flemish universities have also established an **interuniversity working group**, i.e. the High Level Gender Task Force of the Flemish Interuniversity Council (VLIR).

On 26 June 2019, the rectors of the five Flemish universities signed a **Gender in Academia charter**, <https://vlir.be/publicaties/gender-in-academia/>. The charter was drawn up in collaboration with the Young Academy. The charter contains five fields of action:

- training on gender diversity, career hurdles and unconscious prejudices;
- promotion and recruitment procedures;
- gender balance in councils and committees;
- offering a workable work culture for everyone, including by better harmonising the combination of work within an academic setting and care and private commitments;
- systematically monitoring the evolution of the gender balance.

It is fair to also mention the support from the federal Royal Belgian Institute of Natural Sciences⁴⁵ (RBINS) for the non-profit organisation **BeWiSe (Belgian Women in Science)**. *“BeWiSe is an association whose goals are to support women in the scientific community and to improve the communication between Belgian and European female researchers. One of the activities of BeWiSe is a “mentoring” programme for women scientists doing graduate work or starting their postdoc, with the goal of intensifying contact with experienced scientists (male or female) and of encouraging women scientists to pursue a career in science. Since 2010, this programme has already created over 20 pairs (mentor-mentee). An evaluation was made in 2011 and the rate of satisfaction of the mentees and mentors combined was around 80%”*.⁴⁶

The relationship between gender equality and quality/excellence is not made⁴⁷. On the contrary, one of the obstacles to more binding policies (e.g. quotas) is the reference to excellence. As an example, the Belgian ERA roadmap mentions (p. 39) that *“improving the gender balance by imposing quotas (e.g. for recruitment) is delicate because the most important criterion is (potential for) research excellence”*.

Concrete measures

The topic of gender equality is addressed by all universities in Belgium. They have all adopted a **Gender Equality Plan**. Similar actions and measures are implemented by organisations but each has its specific pace and focus. The main measures adopted are: balance participation in selection panels and management boards and specific training (e.g. on unconscious bias), maternity and work-life balance measures, recruitment, change of company culture, actively addressing and training female researchers, awareness raising sessions for both male and female members of the institution.

In general, a particularly pronounced gap concerns the share of women among Grade A positions in higher education systems and the gender dimension in the research content.

In the area of gender equality, the Belgian national ERA roadmap called for the integration of the gender dimension in research and to a balanced participation of women and men in R&I⁴⁸.

⁴⁵ The Royal Belgian Institute of Natural Sciences is one of the ten federal scientific establishments that are governed by the Belgian Science Policy Office (BELSPO).

⁴⁶ Belgian ERA-roadmap, April 2016.

⁴⁷ See also, Dubois-Shaik, F, Fuselier, B and Lits Grégoire, “L’excellence académique entre “compétition” et “intégration”. Analyse des critères de recrutement académique et des biais de genre qu’ils induisent”, in *SociologieS*, 2019.

⁴⁸ Belgian ERA-roadmap, April 2016.



Awarding and certification

All Belgian universities have signed up to the *Human Resources Strategy for Researchers* (HRS4R). The gender equality plans and strategies are conducted as a parallel process (cross-reference) more than fully interconnected. Regarding award schemes, some target successful or promising female researchers but there is no link between gender equality provisions/plans and certification or award systems.

Intersectional approach

A shift from a gender to a diversity approach has been observed in Belgium in the past years. However, this does not lead to an intersectional approach (combination of grounds). For example, in the Brussels Region, the legislation relating to gender equality (e.g. ex-ante gender test) is part of a diversity approach. However, it is more an addition of criteria than a real intersectional approach.

The Flemish Interuniversity Council is working on both diversity and gender aspects. In the reporting on diversity, gender is presented as one aspect.

Funding

In Brain.be and Brain.be 2.0, some links between funding and gender equality can be found in the evaluation criteria. Now it concerns only the gender dimension of research and is limited to the stage of the evaluation of proposals (see supra).

The participation of women in research was also indirectly addressed by providing incentives for receiving funding through the special research funds (*Bijzonder Onderzoeksfondsen*, valid from 1 January 2013). It prescribes that:

- One of the performance indicators used to calculate the funding amount per university is a diversity parameter that looks at the number of female researchers at postdoctoral level and permanent level;
- If one of the sexes is underrepresented at postdoctoral and permanent level (per faculty), in recruitment procedures with equal candidates, priority must be given to the underrepresented sex;
- University boards, research councils and selection juries must be gender-balanced.

In the 2017 evaluation report, the gender aspect does not really emerge.



Introduction to the CAS in Belgium

Belgium relies mainly on existing certification and quality systems at European level or in neighbouring countries.

Within research institutions, reference is made to the European Association for Quality in Higher Education for the future development of the quality guidelines in the French-speaking Community, or to common procedures and a common body (NAWO) between Flanders and the Netherlands. **All Flemish and French-speaking universities have been awarded the HR Excellence in Research Label** and have signed the “Charter for Researchers” and the “Code of Conduct for the Recruitment of Researchers”. **Other mechanisms such as the signature of a charter are also quite common.** As mentioned, Universities have adopted “Gender Equality Plans”. For the Flemish Universities, this also means the signature by rectors of a Gender Charter (see below).

A cooperation protocol between L’Oréal Belgilux, the Belgian Regional Commission for UNESCO, the FNRS (National Fund for Scientific Research – French-speaking) and FWO (Research Foundation Flanders) offers three young women the opportunity to participate in a scientific research project once every two years.

Within private enterprises various initiatives exist, and international labels such as “Great place to work” and “Top employer” (which do not focus on gender equality) or the “Gender equality and Diversity for Europe & Internal standard” label are attractive for employers as a selling point to interest promising talent or as a part of a corporate social responsibility policy.

Other labels that exist in Belgium in private or public institutions target “diversity” in general rather than gender equality. One label developed recently is the one proposed by the Brussels-Capital Region to enterprises: the ***label diversité***.

In conclusion, while there are some initiatives, no certification or award regarding gender equality in academia exists as such and the initiative in the private sectors are more focusing on labels.



Please rapidly review the action plans of the Belgian institutions which have undertaken the HRS4R award to see to what extent gender equality provisions have been embedded in them, and shortly summarise the most relevant practices. As a Gender Equality expert, would you say that the provisions which are already applied through the HRS4R action plans would make a European Gender Equality Certification (whose proposal is the final objective of the CASPER project) too redundant? If yes/no, why?

All Belgian universities have signed up to the *Human Resources Strategy for Researchers* (HRS4R) programme of the European Commission which is based on the European Charter for Researchers and contains a *Code of Conduct for the Recruitment of Researchers*. They have been granted the *HR Excellence in Research* award by the Commission. This award recognises that research organisations apply proper human resources policies and facilitate the mobility of researchers. The rationale is to support a common European research space that allows researchers to move from one research institution to another without facing barriers (e.g. social security entitlements), and attracts non-European researchers. The code of conduct contains recommendations on various issues and refers specifically to the principle of non-discrimination on the basis of gender, the necessity to provide working conditions which allow both women and men researchers to combine family and work, children and career, and a gender balance at all level of staff and in selection and evaluation committees.

In parallel to HRS4R action plans, a process of adoption of gender equality plans and commitment to gender equality (e.g. the VLIR Charter, Women in Science Committee) is followed by each institution in both communities (French and Flemish-speaking).

It is therefore useful to see whether and how such strategies are interconnected in relation to promoting gender equality within research organisations. As an introductory note, there are some cross-references between the HRS4R and the gender (or diversity) action plans.

Generally, action plans relating to HRS4R mention gender equality. The main issues addressed relate to the balanced composition of recruitment and promotion boards (but also, one university considers the possibility to nominate one expert as a “gender vanguard”), gender (and diversity) conscious communication about vacant posts (e.g. the inclusion of a clause to “welcome female candidates”, reference to family-friendly policies), a proactive search for female candidates, the monitoring of participation of women at all career levels, and the existence of a person responsible for gender or a “gender group” in charge of monitoring/contributing to integrating gender in the HRS4R. The references to gender are however scattered and not systematic. In one university action plan, the only reference relates to a gender policy that is to be set up by a commission for gender equality, which, according to the gender report of this university, works on an entirely pro-bono basis.

As illustrated by the content of HRS4R action plans, university institutions are still quite far from having addressed structural inequalities, mechanisms and core issues that undermine women’s career advancement and their access to academic membership and leadership. For example, Dubois-Shaik and Fusulier note that the university still obliges women (and their male counterparts) to align with a work and membership (selection and progression) logic and organisation that does not consider personal life and parenthood. (Dubois-Shaik & Fusulier, 2017).

Generally, the HRS4R (as well as gender plans) are more a list of activities regarding gender than the expression of a real strategy with defined goals, targets and time limits. Within the OTM-R, the main indicator regarding gender relates to “open, transparent and merit-based recruitment” and the monitoring of the ratio of male to female researchers.

So, in view of this review of HSR4R actions plans, can we consider that a gender equality certification would be redundant? In our view, it is not, and having a gender certification is highly desirable for the following reasons.

First, while the Charter and Code relate to all researchers, irrespective of their job, the emphasis in the plans is primarily on early-stage researchers with unstable employment prospects and on researchers with professional



mobility. So the issues of promotion, access to decision-making and full professor positions for example are not really addressed in HRS4R plans.

Secondly, as mentioned above, the HRS4R does not address the structural and more hidden causes of gender discrimination and barriers to female careers. The award operates in a context of high mobility and excellence. “Unconscious biases and masculine discourses of competition and individuality are organisational mechanisms that tend to reinforce difficulties women face during their academic careers. (...) Gender discourses, policies and structures continue to reproduce gender asymmetries without much resistance because of a dominance of beliefs that value masculine norms and individual merit.” (Roos H, 2020). As Bracke mentions, “diversity keeps the norm in place and normalises it as a standard against which someone or something can be measured as ‘diverse’. It belongs to the register of management.” (Bracke, 2014).

Thirdly, in Belgium, gender is very poorly institutionalised and its understanding is very limited (e.g. the use of the phrase ‘gender statistics’ for statistics desegregated by sex in a binary mode M/F). Bracke points to the low degree of institutionalisation and the vulnerability of the ground on which gender studies in Belgium are currently developed, because when gender is disconnected from feminism, the critical analysis of power suffers. “Institutionally speaking ‘gender lite’ turns out to be very useful: it allows the institution to speak about gender, as the pressure to do so increases, while neutralizing gender’s analytical and critical potential. While such a usage of gender can be traced internationally, its presence and effect in Belgium is striking.” (Bracke, 2014).

Finally, the *HR Excellence in Research* award is granted more in recognition of the effort an institution demonstrates in complying with the Charter and Code than on concrete changes. For the reasons mentioned above (low level of institutionalisation, low level of understanding of gender, and absence of measures to tackle structural barriers and inequalities), the voluntary and self-assessment features do not seem to guarantee that such a certification will lead to real changes. The recurrent aversion from positive discrimination (and quotas) in academia, and from time-bound measures which are recognised by research to significantly increase the representation of women (because they focus on results within a given time-frame and give the responsibility for change to organisational management) reflects the fact that such measures touch on institutionalised power relations. (Roos H, 2020).

If a gender certification is introduced in Belgium, it should comprise measures that address current power relations and structural barriers, fix specific targets and time scales to reach them (short- and longer-term) and provide for an external evaluation mechanism.

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| | |
|---|--|
| Diversity Label | 2018 |
| Certification http://werk-economie-emploi.brussels/fr/label-de-diversite | Regional - Brussels equal@sprb.brussels |
| Awarding body: Target Audience: | Brussels Region Business/Others |

Overall description:

The label is granted to a company or an association that promotes diversity and has been assessed positively on the implementation of the measures and actions provided in its diversity plan. The Brussels Region wants to use its financial power (subsidies) to support more diversity in enterprises and organisations in Brussels. First, the company or association draws up a diversity plan, which must be approved by the Minister of Employment of the Brussels-Capital Region. Then, if it correctly implemented and receiving a favourable evaluation from ACTIRIS (the Public Employment Service of the Region), the company or organisation can apply for the diversity label. If, after the execution of its diversity plan, the company or association draws up a diversity consolidation plan, the label is renewed.

Validity

2 years, with possibility to renew

Eligibility and requirements:**Eligibility**

A business or any type of organisation based in the Brussels Capital Region

Requirements

Have a diversity plan and Introduce a file at the Public Employment Service of the Brussels Region

Business model:

The main source of funding is the Brussels Region

Certification process, assessment, and support:

Businesses must provide evidence of their diversity plan to the Public Employment Service of the Brussels region.

Criteria and Indicators used:

According to the legislation the awarding of the Label is based on the feasibility of the diversity plan, especially if the requested and planned resources allocated/planned make it possible to achieve the objectives; if it is sufficiently backed up by quantitatively and qualitatively data relating to objectives set out in the plan; if the equality Bodies have not received complaints against the organisation.



| | |
|--|--|
| Charter Gender In Academia | 2019 |
| Charter http://jongeacademie.be/wp-content/uploads/2019/06/Gendercharter_VLIR-JA.pdf | Regional – Flemish speaking community // |
| Awarding body: Target Audience: | Flemish Interuniversity Council Research and Higher Education |

Overall description:

The Gender in Academia Charter signed on 26 June 2019 by the 5 Dutch-speaking universities. Coordinated by the Flemish Interuniversity Council -VLIR, the charter was developed in collaboration with the Young Academy (Jong Academy-JA). The rector of the five Universities signed the charter as a commitment towards gender equality. One principle of the charter is to carry out yearly (internal) monitoring and to publish results on a common public website (VLIR and/or Young Academy – JA) to reinforce the effectiveness of the engagement and measures taken.

Validity

One-off signature. Unclear if possibility to opt-out

Eligibility and requirements:**Eligibility**

Flemish universities

Requirements

//

Business model:

Unclear

Certification process, assessment, and support:

The charter contains a number of fields of actions and guidance on actions to take and possibly monitor through self-assessment.

Criteria and Indicators used:

- 1) training on gender diversity, career hurdles and unconscious prejudices;
- 2) promotion and recruitment procedures;
- 3) gender balance in councils and committees;
- 4) offering a workable work culture for everyone, including by better harmonising the combination of work within an academic setting and care and private commitments;
- 5) systematically monitoring the evolution of the gender balance.

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BULGARIA

[Link to references](#)

National CAS:

- **Sign of Considerable Achievements in the Effective Execution of the Gender Equality**
- **Single Step's LGBTI Corporate Index**

Number of HRS4R awardees:

- **3 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

The **national evaluation of research quality** is conducted by the National Evaluation and Accreditation Agency, which is a member of ENQA, the European Association for Quality Assurance in Higher Education.

The mechanisms for evaluation of research quality are set in the Regulations for Monitoring and Evaluation of the Research Activity of Higher Education Institutions and the Activities of the Fund "Scientific Research" (2018), which are published by the Bulgarian Ministry of Education. The Regulations set that the evaluation of the research activity of HE institutions entails looking at objective data and the monitoring of research development. There is a **rating system** with marks which is based on the number and dynamics of published research papers and the number of executed national and international projects. After the HE institutions are rated in this way, this informs the distribution of state financing to the respective universities and research organizations.

Additionally, Higher Education and research institutions have **internal regulations for evaluation**. However, some of them focus on the quality of the education provided to PhD and other higher educational degrees, rather than on the quality of research conducted at the respective organization. In the cases when the focus is on research, the factors considered in the quality evaluation include the number of published research papers and of international research contracts, among others.

The Ministry of Education and Science has created a portal called the **Bulgarian University Ranking System (2019)**. It is based on "more than 100 indicators, which measure different aspects of university activities including teaching and learning, university environment, welfare and administrative services, science and research, prestige, as well as career relevance to the labor market and regional engagement." Prospective students can compare the rating of the universities in the diverse educational fields.

The **Higher Education Act (1995)** that governs the activities of the National Evaluation and Accreditation Agency **does not consider gender and diversity in its text**. The only mention of gender is the following:

"Art. 4. No privileges or restrictions shall be allowed in higher education as regards age, race, nationality, ethnic origin, gender, social background, political convictions or religious denomination, except for the cases expressly provided for in the Rules of Operations of a particular higher education establishment based on certain peculiarities of the training process and the future profession."



Thus, most likely the national evaluation of Higher Education quality and accreditation does not consider gender and diversity areas.

The Regulations for Monitoring and Evaluation of the Research Activity of Higher Education Institutions and the Activities of the Fund “Scientific Research” (2018), which set the mechanisms for national evaluation of research quality, do not mention gender in any context.

Gender in research and higher education

The current research **could not identify any specific national policies** on gender in the fields of Higher Education and Scientific Research and Innovation.

The National Strategy for Promotion of Gender Equality (2016) notes that one of its goals is “the promotion of gender equality at all levels and in all forms of education by using the existing instruments and policies for cooperation and financing.” However, this is a policy document for all fields, not specifically focused on Higher Education or Research. Furthermore, the strategy does not include additional measures or provisions to promote gender equality in Higher Education or Research.

The National Strategy for Promotion of Gender Equality (2016) notes that “Women complete Higher Education more often, but are weakly represented in scientific research activities, in research departments, and in higher positions in all educational fields.”

At the same time, the Yearly Report on the State and the Development of Scientific Research in Research Organizations and Higher Education Institutions (2017) states that “among the scientists in Bulgaria the gender equality is almost complete, as women constitute 53% and men - 47% of the total number of researchers in the state sector and in the sector “Higher Education.”

This is an obvious discrepancy that shows the lack of understanding about the meaning of gender equality in the field. This, in turn, can explain the fact that there are no gender equality aspects in the policies on Higher Education and Scientific Research and Innovation.

It follows that, as there are no specific policies, there is no reference to [awarding and certification](#), no linking to [funding](#), nor an [intersectional approach](#).



Introduction to the CAS in Bulgaria

The research for Bulgaria showed that as of yet, **there are no clear-cut CAs of high priority** - i.e. focusing solely on gender equality in the context of HE and research institutions.

There is only one CA which gets close to this - **Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy**, awarded by the Ministry of Labor and Social Policy. However, it doesn't focus only on HE and research institutions, as it encompasses state institutions, for-profit and nonprofit organizations, and public organizations and institutions. Thus, it may also include HE and research organizations, if they apply for the award. In the two years that the CA has been awarded, a research organization received the award in the category "public organizations and institutions" once in 2018.

In addition, there are no CAs of medium priority that consider gender equality in business or diversity and inclusion in HE and research.

There is one CA which is low priority - diversity and inclusion in the context of business - which is now being developed (**LGBTI-friendly Corporate Index**).

There are a number of CAs for excellence in research, but they don't have criteria related to gender equality or the integration of gender analysis in research. They focus only on other factors such as academic excellence and research performance. Thus, they have not been included in this research.

The findings about CAs in Bulgaria are in line with the overall state of gender equality policies and initiatives in the country. They are **often superficial and incomplete and usually lack a thorough understanding of the in-depth meaning of gender equality and equal opportunities**. In many cases, gender-related policies and initiatives are created to comply with EU standards or requirements and are not intrinsically understood as necessary for the country.

The only high priority CA in this research - Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy - is organized by the only state structure that deals with equal opportunities between men and women. This is the Equal Opportunities, Anti-discrimination and Social Assistance Benefits (EOADSAB) Department, which is a part of Policy on Disability, Equal Opportunities and Social Assistance Benefits Directorate of the Ministry of Labour and Social Policy. It consists of less than 10 employees.

HR Excellence in Research Award of the European Commission

Three Bulgarian HE institutions have been acknowledged by the HR Excellence in Research award of the European Commission for making "progress in aligning their human resource policies with the principles set out in the "Charter & Code." They are the Institute for Population and Human Studies at the Bulgarian Academy of Sciences, the Sofia University, and the Varna Free University.

- Institute for Population and Human Studies at the Bulgarian Academy of Sciences - gender is mentioned in their Internal Analysis on the Human Resources Strategy for Researchers



incorporating the Charter and Code (2016) - to achieve gender balance the document notes the need for an “analysis of the gender balance in the composition of researchers at IPHS”; “Regulatory framework of IPHS - There are no clauses on gender equity” and “Policy on equality - Despite the lack of normative clauses at institutional level of BAS and IPHS against gender discrimination, the national and European legislation on protection against discrimination is respected.”

- Sofia University - the award was given in October 2019, so there are still no internal analysis documents
- Varna Free University - the Internal Analysis of the Varna Free University for the European HR Excellence in Research Award (2011) states the following: “Recruitments and criteria, applied for the VFU’s staff selection, definitely do not suggest discrimination based on gender, age, nationality and ethnic origin although it is not written in internal rules”; “The composition of panels for competitive examinations, as implemented at VFU, complies with statutory rulings, notably in terms of gender balance and the proportion of members who are internal and external to the VFU.”; “VFU’s legal framework: Articles on gender equality missing.”; “Policy regarding equality The profession of researcher at VFU is gradually becoming more feminised. VFU strives for increased female representation in Scientific Councils and a gender balance in its scientific and administrative bodies. Observation of an imbalance that has resulted from a combination of complex factors, notably in terms of career management.” The internal analysis suggests that the VFU has to undertake “analysis of the existing state of gender balance at all researchers university staff” and “promotion of a policy of equal opportunities at recruitment and working conditions for female and male researchers to achieve better gender balance.”

How would a gender equality certification for HEIs be received in Bulgaria?

The fact that it would go beyond gender representation in research careers, would it help re-discussing gender equality in research and contrast the perception of it as a non-existing problem?

Introducing a gender equality certification for HEIs in Bulgaria would certainly be beneficial in order to trigger a re-discussion of gender equality in research. It stands a chance to deepen the discussion in the direction of surpassing the mere gender representation in research careers, and thus to focus it on the real issues such as vertical and horizontal segregation of women in academia.

However, it may turn out difficult to introduce GE certification for HEIs. There could be internal resistance from the different levels in universities and research organizations. Bulgaria is still a country without a national policy or budget for gender equality in higher education and research. The HEI and research institutions do not have any internal structures in charge of implementing equal opportunity policy despite recommendations from the EU level.

One approach that could work is to tie the GE certification to the funding of the respective organization. This is quite a top-down approach for introducing the topic of gender equality. However, it may be able to work out as a stimulus for HEIs and research organizations to seek gender equality beyond the number of male and female researchers employed, i.e. if the organizations are rewarded financially for battling vertical and horizontal segregation of women.

Another potential option is to make the GE certification very reputable. For example, it can be included in the benchmarking index of Bulgarian HEIs, which is visible to all potential students and researchers. By doing this, the issue of gender equality in academia may be able to rise above the ground, so that the problematic areas become visible. Most importantly, the GE certification that would go in such an index could mark if there is strong vertical or horizontal segregation in an institution, if the organization collects data segregated by gender, if it has an ethical code which includes gender equality provisions, and similar issues.



Would an intersectional approach to a Gender Equality CAS generate resistance? If yes, under what conditions/how this could be prevented or contrasted?

Based on the assessment of the current gender equality 'climate' in the country and the review of research articles in the annotated bibliography (Stoykova, 2008), an intersectional approach to a gender equality CAS is likely to generate resistance rather than to help the introduction of such CAS.

Policy makers have consistently juxtaposed gender equality against general anti-discrimination in their policy debates and in the public discourse. A kind of "competition" between gender and other inequalities has been imposed. There is also a consistent tendency to 'de-gender' the issue of gender equality and thus of changing its actual meaning to avoid a concept of the group of 'women' which has come to have a negative connotation in the public discourse (Stoykova, 2008). For example, the state unit dealing with gender equality is called "for equal opportunities between men and women," which shows a trend for gender equality to be pushed to signify equal economic and educational opportunities.

Additionally, Bulgarians have become quite (in-)sensitive to the use of words like 'discrimination,' 'racism,' and 'gender,' due to strong nationalist and anti-gender/ anti-LGBTI propaganda in the country in recent years. The case with the Istanbul Convention clearly shows how these discourses function in Bulgaria (Stanoeva, 2018). In a way, it has become difficult to talk about any type of anti-discrimination measures because there is a general feeling that society and politicians are focusing too much on marginalized groups, while the 'common people' are left out - the traditional family, the men, the 'real' Bulgarians (juxtaposed against 'the refugees' or 'the gypsies').

Could embedding a GE certification CAS in the European HRS4R be more strategic given the country's situation?

Gender equality policies in Bulgaria are often introduced as a side-effect of accepting different pieces of EU legislation, or because of pressure to comply with EU-level standards in the field. Thus, it would make sense to embed a GE certification CAS in the European HRS4R Award. HEIs and research institutions in Bulgaria would then have a specific stimulus to participate and excel in such CAS.

The few higher education institutions in Bulgaria which have applied for the HRS4R Award have actually made some steps to tackle gender equality issues in their policies. Two out of three of them have already conducted an internal analysis which audits what type of measures are present or have to be introduced. This is a significant step, having in mind that in general, HEIs and research organizations in the country have not included until now gender equality in their ethical codes and internal policies.

In order for the embedding of a GE certification CAS in the European HRS4R award to have the best possible results in Bulgaria, it would be also important for the HRS4R award to be popularized among institutions in the country. If the HRS4R award becomes a 'norm' for HEIs and research organizations, most of them would strive to obtain it, i.e. if having the award is included in the ranking index for universities, or if it's tied to their financing. This would mean they would take steps to fulfill the conditions. In such a situation, if the GE certification CAS is embedded in the HRS4R award, it would automatically have a better reach among Bulgarian organizations.

As with tying the funding of an organization to its gender equality policies, embedding the GE certification in the HRS4R Award is again a strongly top-down approach. Thus, there are risks that the compliance would be only superficial. They can be mitigated with training and campaigns for popularizing the HRS4R award, as well as with campaigns for the benefits of a potential CAS.

Overall, embedding of a GE certification CAS in the European HRS4R is probably one of the best approaches for introducing CAS in the country, given the overall attitudes and 'gender' climate in Bulgaria.

Civil society: is civil society, and particularly feminist civil society, playing a role in the policy development dynamics described in the Report? If yes, what type of organizations are active, and how? If not, why?



Over the last decade, non-governmental organizations focusing on gender equality and women's rights have grown in number and power in Bulgaria. However, the process of integrating their activities and positions in the policy development of the country is slow and difficult.

The reasons for this are complex. They include a widespread and publicly accepted notion in Bulgaria that gender equality has been achieved already, which often discards any efforts to promote further measures and financing in the field. A part of the population, as a result of conservative propaganda in recent years, fear that feminist organizations and other NGOs are trying to enforce a 'gender' ideology in the country. It is broadly understood as normalization of homosexuality, which is seen as something negative, as well as 'corrupting' children through exposing them to different gender discourses. This was mostly clearly seen in relation with the debate and eventual rejection of the Istanbul Convention in 2018. It also demonstrated that the anti-gender discourse is strikingly similar to the anti-immigration and nationalistic rhetoric (Stanoeva, 2008).

There are, of course, various other reasons contributing to the difficulty in integrating civil society organizations in the policy development process in a meaningful and truly functioning way. Some of them include limited financing of these organizations and an underdeveloped tradition of civil society organizations having a real say in the public space.

The platform for collaboration between policy makers and civil society in the field of gender equality is the National Council for Gender Equality with Bulgaria's Ministerial Council. Its main functions include issuing statements on projects for strategic documents and acts, which contain provisions linked to gender equality, before they are introduced in the Ministerial Council; takes part in the creation of the National Strategy for Gender Equality; offers measures for promotion of the state policy on gender equality; and takes part in the development of quantitative and qualitative indicators necessary for the monitoring system on gender equality. For example, it is the entity that decides on awarding the high priority CA Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy. The Council meets about four times per year.

Currently, the Council has seven members which are gender equality-related NGOs. They are Association Animus, Gender Project in Bulgaria, Center of Women's Studies and Policies, Foundation Gender Alternatives, Bulgarian Gender Research Foundation, Bulgarian Fund for Women, and Alliance for Protection against Gender-Based Violence.

The rest of the civil society organizations that are part of the Council are Unicef Bulgaria, Bulgarian Industrial Association, Bulgarian Chamber of Commerce and Industry, Bulgarian Industrial Capital Association, Confederation of Employers and Industrialists in Bulgaria, Confederation of Labor, and Confederation of Independent Trade Unions of Bulgaria.

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|---|--|
| Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy | 2018 |
| Type https://www.mlsp.government.bg/ | National mlsp@mlsp.government.bg |
| Awarding body: | Ministry of Labor and Social Policy |
| Target Audience: | Both Business/Others and Research and Higher Education |

Overall description:

The Sign of Considerable Achievements in the Effective Execution of the Gender Equality Policy is a moral award, a symbol of prestige, and a stimulus for the institutions and organizations to improve their management in terms of gender equality. Institutions can apply every year to be considered for the award. They have to fill in a questionnaire and present proof for the declarations they make in it. The Ministry of Labor and Social Policy reviews the applicants according to 7 requirements. Afterwards, the Ministry announces the yearly winners in three categories: state institutions, for-profit and nonprofit organizations, and public organizations and institutions. Higher education and research organizations can thus fall in the last category and be considered for the award.

Validity

Awarded every year, with possibility to reapply

Eligibility and requirements:**Eligibility**

state institutions, for-profit and nonprofit organizations, and public organizations and institutions

Requirements

The institution or organization that wants to apply has to complete a questionnaire prepared by the Ministry. It also has to attach documentation that proves the answers it has given in the questionnaire. Then it has to send the completed documents to the Ministry by a certain deadline, which is in February and is set on a yearly basis.

Other information

What can be deducted from the two years in which the Sign has been awarded is that there are three award holders each year, so there must be 6 award holders in total until now, as the 2020 award has not been given yet.

Business model:

No specific information was available online. The Ministry of Labor and Social Policy did not reply to this question either. According to the assessment process of the CA that I found online, it seems that the resources come from the Ministry of Labor and Social Policy - both monetary and in terms of human resources, infrastructure, publicity, etc. The National Council for Gender Equality is also involved at the level of voting for the award winners, so some resources obviously come from it as well.

Certification process, assessment, and support:

- The Minister of Labor and Social Policy assigns the members of the Commission that will review and assess the applications
- The Commission creates internal rules for the review and assessment of applications
- Within 14 days of the deadline for applications, the director of the Commission presents to the Minister a report containing the approved organizations from all applications (the ones that meet the seven conditions explained above)



- The Minister approves the report of the Commission
- The National Council for Gender Equality convenes and selects the award winners in the three categories. The voting is based on simple majority. The National Council consists of the Minister and Vice Minister of Labor and Social Policy, Vice Ministers of all other ministries, directors of a number of state commissions, representatives from organizations from the public sector, gender equality and other NGOs, the Bulgarian Academy of Sciences, and the Ombudsman of Bulgaria, among others.
- The Minister sends letters to the award winners
- The Ministry organizes a special ceremony when the winners receive the awards

Criteria and Indicators used:

- The Minister of Labor and Social Policy assigns the members of the Commission that will review and assess the applications
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- The Minister sends letters to the award winners
- The Ministry organizes a special ceremony when the winners receive the awards

Gender, diversity, and excellence:

There is a reference to national policies: the document "Conditions for granting the Sign" mentions the Law on Gender Equality (2016) and that the Sign is created in relation to this law.



| | |
|---------------------------------------|--------------------------------|
| LGBTI-friendly Corporate Index | To be published in 2020 |
|---------------------------------------|--------------------------------|

Index

<https://singlestep.bg/venture-out/corporate/>

National

ventureout@singlestep.bg

Awarding body:

Single Step

Target Audience:

Business/Others

Overall description:

The LGBTI-friendly Corporate Index will benchmark large Bulgarian and multinational companies in Bulgaria according to their corporate inclusion policies and practices. The first edition is planned for 2020. Companies can apply by sending their contact data. The organization Single Step will contact them back and send them a proprietary questionnaire that they have to fill out. Afterwards, the Index will be published in a well-known Bulgarian newspaper, Capital.

Validity

Information not available, but possibly yearly frequency.

Eligibility and requirements:**Eligibility**

only companies - large Bulgarian and multinational companies operating in the country

Requirements

The company that wants to apply has to fill in their contact data on the website of Single Step. Then the organization will send a proprietary questionnaire that the company has to complete. There are no special requirements but to be a large Bulgarian or multinational company operating in Bulgaria, as the index is corporate.

Business model:

Information not yet available

Certification process, assessment, and support:

The Index aims to benchmark the corporate inclusion policies and practices of large Bulgarian and multinational corporations in the country. There is no information how the benchmarking will be done. Thus, the assessment process is unclear.

Criteria and Indicators used:

There is no data about the assessment methodology. The most probable way would be Review by Certification authority's experts or by third party experts without audit on site - for the questionnaires completed by the companies.

Gender, diversity, and excellence:

It is unsure whether it adopts an intersectional approach: it is not clear what the questionnaire focuses on. The topic is set as diversity and inclusion, and more specifically, corporate inclusion policies and practices.

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CROATIA

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|----------------------------------|----------------------------|
| National CAS: | None |
| Number of HRS4R awardees: | 16 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Croatia implements several instruments, programs and policies, such as the **Croatian Research and Innovation Infrastructures Roadmap** and the **Strategy for innovation encouragement of the Republic of Croatia 2014-2020**.

The main funding bodies are the **Croatian Science Foundation (CSF)** and the **Croatian Agency for SMEs, Innovations and Investments (HAMAG-BICRO)** supporting various innovation policy programmes and creating, implementing and financing innovation policy programmes for the commercial application of science.

The **Ministry of Science and Education** is national policy-maker, responsible for planning, funding and research assessment. Advisory body of the Ministry is the **National Council for Science, Higher Education and Technological Development** whose 14 members are appointed by the Croatian Parliament. The Ministry funds annually certain types of scientific production⁴⁹ through public calls. Expert bodies evaluate applications and then the Ministry decides on the distribution of available funds.

The **Croatian Science Foundation's**⁵⁰ mission is promotion of science, higher education and technological development in Croatia. Evaluation procedure, as claimed by the Foundation, is based on the principles of quality, transparency, equality of treatment, confidentiality, impartiality and efficiency and promptness.⁵¹

The most important **laws and regulations** for higher education in Croatia are:

- Science and Higher Education Act⁵² as the basic national document regulating the systems of scientific activity and higher education in Croatia;

⁴⁹ For example, science books and text-books, publications and journals, conferences, etc.

⁵⁰ Established by the Croatian Parliament in December 2001 under the name The National Foundation for Science, Higher Education and Technological Development of the Republic of Croatia (Act on the Croatian Science Foundation, NN 111/01, 45/09, 92/10, 78/12. By joining the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers in 2011, the Foundation accepted the alignment of its rules with those of other European countries. In May 2013, the European Commission granted the Foundation the right to use the "HR Excellence in Research" logo.

⁵¹ However, recently conducted critical research states that "...As the case study demonstrates, CSF [...] has deviated considerably from its original founding mission and presents itself as a faceless bureaucracy that rather (cyber) bullies its clients, than contributes to society's overall advancement through enabling and promoting excellence in research [...] it is questionable whether the Croatian academic community is able or even willing to self-govern public research funds, solemnly based on principles of scientific excellence, transparency and objectivity" (Getoš Kalac, 2020).

⁵² Official Gazette No. 123/03, 198/03, 105/04, 174/04, 02/07, 46/07, 45/09, 63/11, 94/13, 139/13, 101/14, 60/15, 131/17



- Quality Assurance in Science and Higher Education Act⁵³ that regulates the ways in which quality in science and higher education is ensured and improved, as well as the operation and organisation of the Agency for Science and Higher Education, which oversees external quality assurance procedures;
- Ordinance on the Content of Licence and Conditions for Issuing Licence for Performing Higher Education Activity, Carrying out a Study Programme and Re-accreditation of Higher Education Institutions⁵⁴, which defines the conditions for performing activities in higher education and for delivering study programmes, as well as the rules of accreditation procedure;
- Ordinance on Areas, Fields and Branches in Science and Arts⁵⁵ that defines scientific areas, fields and branches, along with artistic areas, fields and branches, and interdisciplinary areas of science and arts with their corresponding fields.

Croatia has developed a centralized system of quality control⁵⁶.

The current quality assurance framework consists of:

- internal quality assurance procedures and practices through which academic institutions control and improve the quality of their activities;
- an external and independent periodic assessment;
- accreditation for starting a higher education programme and/or an institution;
- re-accreditation as a dominant process of evaluation and assessment of the quality of existing programmes and institutions;
- the thematic evaluation aimed at reviewing the state of the system of higher education with regard to the specific topic to be examined.

The procedures for external assessment of the quality of higher education institutions are compulsory for all higher education institutions in Croatia and are conducted by the national agency, the **Agency for Science and Higher Education (ASHE)**. ASHE independently assures the quality of science and higher education by accrediting new higher education and scientific institutions and programmes⁵⁷, auditing and re-accrediting the existing institutions and implementing other procedures aimed at evaluating various segments of the higher education and research sector.

The mechanisms described above do not consider gender and diversity areas.

However, in accordance with the Strategy for Education, Science and Technology (Official Gazette No. 124/14), the National Group for Enhancing the Social Dimension of Higher Education has been tasked

⁵³ Official Gazette No. 45/09

⁵⁴ Official Gazette No.24/10

⁵⁵ Official Gazette No. 118/09, 82/12, 32/13 i 34/16

⁵⁶ The formal quality assurance system is stipulated by the **Law on Quality Assurance in Science and Higher Education** (Official Gazette, No. 45/09), but there are other forms of external evaluation of higher education institutions and scientific institutes covered by regulatory documents, for different purposes – for example, to determine the status of an institution or its government funding, elections, etc.

⁵⁷ namely private universities, polytechnics, and colleges. The 2009 Act on Quality Assurance in Science and HE gives **autonomy to the senates of the public universities to approve their own study programs**, while study programs of all other HE institutions must pass the initial accreditation by the ASHE for approval.



with drawing up **the National Plan for Enhancing the Social Dimension of Higher Education in the Republic of Croatia** (2019 – 2021), which was adopted by the Croatian Government in January 2019⁵⁸.

The main objectives of the National Plan are to:

- Systematically gather, analyse and use the data related to social dimension of higher education
- Increase accessibility of higher education for underrepresented⁵⁹ and vulnerable⁶⁰ groups and remove barriers at entry
- Provide equal opportunities to all students during studying
- Increase completion and employment rates of underrepresented and vulnerable groups
- Improve the system of student financial support
- Include standards related to social dimension in quality assurance system(s)

The National Plan was preceded by drawing up two documents that are now part of the Plan: **Underrepresented and Vulnerable Groups in Higher Education** in the Republic of Croatia and **Guidelines for the Improvement of Support Services for Students with Disabilities in Higher Education**.

Gender in research and higher education

The **Act on Gender Equality**⁶¹, passed by the Croatian Parliament in 2008, and amended in 2017 (Official Gazette, No. 82/08, 69/17) prescribes the **obligation to include issues of gender equality as integral part of pre-school, primary and secondary school education as well as higher education** and lifelong learning and additional training.

Primary aims of this obligation are to establish a **gender-sensitive education** process at all levels and to eliminate sex and gender related stereotypes in the teaching curricula and textbooks: *“V. EDUCATION; Article 14 1) Public body in charge of education, agencies for training and education and institutions dealing with education as their primary activity shall systematically implement measures to ensure equal access to education at all levels and activities in relation to advanced vocational training and promotion to the professions of employees in training and education. 2) Subject matters related to issues of gender equality shall be an integral part of pre-school, primary and secondary school education as well as higher education and lifelong learning and additional training and they shall include measures aimed at preparing both sexes for active and equal participation in all spheres of life”* (Act on Gender Equality).

⁵⁸ Researcher’s note: *De iure* and *de facto* situations differ significantly. Croatia is famous for producing all sorts of plans, strategies, action plans which have not been implemented properly. Poor monitoring, poor evaluation, no follow up, and no consequences. The presence of the plan does not mean that it will be operationalised swiftly.

⁵⁹ The following underrepresented groups were identified: students whose parents have a lower level of education; female students in technical fields and male students in the humanities; mature students; students with children; and students from the Roma minority.

⁶⁰ The following vulnerable groups were identified: mature students; students with disabilities; students with children; students from the Roma minority; students from lower-income families; students coming from vocational schools; students under a significant strain from working while studying; students commuting to their place of study; LGBT individuals; students from the alternative care system; homeless students; students from rural areas, small towns and islands; as well as refugees and asylum seekers.

⁶¹ A more correct translation should be the Act on Equality of Sexes, as gender is not a welcome term in Croatia (researcher’s note).



Very general provisions of the Act should be elaborated and transformed into concrete measures. **The National Policy for the Promotion of Gender Equality** is considered as the basic strategic document to be developed for the purpose of eliminating discrimination against women and establishing true gender equality by implementing a policy of equal opportunities in all spheres of life. However, **since 2015 no such policy has been developed and adopted**, and no evaluation of the previous one properly executed. Moreover, many measures have never been implemented, and the Government Office for Equality of Sexes or any other institution has not faced any consequences.

For example, in **the National Policy for Promotion of Gender Equality 2006-2010** the following measure was included:

3.3.3. Women's Studies will be institutionalised at undergraduate, graduate and postgraduate levels, according to the Law on Science and Higher Education. Implementing subjects: National Council for Higher Education, the Agency for Science and Higher Education, universities, the Ministry of Science, Education and Sports, in cooperation with NGOs. Time frame for implementation: 2008-2009.

In the Summary Report on the Implementation of the National Policy for Promoting Gender Equality 2006–2010 failure has been explained in the following manner:

"Although Women's Studies are still not part of institutional education, there has been encouraging progress reached on the basis of obligations in implementing measures from the National Policy. In regard to this, it should be mentioned that the National Council for Higher Education presented the Recommendation 14 to the Rector's Conference and university senates in September 2008, supporting the introduction of gender sensitive education at the level of higher education, and in accordance with this, recommended the formation and introduction of new courses in Women's Studies at undergraduate, graduate and postgraduate levels, in institutions for higher education which have the potential and conditions for introducing them".

Obviously, the adoption of the Recommendation and the Regulation of scientific and artistic areas, fields and branches, which enlists Gender Studies as an interdisciplinary scientific field, is used in the new strategy (2011-2015) for the exclusion of measures connected to institutionalisation of women/gender Studies (Richter et al, 2015).

The Ministry of Science and Education, in line with the European Research Area (ERA), developed the **Implementation Plan for the Republic of Croatia 2016-2020**. According to the Plan, there are five priorities that should be in the focus of the implementation process. One of them is **gender equality and gender-aware policy in research** (Priority 4).

Proposed measures are:

- Better coordination and networking of public policies - establishing a system of collecting information on women's entrepreneurship.
- Improvement of sustainable support to women's entrepreneurship - development of new models of education and training in business management (ICT, new technologies, creative industries, innovation implementation, cluster management, et.).
- Incorporation of women's entrepreneurship into institutional infrastructure - strengthening supporting institutions in order to increase expert advice for women's projects in the field of new technologies and innovation.



The plan does not relate in any sense the concept of gender equality with excellence in research: it delivers statistical data which prove that women are under-represented at the highest positions at universities, and have lower salaries in comparison to men. Nothing is mentioned on relevance of their work and performance in the field of research. It does not include references to awarding, certification, and accreditation of research organizations, and it does not have an intersectional approach. The plan, nor any other national practice, does not create a link between gender equality and funding.

Introduction to the CAS in Croatia

The current quality assurance framework is defined and controlled by the ASHE. However, in the document which elaborates on standards for the evaluation of quality of universities and university constituencies gender equality is not to be found. In the section focused on students and their status one indicator measures to what level one HEI ensures support to students from vulnerable and under-represented groups. In relation to the staff, only professional standards are to be evaluated (the standards are available [online](#)).

A possible example of CAS in Croatia would have been the **project “E-Quality: Linking quality and social inclusion in higher education”** (project leader was the Institute for the Development of Education, an NGO), executed from 2013 to 2015, aimed at developing a socially inclusive quality assurance procedures at higher education institutions and establishing the **“e-quality label”** to be awarded to socially inclusive HEI in Croatia. They also focused only on students. In their final report they state that the idea draws on two examples from the European higher education sector: the Equality Challenge Unit’s **Athena SWAN** Charter mark, which addresses female equality issues in science, technology, engineering, maths and medicine in the UK; and the Accreditation Organisation of the Netherlands and Flanders’s (**NVAO**) internationalisation quality label in the Netherlands and Flanders (See UK and Netherlands country sheets for reference).

They produced the Guidelines where eight criteria for the evaluation are listed: institutional management, policies and procedures, study programme design, study program delivery, academic assessment and feedback, student involvement, staff involvement, study resources, space, and environment.

They suggested that the quality label should be developed through a partnership approach and ASHE should act as a co-ordinating and awarding body. ASHE should involve the Institute for the Development of Education and representatives of student associations, with the option of other partners to be involved (e.g. higher education institutions such as those which participated in the E-Quality project, and other experts). These bodies should be constituted as the Steering Group for an initial term of five years. The quality label should be developmental, and participation should be voluntary. They suggested that it could nevertheless be aligned with funding agreements and their performance funding requirements to enhance desirability⁶². However, albeit not being transformative as it proposes more quantitative than qualitative approach, **this initiative has not been endorsed by the ASHE.**

Indeed, **no national reward for HEI has been established so far.** Rewards that scale from rector’s, deans’ annual rewards to rewards given by the Ministry of Science and Education are directed to individuals and do not relate to gender equality.

⁶² Šćukanec, N., Doolan K., Thomas, L., Košutić, I., Barada, V. (2015). Enhancing Quality in Higher Education by Fostering Equity and Social Inclusion. Available [online](#).



Only, again individually, women entrepreneurs receive annual rewards from their associations. An interesting initiative comes from the Croatian Business Council for Sustainable Development. Last year they founded the **Alliance for gender equality**. Companies that want to join need to sign the **Charter**. They plan to meet once per year and present achievements in the area of gender equality. Hopefully, they will establish a reward for the company that accomplished the biggest progress (further information is available [online](#)).

So far (as of 30/06/20), 38 research organisations from Croatia have signed a Declaration of endorsement of Charter and Code, and 16 organisations have received “HR Excellence in Research” (**HRS4R**) . However, both the Charter and the Code do not stress significantly issue of gender inequality. Although one of the fundamental principles is gender balance, as well as prohibition of discrimination, qualitative approach should be implemented in the process of applicant’s evaluation.

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CYPRUS

[Link to references](#)

National CAS:

- **Good Practice certification**
- **Equality Employer Certification**

Number of HRS4R awardees:

- **3 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

Both public and private Universities, in Cyprus, dealing with research and higher education have to be certified by the **Cyprus Agency of Quality Assurance and Accreditation in Higher Education**. The certification procedure is provided under the Quality Assurance and Accreditation in Higher Education and the Establishment and Operation of an Agency on Related Matters Law of 2015. However, this procedure does not directly involve the certification of Universities and research organisations for gender equality.

The Cyprus Agency of Quality Assurance and Accreditation in Higher Education adopts the policy of equitable balance between men and women, as far as practicable, in the External Evaluation Committees, and in its activities. The Agency urges the Higher Education Institutions to develop policies for gender equality and for equal opportunities between women and men. Given also the key role that language plays in shaping attitudes, it also reminds that gender-inclusive language can contribute to attitudes' changing and gender equality. (Cyprus Agency of Quality Assurance and Accreditation in Higher Education, 2020)

Another organization promoting research in Cyprus is the **Research Promotion Foundation**. They also adopt the priorities of the European Research Area (Priority 4) and the Horizon 2020 Regulations (Article 16) which explicitly mention the importance of gender equality and gender mainstreaming in R&I. (Research Promotion Foundation, 2020)

Gender in research and higher education

Gender mainstreaming in research organisations and business is regulated by soft law such as the National Action Plan for Equality between Men and Women, which is approved by the Council of Ministers, hence it becomes a legal obligation in the form of secondary legislation, for the relevant stakeholders.

The current Gender Equality Plan (hereinafter GEP) is the **National Action Plan for Equality between Men and Women 2019-2023**. (Ministry of Justice and Public Order, 2019). This policy document deals with gender mainstreaming in education and research, among other areas. The GEP also refers to actions of certification of compatibility with national and European legislation on gender equality by the Ministry of Justice and Public Order for the RESTART 2016-2020 research programs, as well as the certification of corporations by the Ministry of Labour, Welfare and Social Insurance (National Gender Equality Certification Body).



Further to the national GEP, the Cyprus Pedagogical Institute developed the **Strategic Plan for Equality between Men and Women 2018-2020**. (Ministry of Education, Culture, Sport and Youth, 2018)

This Plan is targeting the area of Education and it includes **3 main targets**:

- Gender equality in the structure of the educational system (including the encouragement of Universities to develop Gender Equality Plans and gender equality actions for students and academics)
- Gender equality at In-service training
- Empowering the role of the family in promoting gender equality.

Other than the three areas mentioned above and the **certification of compatibility with national and European legislation on gender equality** by the Ministry of Justice and Public Order for the RESTART 2016-2020 research programs, there is no other specific relationship between gender equality and quality/excellence in research and/or in education identified.

Moreover, there is no explicitly [intersectional approach](#) in the presented policies.

The only available Gender Equality [Certification](#) issued in Cyprus, concerns employers and it is currently issued by the Ministry of Labour, Welfare and Social Insurance, which is the National Gender Equality Certification Body. (Ministry of Labour, Welfare and Social Insurance, 2020)

Other than the above, there is no other apparent link between national policies and practices and [funding](#) programs and GE.

[Introduction to the CAS in Cyprus](#)

The **Gender Equality Certification** was created under the project “Actions for reducing the gender pay gap”. The implementation of this project began in July 2010 and was concluded in December 2015. The Project consisted of a broad mix of measures, aiming in combating the root causes that create and sustain the gender pay gap. One of the measures was the establishment of the National Gender Equality Certification.

The National Gender Equality Certification Body evaluates enterprises as regards the incorporation, or the implementation, of best practices relating to equal treatment and/or equal pay principles in their working environment.

The ultimate goal of the National Gender Equality Certification Body is to promote equality between men and women in the workplace, which is essential for creating a fair society where everyone is equal and everyone has the opportunity to fulfil their potential. Gender equality means equal opportunities and choices, and equal participation of women and men in all areas of public and private life.

Businesses have the right to apply for two kinds of certifications: one for “**Equality Employer**”, and one for implementing a “**Best Practice**” relating to equal treatment and/or equal pay. This action is implemented annually.

Both certifications are not directly related to research and they are open to businesses, research universities and employers in general, on a voluntary basis.

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| | |
|--|--|
| <p>Good Practice Certification</p> <p>Certification</p> <p>http://www.mlsi.gov.cy/</p> | <p>2015</p> <p>National</p> <p>Department of Labour Relations Tel: +357-22803100, 22803101</p> <p>Fax: +357-22661977</p> <p>email: info@dlr.mlsi.gov.cy</p> |
| <p>Awarding body:</p> | <p>National Gender Equality Certification Body, Department of Labour Relations, Ministry of Labour, Welfare and Social Insurance</p> |
| <p>Target Audience:</p> | <p>Both Business/Others and Research and Higher Education</p> |

Overall description:

Good practice certification" refers to the application of one or more best practices. Certification is obtained by recording the parameters and evaluating the benefits of each practice in relation to always promoting equal treatment for men and women.

Validity

4 years validity with possibility to renew

Eligibility and requirements:

Eligibility

It is open to all employers.

Requirements

"The Department of Labour Relations announces an annual call for certification by companies and organizations. The company / organization submits its application, either by email or registered mail, to the Department of Labour Relations of the Ministry of Labour, Welfare & Social Insurance. Entities / organizations that have not been in violation for the past 3 years (at the time of the application) of the employment legislation can apply."

"Other information

Currently there are 54 certified Gender Equality and Good Practice Employers

Business model:

The certification was created under the project "Actions for reducing the gender pay gap". The total budget of the project was around €2 million of which 85% were from the European Social Fund and the rest of the money are provided by the state budget.

Certification process, assessment, and support:

"The applicant applies by sending (a) a statement of general commitment to promoting gender equality at all levels and procedures and (b) an Action Plan or description of good practice.

After the application, there is an on-site audit by an Independent Evaluator who prepares the Assessment Report after the audit. The application is either approved by the National Gender Equality Certification Body Board or rejected. The rejected applicants may reapply after 6 months.

There is a possibility to renew the certification and for further audits in case any corrective measures are proposed.

In cases where the business/ organisation no longer meets the criteria, the certification may be suspended."

Criteria and Indicators used:

"An Employer must adopt a good practice. Examples are provided in the Guidelines:

Education and training, flexible forms of employment, paid leave, additional facilities, staff perceptions survey, provision of childcare services, establishment of an Equality Committee in the Workplace, creation of



women workers network, mentoring, employee support programs, solving social programs and fighting sexual harassment. "

| | |
|---|--|
| Equality Employer Certification | 2015 |
| Certification http://www.mlsi.gov.cy/ | National "Department of Labour Relations Tel: +357-22803100, 22803101 Fax: +357-22661977 email: info@dlr.mlsi.gov.cy |
| Awarding body: | National Gender Equality Certification Body, Department of Labour Relations, Ministry of Labour, Welfare and Social Insurance |
| Target Audience: | Both Business/Others and Research and Higher Education |

Overall description:

Equality Employer' certification refers to the certification of an integrated system for the promotion of equality between men and women. This includes the implementation of an Action Plan by the business / organization to achieve all the objectives / criteria of the Model. In these cases, the certification is obtained if the implementation of all practices / policies outlined in the business / organization's Action Plan is documented

Validity

4 years validity with possibility to renew

Eligibility and requirements:

Eligibility

It is open to all employers.

Requirements

"The Department of Labour Relations announces an annual call for certification by companies and organizations. The company / organization submits its application, either by email or registered mail, to the Department of Labour Relations of the Ministry of Labour, Welfare & Social Insurance.

Entities / organizations that have not been in violation for the past 3 years (at the time of the application) of the employment legislation can apply."

Business model:

The Department of Labour Relations announces an annual call for certification by companies and organizations. The company / organization submits its application, either by email or registered mail, to the Department of Labour Relations of the Ministry of Labour, Welfare & Social Insurance.

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Certification process, assessment, and support:

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There is a possibility to renew the certification and for further audits in case any corrective measures are proposed.

In cases where the business/ organisation no longer meets the criteria, the certification may be suspended."



Criteria and Indicators used:

"Objectives / criteria of the certification model

To qualify as a Gender Equality Employer, a business or organization must achieve one or all the following:

(a) Comprehensive commitment to equal treatment between men and women

Businesses / organizations adopt their commitment to promoting equal treatment and equal opportunities between men and women in a formal way. The employees are informed about the Certification Procedure and the commitment is incorporated into the practices and measures applied to human resources management.

(b) Recruitment Procedures - Development

Businesses / organizations adopt and implement recruitment procedures based on the principle of equal treatment for men and women concerning, inter alia: the selection of candidates, the job description, the interview process, recruitment committees and more. In addition, promotion procedures focus on the qualifications and skills of candidates and are free of any elements that can lead to discrimination.

(c) Vocational training

Training opportunities are provided on the same terms and conditions to all employees regardless of gender, while taking into account positively any needs of women or men. Specific educational programs on gender equality and legal obligations / rights are being implemented.

(d) Evaluation - Equal Remuneration

The evaluation of staff in relation to their productivity and abilities is objective and prevents gender discrimination between employees. The evaluation of wages and benefits is determined on the same basis.

(e) Reconciliation of work with family life

Businesses / organizations implement measures to reconcile business with family obligations.

(f) Participation

The active involvement of both female and male employees is encouraged in human resources processes as well as the implementation of measures relating to equal treatment for men and women.

(g) Harassment / sexual harassment

Adopting measures to deal with harassment and / or sexual harassment in the workplace."

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CZECH REPUBLIC

[Link to references](#)

National CAS:

- **Good Practice certification**
- **Office on the Road to Equality**

Number of HRS4R awardees:

- **21 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

In the Czech Republic the national evaluation of Higher Education quality and accreditation is set by **the Act No. 111/1998 Coll**⁶³. (amended and consolidated) on Higher Education Institutions and on Amendments and Supplements to Some Other Acts (further “Higher Education Act”), as resulting from later amendments. There are two ways of quality evaluation, internal and external evaluation, and the process of accreditation.

Internal evaluation is carried out by the higher education institution (further “HEI”) itself. **It is obliged to have a quality assurance system, implement standards and methods of internal quality evaluation, preventive measures, internal directives**, etc. At least once in 5 years the HEI must elaborate a report on the internal quality evaluation which is to be updated every year reflecting progress. The report is available for HEI’s bodies, the Ministry of Education, Youth and Sports and the National Accreditation Body. The Act does not describe detailed criteria or areas of evaluation, it is usually related to the standards of accreditation (below).

External evaluation is performed by the National Accreditation Bureau⁶⁴. The evaluation is carried out upon the Minister’s initiative or in such case that the National Accreditation Bureau finds serious reasons for exceptional evaluations. Accreditation Bureau may utilize the results of an internal evaluation of the HEI (above) and any evaluation executed by a generally recognized evaluation agency.

There are **several types of accreditation** – institutional⁶⁵ accreditation, accreditation of a degree program and accreditation of the habilitation procedure and procedure for appointment of professors. There are standards for accreditation which are set by the Government Regulation No. 274/2016 Coll.⁶⁶ on standards for accreditation in higher education.

Within these evaluative processes there are **no gender equality criteria** explicitly mentioned/evaluated.

⁶³ <https://www.nauvs.cz/attachments/article/132/The%20Higher%20Education%20Act.pdf>

⁶⁴ <https://www.nauvs.cz/index.php/en/>

⁶⁵ By an institutional accreditation the higher education institution becomes authorized to independently create and implement a certain type or types of degree programme in determined fields of study.

⁶⁶ <https://www.nauvs.cz/attachments/article/132/Government%20Regulation%20No.%20274-2016%20Coll.,%20on%20standards%20for%20accreditation%20in%20higher%20education.pdf>



The national evaluation of research quality is mainly based on the *Methodology for Evaluating Research Organizations and Research, Development and Innovation*⁶⁷ whose general framework version was approved by the Czech government in 2017. In 2020 the first complete evaluation will be carried out, to take place every 5 years.

The Methodology has 5 modules/areas⁶⁸:

- **M1** – Quality of selected results;
- **M2** – Efficiency of research;
- **M3** – Social relevance;
- **M4** – Viability;
- **M5** – Strategy and Policies.

The evaluation within the system is performed on three levels⁶⁹:

- evaluation for the management and funding of the complete R&D&I system – the central/national level – the Research & Development & Innovation Council / the Section of Research, Development and Innovations, the Office of the Government of the Czech Republic (the “RDI Section”) – **M1 and M2**
- evaluation at the provider level – **M3, M4 and M5**
- evaluation needed for the management of a RPO.

There are three segments of RPOs:

- universities (evaluation of M3-5⁷⁰ is performed by the Ministry of Education, Youth and Sports)
- institutes of National Academy of Science (Academy performs its own evaluation)
- departmental RPOs (evaluation performed by relating Ministry).

Module 1 and 2 are evaluated on the national level by R&D&I Council and is the same for all RPOs. Modul 3-5 have specific content and criteria are adapted for various RPOs.

Gender equality is explicitly mentioned/evaluated in Modul 4 for universities/HEI and RPO’s under the Ministry of Education, Youth and Sports⁷¹. Gender equality is one of the 28 indicators within this module. Each university writes a self-evaluative report according to the approved indicators. The Ministry checks it formally and after that it is sent to peer review by international experts (minimum 7). The experts go through the report and perform an onsite visit. Subsequently, the panel of the experts create a final report.

The indicator on gender equality:

4.18 Gender equality measures

The university shall provide a concise description of measures concerning the implementation of gender equality in the areas required for evaluation criteria 4.14 (system of career advancement), 4.15 (evaluation of employees) and 4.16 (recruitment), highlighting the career advancement, the recruitment, filling decision-making positions (including gender equality in decision-making positions),

⁶⁷ <https://www.vyzkum.cz/FrontClanek.aspx?idsekce=695512>

⁶⁸ The modules are described in detail in the Methodology.

⁶⁹ The Methodology is focused especially on the national level and on the level of the providers.

⁷⁰ <http://www.msmt.cz/vyzkum-a-vyvoj-2/dokumentace-k-realizaci-hodnoceni-vyzkumnych-organizaci-v>

⁷¹ Gender equality was not found within the evaluative process of others RPOs.



nominations to professional bodies, the evaluation system and remuneration. It also describes work life balance measurements (flexible working hours, flexible forms of work, management of maternity / parental leave, facilitating child care and care for family members, age management in relation to gender) and measurements to eliminate negative behaviour in the workplace such as mobbing or sexual harassment.

Gender in research and higher education

The most important strategic document on gender equality in the Czech Republic is the **Government Strategy for Equality of Women and Men in the Czech Republic for 2014 – 2020**⁷² (now the new one is in the preparation). One of its strategic areas is Education, Research and Gender Equality in Knowledge Society.

The **identified problems** are:

- Horizontal and vertical gender segregation in educational system.
- Imbalanced representation of men teachers and women teachers in various levels of educational system.
- Unfair conditions and treatment of girls and boys during the process of education.
- Insufficient acknowledgment of gender problems in curriculum and lessons.
- Low representation of women and low possibility of their professional assertion in research, science and innovations. Insufficient inclusion of gender perspective in the creation of scientific knowledge and innovations.
- Sexual harassment in school facilities.

The Strategy implies several measures mostly on general level (pp. 20-21).

Another important document, rather analytical, is the **State of Gender Equality and Proposal for Mid-Term Strategic Plan in Gender Equality within the Remit of the Ministry of Education, Youth, and Sports**⁷³. As to gender equality in research, it sums up the actual state and stresses few problems as vertical and horizontal segregation, gender pay gap, not enough work-life balance measures and not enough attention to gender dimension in research content.

It is crucial to mention **two most important national strategic documents within higher education and research** which are: *Long-Term Strategy in Educational, Scientific, Research, Developmental and Innovational, Artistic and other Creative Activities in Higher Educational Area 2016 - 2020*⁷⁴ (further "Strategy HEA"), and the *National Policy for Research, Development and Innovations 2016 - 2020*⁷⁵. The former does not reflect gender equality, but its every year action plans (2019 and 2020) include

⁷² https://www.vlada.cz/assets/ppov/rovne-prilezitosti-zen-a-muzu/Projekt_Optimalizace/Government_Strategy_for-Gender_Equality_2014_2020.pdf

⁷³ <http://www.msmt.cz/file/31791?highlightWords=m%C5%A1mt>

⁷⁴ http://www.msmt.cz/uploads/odbor_30/Jakub/DZ_2016_2020.pdf

⁷⁵ <http://www.msmt.cz/vyzkum-a-vyvoj-2/narodni-politika-vyzkumu-vyvoje-a-inovaci-ceske-republiky-na>



measures for enhancing gender equality (below). The latter mentions efforts to increase number of women in science and frame it within the human resources topic, work-life balance.

In January 2018 the Czech government approved **Action Plan for Development of Human Resources in Research, Development and Innovations and of Gender Equality in Research, Development and Innovations in the Czech Republic 2018 – 2020**. According to the Action plan gender equality and diversity is one of the important aspects of development of human resources in research. It says that to be able to use full potential of researchers it is necessary to eliminate gender stereotypes and create equal and fair conditions for scientific work, also appropriate conditions for work-life balance. Good quality of human resources is necessary for excellent research and it is necessary to effectively use potential of women. The Action plan sets measures especially for decreasing gender segregation of educational/career paths, initiating institutional and cultural change and increasing gender balance in mobility.

From September 2017 till March 2020 the Ministry of Education, Youth and Sports run a **project called Gender Equality at the Ministry of Education, Youth and Sports** which was focused on institutional and cultural change and implementing gender mainstreaming in policy making within the Ministry. Most of the concrete measures below were imposed during the project. **One of the project activities was creating a ministerial internal strategy for enhancing gender equality for the next 3 years** (it is in the process of approval).

Concrete measures for gender equality

Strategic documents

Action Plan of the Strategy HEA for 2019⁷⁶

- Ministry is supposed to organize a seminar for universities on institutional and cultural change (it was held in April 2019)
- Universities are supposed to launch institutional and cultural change, to implement measurements to eliminate sexual harassment

Action Plan of the Strategy HEA for 2020⁷⁷

- Universities are supposed to implement measures to promote gender balance in decision-making positions.
- In relation to RRI universities are supposed to implement gender dimension in research content if relevant.

Finances

There is a link between the policies above and few funding instruments/programs

- *Centralized Developmental Program in 2019 and 2020⁷⁸* included activities on institutional and cultural change which universities could launch and get funding for.

⁷⁶ <http://www.msmt.cz/vzdelavani/vysoke-skolstvi/dlouhodoby-zamer>

⁷⁷ <http://www.msmt.cz/vzdelavani/vysoke-skolstvi/dlouhodoby-zamer>

⁷⁸ <http://www.msmt.cz/vzdelavani/vysoke-skolstvi/rozvojove-programy-3>



- Operational Program Science, Research and Education - EU

Supporting RPOs to get HR AWARD and launch institutional and cultural change⁷⁹.

Methodological support

- Employees at the Ministry get training on gender equality in research and science.
- Ministry organizes trainings for universities on different topics related to gender equality – so far there was a seminar on sexual harassment⁸⁰ and institutional and cultural change.

Women in Science AWARD - Cena Milady Paulové⁸¹

- Since 2009 the Ministry in cooperation with the Centre Gender and Science⁸² have launched the Milada Paulová award for women in science. Similar award is also launched by L’Oreal, called For Women in Science⁸³
- The Ministry has its own Working Group for Gender Equality which is the ministerial advisory body.

There are **two national research funding organizations**, Grant Agency of Czech Republic (further “GACR”) and Technological Agency of the Czech Republic (further “TACR”).

GACR funds basic research. It has no gender policy implemented. What the agency does is that it considers maternal and parental leave⁸⁴ within the evaluation process.

TACR funds applied research. It has implemented gender policy⁸⁵ within the internal environment of the agency and its processes and, within few funding programs. As to the internal environment, e.g. it declares the commitment to gender equality values (on its website) and it created a Gender sensitive communication manual. Also, it applies gender equality criteria within few funding programs, especially in the one called Zéta⁸⁶. It evaluates the quality of the environment of the RPO from the perspective of gender equality, gender balanced research teams and in the last call, there was added criteria considering gender dimension in research content.

⁷⁹ <https://opvvv.msmt.cz/vyzva/vyzva-c-02-18-054-rozvoj-kapacit-pro-vyzkum-a-vyvoj-ii.htm>

⁸⁰ <http://www.msmt.cz/vzdelavani/vysoke-skolstvi/videozaznam-seminare-sexualni-obtezovani-na-vysokych-skolach-1>

⁸¹ <http://www.msmt.cz/vyzkum-a-vyvoj-2/cena-milady-paulove-2019>

⁸² <https://genderaveda.cz/en/gender-and-science/>

⁸³ <https://www.loreal.cz/csr-projekty-%E2%80%93-spole%C4%8Densk%C3%A1-odpov%C4%9Bdnost/l'or%C3%A9al-%E2%80%93-unesco-pro-%C5%BEeny-ve-v%C4%9Bd%C4%9B/2019-cz>

⁸⁴ https://gacr.cz/wp-content/uploads/Orienta%C4%8Dn%C3%AD-pr%C5%AFvodce-mate%C5%99stv%C3%ADm-a-rod%C4%8Dovstv%C3%ADm-v-zad%C3%A1vac%C3%ADch-dokumentac%C3%ADch-poskytovatele.pdf?fbclid=IwAR22skEi60czytcq1No2k9NSdRdIW7S0WcQrAhXxwqMvGz1hWXI39Cv_c7c

⁸⁵ https://www.tacr.cz/dokums_raw/urednideska/gender_policy.pdf

⁸⁶ For more details about gender equality criteria in the Zéta program, please look at the uploaded document called: R&D programme ZETA Gender-Matrix: framework for promotion of gender equality and career development of young researchers.



There are only few measures and provisions referring to awarding, certification or accreditation.

There is one measure which refers to evaluation of the quality of the research. It is the above-mentioned criteria within the *Methodology for Evaluating Research Organizations and Research, Development and Innovation* for the higher education area. And measures applied by TACR which positively evaluate organizations holding HR AWARD or other awards relating to good quality of the environment, including gender equality, in particular programmes.

Mentioned measures do not apply an intersectional approach. At the moment the focus is primarily on gender equality considering that this topic has been more intensely dealt with since 3 years.

Introduction to the CAS in Czech Republic

There are **no CAs in higher education and research on institutional level** in the Czech Republic. There are only **awards for women in science** on the national level (Milada Paulova Award, L'Oréal award For Women in Science), **gender policies** of the Ministry of Education, Youth and Sports and Technological Agency of the Czech Republic, or particular activities promoting gender equality in research and science as projects on institutional and cultural change at two RPOs, stipends for parents, awards for student's thesis implementing gender perspective, campaigns for promoting IT for girls etc. Also, there is a National Contact Center – Gender and Science within National Academy of Science which is very active in promoting gender equality in HEI and research in the Czech Republic.

As to CAs in non-profit, public sector or business, there is only one active award carried out by the Ministry of Interior in cooperation with the Institute for Public Administration Prague called Office on the Road to Equality (Úřad na cestě k rovnosti). It has been organized every year since 2007.

Also, there is one award which was run by a non-profit organization Gender studies, o.p.s. called Firm of the Year – Equal Opportunities (Firma roku – rovné příležitosti) from 2004 to 2016.



1. Does the embedding of gender equality in the national evaluation system foster widespread adoption of gender equality policies by Research Organizations/Universities? (also with regard to the integration of the gender dimension in research content)?

2. The fact that gender equality seems to be embedded in the national evaluation system of research quality could make a CAS on gender Equality less relevant in the Czech Republic or hinder its potential uptake?

Gender equality has been embedded in the Czech national policies within higher education and research more extensively for the last two and half years. Gender equality was mainstreamed to some extent into monitoring tools, strategic documents, evaluation system and funding. Taking into consideration the pace of implementing these kind of changes – meaning the fact that usually measures are introduced one year and their implementation starts the next year, and also the retrospective way of monitoring, there is not much strong evidence yet to evaluate the impact of those measures. However, some preliminary impact can be discussed.

In 2016 the Ministry of Education, Youth and Sports (further “MEYS”), opened a call to support research performing organizations to develop their human resources processes and to obtain HRS4R AWARD. This call was launched within the Operational Programme Research, Development and Education. So far there are 16⁸⁷ institutions which have received HRS4R AWARD in the Czech Republic, 15⁸⁸ out of them got funding from MEYS within the programme. This means that the funding played an important role in initiating the process of obtaining the award.

Based on the action plans (HRS4 AWARD) available online it is possible to find out how gender equality has been considered even if 80 % of them were submitted in 2018 or at the beginning of 2019, so probably they will not be influenced by the taken measures much. What is interesting to mention is that there could be seen some slight differences among those which submitted the action plans in 2018 and at the beginning of 2019 (further “2018 group”) and those which did so from June 2019 (further “2019 group”). All (4) institutions in 2019 group are going to apply actions on enhancing gender equality which include creation or mainstreaming of internal directives and describe concrete actions. In comparison to 2018 group in which 25 % of institutions do not mention any planned actions on gender equality at all and other 25 % mention rather analytical or declaratory actions.

Further, based on the monitoring gender equality within public universities which has been in place since 2017, there could be seen a progress between 2017 and 2018 when several universities implemented some new directives or mainstreamed the existing once, or held some seminars (there were applied some measures dealing with sexual harassment at the end of 2017). However, the impact of measures on structural and institutional change implemented in 2018 will be possible to start to evaluate in 2019 reports⁸⁹ which will be available this summer (2020). So far in relation to gender equality universities have reported especially the implementation of work-life balance measures and/or receiving HRS4R AWARD.

Although only monitoring in the next years will provide strong evidence of the impact of the applied measures, it seems like there could be already seen a slight progress in dealing with gender equality at the Czech RPO’s.

Another question is why there has not been a CAS on gender equality yet. In my opinion (based on my expertise) there are few reasons which could potentially explain that. Firstly, one of the very relevant reasons is that the last two and half years the MEYS has focused on mainstreaming gender equality prioritizing to implement it in measures as monitoring tools, strategic documents and its action plans, evaluation system, funding or organizing seminars for representatives of universities. It was a huge progress in comparison with previous years.

⁸⁷ To put it into the context, MEYS register 222 RPO’s at the moment. Those are 26 public universities, 2 state universities, 33 private universities, 56 institutes of the Czech National Academy of Sciences, and more than 100 research organizations, institutes. The ones which received HRS4R AWARD are 10 public universities, 5 institutes of the Czech National Academy of Sciences and one research institute. It is also important to mention that among those 10 public universities, 6 received the award as the whole institution, 4 received the award for only some of their faculties. Also, in 2019 there was launched a similar call within the Operational Programme so it is highly probable that there will be soon some other institutions applying and hopefully receiving this award.

⁸⁸ The one institution which did not apply for the funding in that call was participating in the project EGERA.

⁸⁹ These reports are available online, they could be found at the websites of each university.



Secondly, other reason could be so called “saturation” with various already existing awards in research. There are quite a few awards in research excellence. Also, in 2019 a new award recognizing the educational role of universities was established – award for teaching excellence. And moreover, in 2009 an award for women in science called Milada Paulova’s award was founded. This award is launched by the MEYS in cooperation with the National Contact Centre - Gender & Science. Every year a female scientist in a different field is awarded. Also, it is possible that it is partly perceived as an award which (already) enhances gender equality by supporting female scientists, making them more visible and so motivating girls and women to pursue academic career.

Finally, it is probable that the existence of HRS4R AWARD has played its part too. Why? First of all, gender equality at the national level is framed within human resources area which is stressed e.g. by the *Action Plan for Development of Human Resources in Research, Development and Innovations and of Gender Equality in Research, Development and Innovations in the Czech Republic 2018 – 2020*⁹⁰ which was approved by the Czech government in January 2018. Further, gender equality is one of the areas evaluated through HRS4R AWARD. It could mean that if an institution applies for the award and receive it, it is presumed that obtaining and keeping the award gender equality is enhanced and awarded somehow. This is also supported by the fact, that while reporting on gender equality, universities mention receiving HRS4R AWARD. All these mentioned reasons may make an impression that no other award is urgently needed.

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⁹⁰ The Action plan mentions HR AWARD as a tool to motivate RPO’s to deal with human resources and recommends to RPO’s to obtain it while providing the support from the Operational Programme. <https://www.msmt.cz/vyzkum-a-vyvoj-2/akcni-plan-rozvoje-lidskych-zdroju-pro-vyzkum-vyvoj-a-1?source=rss>



| | |
|---|---|
| Firm of the Year – Equal Opportunities | 2004 - 2016 |
| Award | National |
| http://rovneprilezitosti.ecn.cz/cz/rocnik?als[ROK]=2016&als[PHL]=2749 | Josef Vošmik, josef.vosmik@genderstudies.cz |
| Awarding body: | Gender Studies, o.p.s. |
| Target Audience: | Both Business/Others and Research and Higher Education |

Overall description:

It is an award for companies/firms/public sector entities or educational institutions that put into practice the perspective of equal opportunities and thus set this trend in human resources area. In more detail, it is eligible for any firm or organization active in the Czech Republic that demonstrates the quality of its employment policies and programs in the field of equal opportunities with a focus on diversity in the workplace, not only with regard to gender but also other circumstances such as age, skin colour, origin, religion, health, sexual orientation and identity, etc. In general, the award deals with the equal opportunities, however every year one of the area was stressed, e.g. work-life balance, women's career growth or diversity. The award was provided for the actual year and usually 3 - 4 firms were awarded.

Validity

It is an award for the activities during the particular year but with possibility to reapply.

Eligibility and requirements:**Eligibility**

Employer - firm, public administration entity, NGO, educational institution, etc. which operates in the Czech Republic and respects rules/guidelines of the award (they are available online).

Requirements

Fill in a questionnaire, be willing to be interviewed or be asked for some additional information, be able to proof the functionality of the gender equality measures which are in place, provide some marketing materials, leaflets if available (they should proof respecting gender equality) and pay registration fee if demanded in the particular year"

Other information

Every year there were 3 firms awarded plus there was an option for giving one special/extra award. The names of awarded firms are available online. The number of applicants is not available online and this information was not provided by the contacted person.

Business model:

Mostly it was funded within subsidies - e.g. projects from Operational programs (EU funding, ministerial funding), partly by sponsorships or during some years there was also a registration fee (in 2016 it was about 3600 CZE, about 140 EUR). Resources are used for the organization of the award, there are no financial awards for awarded firms.

Certification process, assessment, and support:

The assessment process has two rounds. The assessment is anonymous, the identification parts are erased from the questionnaires (or other assessed documents too). In the first round, the filled questionnaires and other sent documents (optional) are evaluated by an internal team of the Gender Studies, o.p.s. Each question in the questionnaire has its interval of possible amount of points (based on the importance of the question), these intervals of the points are the same for both rounds. The innovative approach, active support of diversity and applicability of measures into other firms are stressed. Chosen firms continue into the second



round, where they are assessed by a committee of at least 5 external experts. The committee is nominated by Gender Studies, o.p.s. Again, they assess the filled questionnaires according to the same criteria as in the first round. In the second round an interview with the firms can be launched - it is optional (it is applied with all firms in the second round or with none). Each expert makes an order of three firms which got the most points and write a short explanation. Based on the orders from all 5 experts the final order of three awarded firm is made.

Each registered firm which was accepted for the evaluation will receive a written evaluation of its programs on promoting equal opportunities of women and men and, if interested personal consultations will be provided. This support is an integral part of the award and is free of charge.

Criteria and Indicators used:

Each question has its own interval for possible amount of points, which is an internal information - it is not online and also, it was not provided by the contacted person. Most of the questionnaire is the same every year but several questions are different because in some years the award was specifically focused on a topic, e.g. work-life balance, diversity or women's career growth. The first part is focused on mapping a firm's environment - e.g. values, gender balanced teams or balance according to age, ethnicity etc, balance in decision-making positions, applying equality within recruitment or firing employees. The second part deals with work-life balance measures. The third part is specific for that year - 2015 women's career growth - programs for parents getting back to work, ways to keeping contact with parents on parental leave, measures on supporting women's career growth, measures on enhancing gender balance in decision-making positions; 2016 diversity - diversity in public relations, support of different minorities, existence of gender focal point position, career growth plans. The fourth part is asking about gender pay gap - if the firm has a policy. The questionnaire has about 20 questions. At the end the firm can add other relevant information.

Gender, diversity, and excellence:

On the main website of the award is mentioned intersectionality - it says that the policies or measures which are evaluated are not only about gender but also about age, skin colour, ethnicity, health, sexual orientation or identity etc



Office on the Road to Equality 2007

(Úřad na cestě k rovnosti)

Other

<https://www.mvcr.cz/clanek/urad-na-ceste-k-rovnosti.aspx>

National

Eva Ferrarová, E.Fer@institutpraha.cz

Awarding body:

Ministry of the Interior, in cooperation with the Institute for Public Administration Prague

Target Audience:

Public Administration

Overall description:

The Office on the Road to Equality is an award which has supported the implementation of the gender equality policies and the principles of gender mainstreaming into the work of public authorities since 2007. According to the award organizers each public administration office should incorporate into its activities governmental priorities to promote gender equality in at least two areas: within the internal processes of the office, e.g. towards their employees, and also with regard to the population, which is in the given administrative territory. It is focused on the work-life balance and examples in best practices in area of equal opportunities but also, every year a topic is stressed, e.g. last year it was public space safety for women and men. Every year 9 offices are awarded.

There are 3 categories - offices of municipality type I, offices of municipality type II and III and regional offices (the types are based on the different types of cities, towns and regions there are in the Czech Republic, the types of the municipality depends on their powers/authority in the system.

Validity

It is an award for the activities during the particular year but with possibility to reapply.

Eligibility and requirements:

Eligibility

Public administration office on regional or municipal level

Requirements

the questionnaire has to be filled in and sent

Other information

Names of awarded offices are available online. Every year there are awarded 3 offices in each category (municipality type I, municipality type II and III, region). The number of applicants are available online only for few rounds (years) of the award. E.g. in 2016 there were 98, in 2017 only 32.

Business model:

There are no special resources, the award is organized by the employees of the Institute and the Ministry, the evaluation committee is not paid, and the offices get "only" a certificate. Some organizational fees are paid by the Ministry or the Institute from their resources.

Certification process, assessment, and support:

There is a working group which sets the topic of the year and creates/edits the questionnaire. The applicant has to fill in the questionnaire. There are two types of questionnaires, one for the municipalities type I and one for municipalities type II and III and regions. The Ministry in cooperation with the Institute choose between 10 and 15 independent evaluators who evaluate the filled questionnaires. There is a yes/no part of the questionnaire (yes/no - 1/0 points) and there is an open question part which has a given interval of possible points and the evaluators assess it according to their expertise. The points from the evaluators for each applicant are summed and divided by the number of evaluators. The 3 applicants in each category with the most amount of points are awarded.

Criteria and Indicators used:



The municipalities type I questionnaire has only one open question (narrative report) asking about what the applicant has managed to do to enhance equal opportunities of men and women and what else it could be done to improve the equality. The municipalities type II and III and regions questionnaire asks about number of men and women working in the office, and also their distribution in decision-making positions. Then there are 5 yes/no (1/0 point) questions: if the office has set some goals in relation to equal opportunities for men and women, if those are mentioned in some directives or internal documents, if the training in equal opportunities is provided to employees, if the offices provides described work-life balance measures to its employees (e.g. flexible working hours, remote working, child care, etc) and some services to its clients. The last question is open and it is the same like the one in the questionnaire for the municipalities type I (above).

Gender, diversity, and excellence:

On the award website it is mentioned that each office of the public administration should implement the governmental priorities relating to equal opportunities of men and women. There is no explicit reference to intersectionality. It is implicitly mentioned that an office which implements the perspective of equal opportunities is seen as being a good quality working environment.

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DENMARK

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| | |
|----------------------------------|----------------------|
| National CAS: | // |
| Number of HRS4R awardees: | • 3 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Public research in Denmark is carried out mainly at the universities. Danish universities have four core tasks: research, education, dissemination and knowledge exchange with society as well as providing research-based governmental service.

Basic **funding** for research is a cornerstone of the funding of Higher Education (HE) research efforts. Basic funding for research is distributed by the state to the universities in Denmark and amounts to approx. 9 billion DKK annually of which approx. 13 percent in 2019 was redistributed through the so-called “performance-based” mechanism. The current **performance-based mechanism** distributes basic funding for research among universities, based on (i) educational activities, (ii) number of graduate PhDs, (iii) external research funding and (iv) research publications produced at individual universities. The performance-based mechanism rewards HE institutions for the number of publications and depending on the level of publications as defined based on a list that the ministry provides where journals and publication houses are ranged at different levels. (level 1 being the lowest, level 2 the highest and level 3 the exceptional, including journals such as Science, Nature, etc.). This system is a revised version of the Norwegian national performance-based scheme.

The universities are primarily financed through three sources:

- Basic funding for research, block grants (30 percent)
- Educational block grants (32 percent)
- External research funding (26 percent).

The last approx. 12 percent of revenue comes from grants from sector research, research-based government services, etc. (Fremtidssikring af forskningskvalitet Ekspertudvalget for resultatbaseret fordeling af basismidler til forskning Marts 2019, Ministry of Higher Education and Science). **Gender Equality is not part of the criteria** used in the evaluation of research.

The **Danish accreditation system** involves universities, university colleges and academies of professional higher education as well as art and maritime education institutions. The system was established in 2007 to enhance education institutions’ efforts to develop programmes of an ever-increasing academic quality and relevance.

With the **Accreditation Act of 2013**, the system gradually switched from accreditation of individual programmes to accreditation of entire education institutions. During a transitional period, there will continue to be accreditations of existing and new programmes offered by education institutions, which have not yet obtained a positive institutional accreditation.

All higher education institutions follow the same model for institutional accreditation. The model provides the individual institution the **freedom to organise its own quality assurance**, as long as the system lives up to the five criteria for quality and relevance laid down in the ministerial order. In relation to this, the system is expected to reflect the individual institution, be anchored at



management level and support an inclusive quality culture. This means that it **is not enough only to fulfil the criteria on paper**. The institution must also show that its system works in practice and ensures the quality and relevance of programmes before, during and after institutional accreditation.

The accreditation procedure involves the following stakeholders: the **Accreditation Council**, where the students have two representatives among the nine members; and the **accreditation panels**, set up to perform the accreditation process. The Accreditation Institution appoints the members of the panel in such a way as to ensure that they collectively cover the areas listed below:

- expertise in quality assurance at institution level,
- expertise in the higher education sector in general,
- knowledge of relevant labour market conditions,
- national as well as international experts,
- student representation.

When accrediting an existing programme or an education institution, the accreditation panel always visits the institution to interview management, teachers, quality-assurance employees, potential employers of graduates and other relevant stakeholders. Moreover, the panel interviews the students at the institution about their experiences with quality assurance. The Accreditation Council makes decisions on accreditation on the basis of an accreditation report and a recommendation which is based on the accreditation panel's analysis and assessment of the education institution's quality assurance.

In institutional accreditation, the institution must document its quality assurance system and work, on the basis of five criteria and their elaborations laid down in the ministerial order on accreditation. Criteria 1 and 2 cover the overall framework for quality assurance at the institution. Criteria 3, 4 and 5 focus on how quality assurance in practice ensures the knowledge base, academic level, content and relevance of programmes.

1. Quality assurance policy and strategy
2. Quality management and organisation
3. Programme knowledge base
4. Programme levels and content
5. Programme relevance (for the labour market)

The institutional accreditation is based on a holistic assessment of the individual criteria and across criteria.

Gender equality is not considered as a criterium or mechanism in the accreditation of institutions of higher education. However, there is an ongoing discussion and some considerations about how to include gender as a parameter in the accreditation.

Gender in research and higher education

In the Danish research sector, there is **not a comprehensive and persistent plan for achieving gender equality** in higher education or in relation to research funding. However, in Denmark, the **largest organizations** (i.e. institutions and companies with 50 employees or more, which includes all Danish HE institutions) are since 2013 **required to set targets, design policies, and report** yearly on progress



towards gender parity in top management and executive boards. Targets are defined by the individual organization and are **not legally binding**, i.e. no sanctions apply in case of non-compliance (Kalpazidou Schmidt 2019).

Thus, every second year ministries and state institutions or state companies with more than 50 employees are obliged to provide a review or statement on the current status of GE, containing information on GE policies (if such policies are in place), gender composition of employees, and other relevant information about the evaluation of current initiatives promoting gender equality. There are no consequences or sanctions in cases where organizations or companies do not meet the targets for the underrepresented sex. However, if organizations or companies do not follow the regulations concerning reporting on the targets that they have set up and why they have not reached the goal, they risk receiving a **financial penalty**. This has though not been implemented until now (Kalpazidou Schmidt 2019, Institut for Menneskerettigheder 2016).

Gender equality is usually framed as benefitting by tapping all talent in research, and in economic terms. Gender equality issues in academia are addressed with arguments related to globalization, competition and talent, innovation and quality. Gender equality is rarely linked to education (56 percent of students are women). When it is linked to education, it is mainly addressed in terms of lack of women in STEM.

The main problems identified in research are related to the leaky pipeline and the lack of women at the professor level, in particular regarding some scientific fields (mainly in STEM).

The **key approach** to address gender inequality has been the **gender mainstreaming** as described above (setting targets, designing policies and reporting). It is up to the institutions to design policies and implement them, and there are no sanctions in case of non-compliance. However, **all HE institutions have gender equality policies** but the issue is prioritized differently and the process is very slow.

Certification schemes

There are no permanent **rewards or certification schemes**. There have been **stand-alone initiatives targeting individual women**, i.e. programmes encouraging female researchers to apply for project funding. Within the past decades, the Ministry of Higher Education and Science initiated three affirmative action programmes, i.e. **FREJA (1998)**, **YDUN (2014)** and a recent program, **Inge Lehmann**, targeting women researchers (2020). All programs aimed directly at encouraging more women to apply for research funding across all academic fields, in order to become research leaders, thus promoting a more balanced gender composition in Danish research.

The latest program **Inge Lehmann** (2020) has limited resources (19,7 mil DKK) and targets also individual researchers. 63 women and 13 men have applied for funding (the total amount applied for has been approx. 325 mil DKK).

In 2013, the **YDUN programme** (Younger women Devoted to a University career) was initiated by the DFF, the Danish Council for Independent Research, in order to promote the share of female researchers and support their possibilities for funding. A total of DKK 110 million (USD 16 million) was provided for 17 female researchers in Denmark in the year of 2014 (Institut for Menneskerettigheder 2016, Danish Ministry of Higher Education and Science 2015). However, the YDUN programme received a lot of negative response both from male and female researchers.



In December 2014, the minister for Higher Education and Science appointed a **Taskforce for More Women in Research**⁹¹. In their recommendations, the taskforce members stated that a lack of gender equality initiatives in HE would result in equal gender composition among professors not being achieved until the year 2064 (Danish Ministry of Higher Education and Science 2015). However, when it comes to the initiation and implementation of actual policies, Denmark is not at the forefront. A report by DFiR, the Danish Council for Research and Innovation Policy, providing an international perspective of gender equality challenges in research, states that the adoption of gender mainstreaming strategies in research is not a prioritised strategy (Danmarks Forsknings- og Innovationspolitiske Råd 2015).

In 2016, the minister for Higher Education and Science, and the head of the Universities Denmark (Danske Universiteter) agreed on initiating a “**national talent barometer**”, providing information on the current status of the gender composition among researchers at the universities in Denmark. It was stated that the minister and the universities would meet once a year to discuss the progress as to gender equality, which has not been the case.

There is no **intersectional approach** in the Danish framework. There is though a mainstreaming approach and an antidiscrimination law that considers all minorities.

The national policies do not make a link between **funding** and gender equality. The **antidiscrimination law prevents policy targeting one sex**. The above-mentioned gender equality programmes (FREJA, YDUN, and Inge Lehmann) have either to have a dispensation from the law or allow also men to apply for the funding of research projects. The overall approach is that gender equality could support tapping all talent and thus avoid losing human and financial resources. PhD training is funded by the state and is thus, seen in economic terms, an expensive investment that must be exploited.

Taking a closer look at the national policy framework and the promotion of gender equality in universities and other research institutions, it is obviously important to consider the developments in the overall research funding mechanisms besides the affirmative action programmes that the Danish Parliament and the Ministry of Higher Education and Science have initiated (through the DFF), i.e. the ad hoc research-funding programmes discussed above (**FREJA, YDUN and Inge Lehmann**).

In this connection, it is important to mention the **research-funding programme** of the Danish Council for Independent Research, “**Sapere Aude: DFF-Starting Grant**” (2010-ongoing) aims at having top research positions filled with an equal number of men and women. Sapere Aude is aimed at providing excellent younger researchers, i.e. researchers who have carried out top class research in their field, with the opportunity to develop and strengthen their research ideas. The instrument also aims at promoting the mobility internationally as well as nationally among research environments, and thereby to strengthen networks and careers. Sapere Aude is targeted at top researchers who intend to gather a group of researchers and/or research students, to carry out a research project at a high, international level. Female researchers were explicitly invited to apply for grants when the programme was launched. However, there are not actual measures supporting gender equality linked to this programme (except for an element in the programme considering paternity/maternity leave). Despite the fact that for applications seeking support for research groups or collaborative projects the DFF requires that the applicant accounts for his/her considerations for the gender composition of the research group or collaborative team, gender is not considered as a criterion in connection with

⁹¹ For the other recommendations by the taskforce, see “Recommendations from the Taskforce for More Women in Research, April 2015” (Danish Ministry of Higher Education and Science 2015).



funding decisions. Thus, the actual gender composition of the group is not factored into the assessment of the applications.

Finally, even though it is funded by a private foundation, it is worth referring to the [earmarked research funding for women](#) by the **Villum Foundation**: the **Villum International Postdoc Programme**.

This programme (2019-2023) aims to support the advancement of talented postdoc women in international research careers. Focusing in technical and natural sciences, the competitive programme promotes internationalisation, as applicants must plan a one or two-year stay abroad, followed by the return to their respective Danish research institution. Applicants must be recommended by the faculty and department of their universities. VILLUM FONDEN has earmarked DKK 15 million a year for the length of this programme.

In addition to the above mentioned programme, there is a Villum Foundation scheme, i.e. the [Villum Experiment Programme](#) that supports innovative ideas in their early phase. The programme is funded through a process of assessment of applicants that are anonymous to the reviewers. A total of DKK 100 million has been allocated for the programme in 2020.

Introduction to the CAS in Denmark

There is **no specific public/national CA gender equality scheme** in research in Denmark, only sporadic initiatives to fund individual researchers, as described earlier. However, based on the **gender mainstreaming approach** introduced in 2013, there is a reporting scheme provided by the Ministry of Equal Opportunities to gather information about developments, gender equality policy and targets, and how to achieve them. The scheme is very **generic** and often seen by the organisations as a **box-ticking exercise**, results are not followed up/discussed, and no sanctions or penalties are linked to the scheme. The institutions/organisations have to report on the following:

- (1) The gender composition of the top management body / board
- (2) target figures for the underrepresented gender on the top management body/board
- (3) When the target figures are going to be achieved and how
- (4) Developments and why the targets not have been achieved
- (5) Gender composition policies at the other management levels.

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ESTONIA

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| | |
|----------------------------------|---|
| National CAS: | <ul style="list-style-type: none"> • Family-friendly Employer Label • Diversity Charter |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 0 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

There are number of legal mechanisms and institutions involved in the national evaluation of research quality.

Of the relevant institutions, there is the **Estonian Research Council**⁹². The Council has an Evaluation Committee comprising of up to 15 recognised researchers in various fields of research and development, which consistently, professionally and independently assesses applications for research funding.

Estonian Research Council has participated and represented Estonia in various working groups at the European Union level helping to monitor the situation of women researchers and to prepare gender policy proposals for the governments at member states: Science Europe gender and diversity working group, COST TN1201 Gender STE and Helsinki Group on Gender in Research and Innovation. Estonian Research Council has also organized events on gender mainstreaming.⁹³

Of the legislative side, the **Organisation of Research and Development Act**⁹⁴ provides the grounds for the organisation of research and development and to ensure legal means for the preservation and further development of scientific and technological creation as a component of Estonian culture and the Estonian economy. § 20 of the Act states that Evaluation means external evaluation of research and development which is carried out either as a regular evaluation for assessing the level of the corresponding field of research and development at a research and development institution or as a targeted evaluation for developing the research policy and for obtaining the information necessary for organisation of research and development.

And finally, there exists a governmental development plan, called **Estonian Research and Development and Innovation Strategy 2014-2020 “Knowledge-based Estonia”**⁹⁵, which was initiated by the Ministry of Education and Research in 2012. It aims at addressing some country-specific recommendations in the field of R&D, including monitoring that equal opportunities, incl. gender balance, be ensured when filling positions, allocating grants and forming decision-making bodies.

In Estonia, an educational institution may provide instruction on the level of higher education study and issue diplomas and academic degrees if it has been issued the right by the **Government of the Republic**⁹⁶. Since 1 January 2012, higher education level study may be conducted only in case the Government of the Republic has granted the right to conduct studies in an according curricular group. This right is accompanied by the right to issue national graduation documents. An educational

⁹² Estonian Research Council, retrieved from: <https://www.etag.ee/en/estonian-research-council/>

⁹³ Estonian Research Council. Gender mainstreaming in research, retrieved from: <https://www.etag.ee/en/activities/gender-mainstreaming-in-research/>

⁹⁴ Organisation of Research and Development Act <https://www.riigiteataja.ee/en/eli/503062019008/consolide>

⁹⁵ Ministry of Education and Research. Estonian Research and Development and Innovation Strategy 2014-2020 “Knowledge-based Estonia”, retrieved from: https://www.hm.ee/sites/default/files/estonian_rdi_strategy_2014-2020.pdf

⁹⁶ The Government of the Republic of Estonia, retrieved from: <https://www.valitsus.ee/en>



institution must apply for this right; a respective procedure is organised by the **Ministry of Education and Research**⁹⁷.

External evaluation is carried out in educational institutions either as institutional accreditation or quality assessment of curricular groups. External evaluation is organised and implemented by the **Estonian Quality Agency for Higher and Vocational Education**⁹⁸ who involves, in addition to experts of the agency's evaluation council, also other experts in its activities.

The **National Audit Office**⁹⁹ checks the activities of public universities according to the **National Audit Office Act**¹⁰⁰. State supervision of the legality of the activities of a university is exercised by the Ministry of Education and Research.

In addition, there are other legislative acts and regulations that directly deal with the regulations of higher education and different types of educational institutions. Firstly, there is **Standard of Higher Education**¹⁰¹, a government regulation, which establishes the requirements for higher education studies and its quality.

Furthermore, organisation of external evaluation and supervision of higher education institutions and higher education level is governed by the **Higher Education Act**¹⁰² and **Private Schools Act**.¹⁰³ The former provides bases of organisation of studies at the level of higher education regardless of its form of ownership.

Gender in research and higher education

There are no national policies that target the topic specifically, but the Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia" includes few relevant segments in its content. Another national policy that mentions education and research from the gender vantage point is Gender Equality Act, but, understandably, this is not its sole area of regulation. The above two policy documents do not define or frame the relationship between gender equality and quality/excellence in research and/or in education. The strategy document stresses the importance of ensuring equal opportunities, incl. gender balance, when filling positions, allocating grants and forming decision-making bodies. However, there are no specific measures or provisions that these two documents foresee that would facilitate gender equality in higher education or research.

⁹⁷ Ministry of Education and Research, retrieved from: <https://www.hm.ee/en>

⁹⁸ Estonian Quality Agency for Higher and Vocational Education, retrieved from: <http://ekka.archimedes.ee/en/>

⁹⁹ National Audit Office, retrieved from: <https://www.riigikontroll.ee/Avaleht/tabid/36/language/en-US/Default.aspx>

¹⁰⁰ National Audit Office Act, State Gazette 2002, retrieved from: <https://www.riigiteataja.ee/en/eli/519122019013/consolide>

¹⁰¹ Standard of Higher Education. State Gazette 2019, retrieved from: <https://www.riigiteataja.ee/akt/112072019017>

¹⁰² Higher Education Act, State Gazette 2019, retrieved from: <https://www.riigiteataja.ee/en/eli/529082019022/consolide>

¹⁰³ Private Schools Act, State Gazette 1998, retrieved from: <https://www.riigiteataja.ee/en/eli/503062019009/consolide>



Regarding gender equality, the most holistic approach towards the areas of education and research proceed from **Gender Equality Act**¹⁰⁴, which came into force in 2004. The Act ensures the equal treatment of men and women as provided for in the Constitution of the Republic of Estonia and to promote the equality of men and women as a fundamental human right and for the public good in all areas of social life. To achieve this, the Act prohibits discrimination on the grounds of sex in the private and public sector and obliges state and local government authorities, educational and research institutions, as well as employers to promote equality between men and women. Namely: “Educational and research institutions and institutions engaged in the organisation of training shall ensure equal treatment of men and women in vocational guidance, acquisition of education, professional and vocational development and re-training. The curricula, study materials used and research conducted shall facilitate abolishment of the unequal treatment of men and women and promote equality.”

The **Gender Equality and Equal Treatment Commissioner**¹⁰⁵ is responsible for monitoring compliance with the requirements of the Act.

The **Estonian Research and Development and Innovation Strategy 2014-2020 “Knowledge-based Estonia”** includes four measures, one of which – labelled Measure 1. Ensuring the high level and diversity of research – deals in the subsection 1.6. also with gender equality: “Develop a career model which supports cooperation with enterprises and individual development possibilities, encourages occupational mobility, incl. in the entrepreneurship sector, and motivates young people to choose the profession of a researcher or an engineer. Support the openness of competitions for academic positions to foreign researchers. Monitor that equal opportunities, including gender balance, be ensured when filling positions, allocating grants and forming decision-making bodies”.

None of the above measures include references to [awarding/certification](#) of research and educational institutions. Likewise, there is a lack of [intersectional approach](#) and national policies do not create a link between [funding](#) programs and gender equality.

¹⁰⁴ Gender Equality Act, State Gazette 2004, retrieved from: <https://www.riigiteataja.ee/en/eli/516012019002/consolide>

¹⁰⁵ Gender Equality and Equal Treatment Commissioner, retrieved from: <https://volinik.ee/eu-citizen/en/>



Introduction to the CAS in Estonia

Currently, **there are no original, national CAs that would relate to Research/HEI**, a fact also confirmed by the Gender Equality and Equal Treatment Commissioner¹⁰⁶. There **are few intra-institutional documents**, mainly universities, that touch upon equal treatment and gender equality but they cannot be categorized as something that could be listed under CA schemes.

With respect to Business/Others, there has been an initiative of Ministry of Social Affairs and its partners, called **Family-Friendly Employer Label**, supported of the European Social Fund, which started developing a family-friendly employer label model in 2016, and by now, 37 organizations have received the final label and 65 organizations have received the initial label. It is not exclusively devised for businesses but the receivers of the award mainly fall into the cluster. Secondly, there is **Diversity Agreement**, which was initiated in Estonia in 2012 as part of the Tallinn University of Technology's (TUT) project "Diversity Enriches", co-funded by the European Commission, the Ministry of Social Affairs and the TUT's Institute of Law. The Estonian Human Rights Center is now coordinating the activities of the agreement network.

Peculiar feature of these two CAs is that although they are open to institutions of both public and private sectors, **almost none of the Estonian educational or research institutions have ever participated in acquiring such labels or adhered to the agreement**. This shows that gender equality, equal treatment and diversity in the relevant institutions are not seen as priority areas. **That claim can be bolstered by the two recent studies**. One of them¹⁰⁷, conducted in 2016, focused on 4 major institutions of higher education in Estonia: Tallinn University, University of Tartu, Tallinn University of Technology, and Estonian Business School. Exploring the official websites of these institutions revealed that the none of the foundation documents of the universities make reference to the gender equality in front pages. It has not been mentioned also in the statutes of the universities nor in programming documents of subunits. Another, most recent study from 2020¹⁰⁸, found that the University of Tartu is actually the only Estonian university with a separate guide on defining equal treatment and harassment. The guide was developed in 2016 based on equal treatment and gender equality laws. The guide underwent an internal coordination round and was subjected to external consultations but no CAS were ever born out of it.

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¹⁰⁶ Liisa-Ly Pakosta, Gender Equality and Equal Treatment Commissioner (personal communication, March 4, 2020).

¹⁰⁷ Raudsepp, M (ed.) (2016) Sootundlikkus ja soolise võrdõiguslikkuse tagamise institutsionaalsed praktikad kõrgkoolides: Eesti ja teiste riikide valitud kõrgkoolide avalik teave. Tallinn: Tallinna Ülikool, retrieved from https://www.tlu.ee/sites/default/files/Instituudid/%C3%9CTI/RASI/2016_institutsionaalsed%20praktikad%20kodulehtedel.pdf

¹⁰⁸ Eesti Üliõpilaskondade Liit. (2020). Sooline ja seksuaalne ahistamine kõrghariduses, retrieved from: <https://eyl.ee/wp-content/uploads/2020/02/Sooline-ja-seksuaalne-ahistamine-k%C3%B5rghariduses.pdf>



| | |
|---|---|
| Family-Friendly Employer Label | 2016 |
| Certification https://www.tooelu.ee/en/Employer/Supporting-campaigns/Family-friendly-employer | National toimetaja@tooelu.ee |
| Awarding body: | Ministry of Social Affairs |
| Target Audience: | Both Business/Others and Research and Higher Education |

Overall description:

The family-friendly employer programme involves a long-term consultation and evaluation process that involves many supporting activities. The aim of the long-term advisory programme is to change the organizational culture and working environment to be more family-friendly and to ensure long-term and persistent results. The process of applying for the Family-Friendly Employer label consists of three different stages, the main part lasting for up to three years. During this time, the applicant must complete the substantive work of approximately 120 hours. The Family-friendly Employer label has three levels: gold, silver and bronze. Different labels represent the levels the employer has reached in terms of applying family-friendly organizational culture and working environment. Employers can use the label when promoting their organization, in recruitment, in internal communications, at public events etc. There are different categories: bronze, silver, and gold levels.

Validity

Valid for either 1.5 and 3 years, with possibility to review.

Eligibility and requirements:**Eligibility**

"Employers eligible for the programme:

Organizations from the private, public and third sector;

not having tax debts;

not having criminal or other legal punishments;

not in bankruptcy or liquidation.

Prior to the start of the application process, the employer is not required to have applied family-friendly measures and organizational tools. It is enough if the employer has a desire to develop and introduce a family-friendly organizational culture. However, an employer who has already started creating a family-friendly organizational culture, has greater opportunity to complete the application process in less than three years."

Requirements

"The application consists of three parts. In order to fill it, you must log in with your Facebook, LinkedIn or email account. When filling out the questionnaire, we ask you to state everything in detail, since the more information will be provided, the less additional data needs to be requested subsequently.

The first part of the questionnaire involves basic information about the employer: the scope and field of activity, the number of employees, contact details, etc. In the second part, the candidate must evaluate the current situation in the organization regarding the application of a family-friendly model. To conduct such assessment, the candidate is provided with evaluative statements and the candidate must determine to what extent the statements correspond to the current situation in the organization. In the third part, the candidate must write a motivation letter (1 A4 page or 500 words). Here the candidate describes the motivation of the employer to participate in the programme and also evaluates the effect of participation in the programme both for the employer and, more broadly, in the public context. In addition, the candidate must clearly express willingness to participate in the programme until completion."

Other information

Data on applicants and successful applicants is available online. See: <https://www.tooelu.ee/et/Tooandjale/Tootamist-toetavad-tegevused/Peresobralik-tooandja/Peresobraliku-tooandja-margis/Tooandjad-kes-osalevad-margise-taotlemisel>

Business model:

The program is supported by the Estonian Ministry of Social Affairs, its numerous domestic partners, and European Social Fund.

Certification process, assessment, and support:

An employer seeking a Family Friendly Label must go through a 1.5 to 3 year consultation and evaluation process. The first step involves assessing the current situation of the employer applying for the label, during which the employer will provide the necessary information. In the second step, the measures that the employer wishes to implement are selected and are stated in the family-friendly employer initial label. In the third stage, the employer's main task is to implement the chosen measures. At the end of this phase, the employer will be issued with a family-friendly employer badge corresponding to its level. After two years, the employer is obliged to renew the label. The fourth stage is the ex-post evaluation, which leads to a decision on renewal, extension or withdrawal of the label. The consultant advises the employer on the selection of measures, preparation of the action plan and its implementation. The role of the assessor is to carry out ex-ante and mid-term evaluations. The assessor may be a consultant to another employer participating in the program and vice versa. The assessor is a consultant with competence in the development of the working environment, whose task is to carry out final and ex-post assessments.

Criteria and Indicators used:

"Applicant is assessed in the following 13 criteria:

1. movement of information
2. aftergrowth
3. professional support and development
4. atmosphere of communication
5. synergy and culture
6. recognition and motivation
7. work time
8. termination of employment
9. job emplacement
10. work commitment and involvement
11. observation and research, involvement in surveys
12. health promotion
13. recruitment"

Gender, diversity, and excellence:

"Gender equality appears in two assessment categories of the total 13, and in two measures of the total 153.

Synergy and culture (Silver level):

Equal promotion of measures to promote the reconciliation of work and family life is encouraged for both women and men. The organisation's strategic documents include activities to ensure gender equality (eg equal pay for men and women in comparable positions, equal participation of men and women at different levels of management, etc.).

Work commitment and engagement (Gold level):

The organization promotes gender equality. Various measures to reduce the pay gap have been introduced (eg open pay system, allowing/encouraging paternity, gender balance in management, etc.)."



| | |
|---|---|
| Diversity Charter | 2012 |
| Agreement https://humanrights.ee/en/topics-main/diversity-and-inclusion/mitmekesisuse-kokkulepe/ | National info@humanrights.ee |
| Awarding body: | Single Step |
| Target Audience: | Business/Others |

Overall description:

The Estonian Diversity Charter is a voluntary agreement which by signing the company, NGO, or public sector organisation confirms that they respect human diversity and value the principle of equal treatment among their employees, partners, as well as clients. The organisations that have acceded to the Charter form a community in order to mutually share experience and promote the equal treatment issue both in their own organisation and in society as a whole. In addition to the annually held festive ceremony of the accession to the Charter, practical workshops take place where companies can share domestic and foreign experience and learn from them.

Validity

Information not available

Eligibility and requirements:**Eligibility**

No restrictions apply

Requirements

To join, an interested party first has to read the text of the Diversity Charter and then fill out the form in the website or contact the Human Rights Center by other means. As a general rule, the next step is a meeting where the applicant gets an overview of the history, nature, opportunities related to the Charter, and answers to any other possible questions. 1-2 times a year, a public signing event takes place where all companies and organizations that have applied to join this year's issue sign the Charter.

Other information

The list of successful applicants is online.

Business model:

No exact business model is available for public overview. The initiative was started by Tallinn University of Technology, which was cofinanced by the European Commission, Estonian Ministry of Social Affairs, and the Department of Law of Tallinn University of Technology. Currently, the activities are managed by the Estonian Human Rights Centre.

Certification process, assessment, and support:

No special assessment procedure takes place.

After getting acquainted with the charter's text and filling in the application, the next step is a meeting during which the potential applicant gets an overview of the history, essence, opportunities of the charter and answers to all questions raised.

Criteria and Indicators used:

"within our company we shall value mutual respect, diversity and the principle of equal treatment;
in the management of the company we shall place emphasis on consideration for diversity, ensuring that this is reflected in every aspect of the company's operations;
we shall pursue a staffing policy which ensures the optimum use and equal treatment of all employees, eschewing discrimination on the basis of gender, ethnic background, skin colour, age, disability, sexual orientation and religious or political views;
we shall work to ensure that the diversity of Estonian society is reflected in our workforce;
we shall defend our staff against discrimination;
we shall inform our staff of their rights and obligations in implementing the principle of equal treatment;
we shall create opportunities for staff and clients to better understand the need for and benefits of the principle of equal treatment and ensure that cases of discrimination are resolved impartially and effectively;



we shall draft and regularly update an action plan for the promotion of the principle of equal treatment and for consideration of diversity which shall incorporate measurable performance indicators and in the drafting and implementation of which all staff shall be included;
we shall continuously monitor progress in the achievement of the objectives set out in this charter; and
we shall inform our staff, our clients and the public of other companies and institutions that have signed up to the charter and of success in fulfilling its objectives."

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FINLAND

[Link to references](#)

| | |
|----------------------------------|---|
| National CAS: | <ul style="list-style-type: none">• Quality Label for Excellence by FINEEC |
| Number of HRS4R awardees: | <ul style="list-style-type: none">• 11 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

In Finland, there are no inspections of education at any level of education. The **sample-based and thematic evaluations** form the basis of the national evaluation and quality assurance system. (EURYDICE, 2019).

In Finland, universities (13) and universities of applied sciences (22) operate within the Ministry of Education and Culture's administrative branch. In addition, the Finnish National Defence University operates under the defence administration, and the Police University College and the Åland University of Applied Sciences operate under the mandate of the Ministry of the Interior.

Of universities, which operate within the Ministry of Education and Culture, 11 are corporations under public law, and two are foundations pursuant to the Foundations Act. Universities of applied sciences operate as public limited companies. In addition, there are four national science institutions, which operate within the Ministry of Education and Culture, and 12 governmental research institutions, which operate within other ministries.

According to the Finnish legislation, HEIs are independent and responsible of the quality of their operations. The **Ministry of Education and Culture** coordinates the activities of higher education institutions, science agencies and research institutes and acts as their main financial source. The Ministry interacts continuously with higher education institutions, science agencies and research institutes and holds agreement negotiations with them.¹⁰⁹

The Ministry of Education and Culture provides guidance for each university and university of applied sciences. As part of this guidance, **they provide advice on gender equality and diversity planning**, too. (The Ministry of Education and Culture, 2019).

FINEEC (Finnish Education Evaluation Centre) is responsible for the external evaluation of education provided by universities and universities of applied sciences in Finland. FINEEC operates as a separate unit within the Finnish National Agency for Education, and is listed in the European Quality Assurance Register for Higher Education (EQAR). The audits cover all core operations of the higher education institutions.

FINEEC audits of higher education institutions 2018-2024 include the opportunity of being awarded a **Quality Label for Excellence**. The Quality Label for Excellence is awarded to higher education institutions that have distinguished themselves with their commitment to development work that is of exceptionally high quality.

¹⁰⁹ Agreements with different higher education institutions and research institutions can be downloaded from the website of Ministry of Education and Culture in national languages. Also, short guidance reports for higher education institutions can be downloaded from the website.



A higher education institution can be nominated as a candidate for receiving the Quality Label for Excellence if the audit team grants the level excellent in at least one of the following evaluation areas of the audit: 1) higher education institution creates competence, 2) promotes impact and renewal, 3) enhances quality and well-being. ([FINEEC](#))

FINEEC (Finnish Education Evaluation Centre) evaluates gender equality and diversity topics under well-being issues related to both students and personnel. Also, a Quality Label for Excellence can be awarded based on excellence in “quality and well-being”.

FINEEC conducts theme evaluations, too. In 2019, FINEEC carried out an evaluation focusing on students with an immigrant background in the Finnish higher education system. Special theme evaluation on gender equality cannot be found in their website.

One of the most important national **funding institutions** is **Academy of Finland**, which operates within the administrative branch of the Ministry of Education and Culture. In 2020, their funding for research amounts to 423 million euros. Their funding decisions and other activities impact Finnish research activities significantly.

Academy of Finland has a gender equality and diversity plan, which provides information on how they promote gender equality and diversity in their funding functions. For instance, in 2018, 38 % of principal investigators of research projects funded by the Academy of Finland were women, and 43 % of academy research fellows were women. Success / funding rates of women and men are on the same level. (Academy of Finland, 2020).

Business Finland is a national funding institution, which funds innovation, development and research functions of companies and projects that involve both companies and higher education institutions. In 2019, their funding for innovation, development and research activities amounted 571 million euros.

Business Finland does not provide information on gender equality of their funding function in an accessible way.

Gender in research and higher education

National policies on gender in higher education and research is included in **several policies**.

The Government **Action Plan for Gender Equality** (Ministry of Social Affairs and Health, 2016) covers higher education, too – though it is a very brief document that focuses on few measures. There are no specific mentions for higher education institutions: general focuses include mitigating occupational gender segregation, promoting equal skills development of boys and girls. The latest available action plan is for years 2016 – 2019, and the new one will be published in 2020.

National education policy discusses gender equality and diversity among other things. Moreover, **the Ministry of Education and Culture has a gender equality and diversity plan** - a brief action plan which does not identify specific gender equality problems. (The Ministry of Education and Culture, 2019).

In addition, there are **evaluations** ordered by the Finnish government. For instance, Ministry of Social Affairs and Health published a report Gender Equality in Higher Education and Research in 2009 (Brunila 2009). The study reviews the objectives for university and science policy included in the Government programmes and the Government Action Plans for Gender Equality during the years



1995–2008. The report evaluates the impacts of the measures on gender equality, too. Although the report was conducted a decade ago, it provides valuable information on the history of Finnish national education policies from gender equality perspective. In addition, the evaluation report is background material for the Government Report on Gender Equality (2010), which outlines the gender equality policy in Finland until the year 2020.

The most relevant national legislations that regulate higher education institutions' responsibilities to promote gender equality consists of **four different acts**. Universities are regulated with University Act (2009/558) and universities of applied sciences with Universities of Applied Sciences Act (2014/943). These relatively new acts regulate, among other things, universities' research and education functions. However, they do not state anything specific on gender equality. Gender Equality Act (1986/609) regulates gender equality planning and Non-Discrimination Act (2014/1325) diversity planning in all education institutions, including higher education.

According to the evaluation report (Brunila 2009), **gender equality policy and the objectives and plans regarding university and science policy have been perceived as separate spheres** in Finland. University and science policy documents have not taken into account the objectives and actions related to gender equality in the Government programmes and the Government Action Plans for Gender Equality. According to the report, **university and science policy has included relatively few concrete measures that enable the integration of gender equality into all actions regarding higher education and science**. (Brunila 2009).

It seems that this trend has continued till today. It is possible that the current left-wing coalition government led by Sanna Marin takes a new direction, but it is too early to evaluate that since they have not yet published their policies.

However, FINEEC combines quality and well-being together in its evaluations. Also, there are individual universities, which have tight together their gender equality work and quality goals.

Finally, [awards, certificates and accreditation](#) are not discussed in these national policies.

[Intersectionality](#) is not taken account in the education related measures of the Government Action Plan for Gender Equality. Gender equality and diversity plan of Ministry of Education discusses both gender equality and diversity, but intersectionality is not specifically discussed.

Gender equality and diversity plan of Ministry of Education discusses only [funding](#) provided by the ministry. Otherwise, the link between funding programs and gender equality is not discussed.

[Introduction to the CAS in Finland](#)

There are no CAS which would focus solely on gender equality or diversity in higher education. However, there is a national CAS that includes some elements related to gender equality and diversity in higher education. This CAS is The **Quality Label for Excellence by FINEEC (Finnish Education Evaluation Centre)**.

In addition, Ministry of Education and Culture conducts **agreement negotiations** with universities and universities of applied sciences. As part of the agreement negotiations, they discuss gender equality and diversity plans of universities, and provide advice regarding the plans and their content.



However, this is not a CAS, and thus not discussed here. In addition, international awards, such as **HRS4R**, have been awarded to some Finnish higher education institutions, and some of them mention these in their gender equality plans.

Transition from a Gender Equality to an Equality/diversity framework - how does this translates into internal University policies: do GEPs tend to be replaced by Equality Plans? Are Equality Bodies replacing Gender Equality Bodies or are they co-existing? Has this generated any internal debate among scholars, experts, activists?

Almost all Finnish universities, including universities of applied sciences, have combined their gender equality plans and diversity plans. This way they fulfil the requirements of the Finnish Gender Equality Act (1986) and the Non-discrimination Act (2014). Likewise, in most universities the same equality bodies coordinate all equality work, including gender equality. (Tanhua, 2020).

According to the report published by the Ministry of Education and Culture (Tanhua, 2020), Finnish universities identify gender equality related obstacles and challenges better than they identify other inequality problems. Hence, it does not seem that the quality of gender equality planning would have suffered because of combining gender equality and diversity in the same equality action plans. However, in many cases, gender equality and diversity action plans seem to remain rather toothless in addressing the inequality problems.

There have been no visible major debates on combining gender equality and diversity plans and bodies in universities. However, there was a furious debate when the Non-discrimination Act was in preparation. Then, many activists and scholars argued that gender equality requirements would suffer if these two acts were combined instead of developing a new Non-discrimination Act. Now that acts are separate and particularly the requirements regarding gender equality planning are clear, universities can combine gender equality and diversity plans without losing the focus on gender equality.

An overall picture where gender equality in research policies seem to be interpreted in a quite formalistic way appears to be colliding with the high-level commitment expressed by Finnish authorities within the Helsinki Conference: how this can be explained and to what point that EU level event triggered or not a national debate on gender equality policies in research?

The Helsinki Conference – Research and Innovation Excellence through gender equality: New pathways and challenges – was organized by the Finnish Presidency of the EU in October 2019. The conference participants also wrote a Helsinki call for action to advance gender equality in research and innovation in Europe.

It seems that the conference triggered actions and discussions on the government level, particularly in the Ministry of Education and Culture. In addition, it is possible that the event inspired individual researchers and personnel in higher education institutions.

After the Finnish presidency, the Ministry of Education and Culture has taken some actions to promote gender equality in higher education institutions. For instance, Ministry of Education and Culture published a report (Tanhua, 2020) on gender equality and diversity planning in higher education institutes in Finland. This way the ministry has more information on universities' gender equality planning for the agreement negotiations, which they hold with higher education institutions. Also, the Ministry of Culture and Education is planning to fund a bigger research project of the theme next autumn.

The actions and planned actions might be related to the conference but they are also related to other changes in the Finnish government. Parliamentary elections were organized in Finland in 2019 and the appointed government is a rather left-wing coalition government. This was a big change after the previous right-wing coalition government, and the Government Programme reflected this as well. Also, Sanna Marin was appointed as a prime minister of Finland on 10.12.2019, which further strengthened the gender equality aspects in the government. Currently, the government is preparing its' Government Action Plan for Gender Equality. This is probably triggering gender equality actions and debates in the government at the moment. The new Government Action Plan for Gender Equality will be published during this spring. The priorities of gender equality policy are based on the Gender Equality Act, the 2010 Government Report on Gender Equality, and Government guidelines. (Ministry of Social Affairs and Health, 2020).

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| | |
|---|---|
| FINEEC Quality Label of Excellence | 2018 |
| Award https://karvi.fi/en/higher-education/quality-label-of-excellence/ | National mirella.nordblad@karvi.fi |
| Awarding body: | FINEEC (Finnish Education Evaluation Centre) operating as a separate unit within the Finnish National Agency for Education |
| Target Audience: | Research and Higher Education |

Overall description:

"FINEEC (Finnish Education Evaluation Centre) audits of higher education institutions 2018-2024 include the opportunity of being awarded a Quality Label for Excellence. The quality label does not focus only on gender equality. A higher education institution can be nominated as a candidate for receiving the Quality Label for Excellence if the audit team grants the level excellent in at least one of the following evaluation areas of the audit: 1) higher education institution creates competence, 2) promotes impact and renewal, 3) enhances quality and well-being. The last area considers gender equality and diversity as part of well-being."

Only those who have been evaluated as "Excellent" in at least one of the three evaluation areas receive an award.

Validity

6 years, with possibility to review.

Interlinkages with national quality assurance

FINEEC audits are a national quality assurance mechanism.

Eligibility and requirements:**Eligibility**

University or university of applied sciences.

Requirements

Finnish HEI's need to be evaluated. They can contact FINEEC and agree on when the evaluation is going to be done.

Other information

Data will be available on FINEEC web page. Currently, two HEIs have been evaluated. Their evaluation reports are available in national languages.

Business model:

HEI is responsible of choosing a benchmarking HEI and signing an agreement with them. HEI is responsible of uploading the audit material, and arranging a seminar on the audit results. FINEEC is responsible of conducting the audit and the HEI does not need to pay for it.

Certification process, assessment, and support:

HEI develops audit material according to FINEEC guidelines, and FINEEC evaluates it. The material includes self-evaluation questions answered by HEI. The material includes uploading a gender equality and diversity plan of the HEI. FINEEC visits the HEI and proceeds with interviews on site. Seminars are organised to share the assessment results.

Criteria and Indicators used:

"There are 3 measured areas: 1) HEI creates competence, 2) HEI promotes impact and renewal, 3) HEI enhances quality and well-being. The area 3 includes following gender equality related issues: 1. The HEI has functioning procedures to identify development needs concerning staff competence and to support the development of staff competence. 2. The HEI has transparent procedures for staff recruitment. 3. The HEI has



systematic procedures to support the well-being, equality and non-discrimination of staff. The gender equality related self-evaluation questions are:

1. How is fairness and transparency in staff recruitment and development procedures ensured?
2. How does the HEI ensure the well-being of the staff?
3. What procedures are used to ensure the equal and non-discriminatory treatment of the staff?"

Gender, diversity, and excellence:

Both gender equality and different areas of diversity are discussed during the evaluations but mostly separately, without the focus on intersections. In addition, gender equality and diversity are not a strong focus in the evaluations. There is a link between a Quality Label for Excellence provided by FINEEC and national policies. National policies focus on gender equality and diversity plans, and these plans are evaluated as part of the quality label, too. However, it does not seem like much attention is given to gender equality and diversity in the evaluation. For instance, it is not discussed in the evaluation reports whether gender equality and diversity plans provided by the HEIs meet the requirements of the Finnish Act on gender equality. FINEEC complies with the European Standards and Guidelines for Quality Assurance in Higher Education (EGS 2015). Research is one of the focuses of the evaluation. The focus includes: research activities (research which generates new knowledge), research-based approach in education, societal impact.

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FRANCE

[Link to references](#)

| | |
|----------------------------------|--|
| National CAS: | <ul style="list-style-type: none"> • Label Egalité professionnelle + Label Diversité • Prix Ingénieuse |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 24 |

National context for Quality Assurance and Accreditation

In France, the same independent administrative authority evaluates quality of research organisations and of higher education institutions. It is the High Council for the Evaluation of Research and Higher Education ([HCERES](#)).

The evaluation process includes a self-evaluation, then an analysis of documents and a visit by a committee of pairs (set up for each evaluation). Evaluation criteria, adapted to each type of organisation, are published [online](#).

Accreditation is carried out by the Ministry of Higher Education, Research and Innovation ([MESRI](#)), based on the [evaluation by the HCERES](#).

The stakeholders involved are the personnel of the university or RPO under evaluation, HCERES scientific advisors and other personnel and the members of the committee of pairs. The latter are outside the organisation being evaluated and, in part, come from outside France.

The HCERES criteria vary according to the type of structure. For RPOs, they mention only “parity M/W” (“parité H/F”). For universities, they refer to “guaranteeing equality of treatment”, “combating inequality and discrimination” - not saying between or against whom - and to accessibility for people with disabilities. For other higher education and research establishments “Parity M/W”, “equality of treatment” and “disability” are mentioned. For hospital research, “parity” is lengthily defined in terms of equality and equal representation in decision making and sexual harassment is included. Other forms of discrimination are not mentioned.

HCERES also evaluates Bachelor’s and Master’s degrees and research laboratories.

For Bachelor’s and Master’s degrees, the criteria only mention disability.

For laboratories, the criteria refer to gender-balance (“parité”) among director, deputy directors, team leaders and within the laboratory council (40% target). Keeping gender statistics and having gender included in the internal rules are signs of quality. No reference is made to gender in research content, harassment or other forms of discrimination.



Gender in research and higher education

As a general word of introduction, it should be noted that **France does not give a very high priority to gender issues** (European Commission 2008, 2009), basically because of its universal vision of Human Rights: all humans are postulated equal. For the same reason, France does not allow ethnic statistics (but they can be gendered).

The present Ministry of Higher Education, Research and Innovation has announced **4 gender equality-related policy priorities** for the present 5 year presidential term (2017-2022): setting up a reception unit (where people can report gender-related problems) in each university; 40% women in science courses by 2020; a communication campaign on sexual violence and harassment in higher education and research; gender training for the personnel of the organisation in charge of students' living conditions ([source](#)).

The previous mandate had a more ambitious gender action plan ([source](#)) that included setting up a Charter for Equality between Women and Men in higher education and research ([source](#), signed in 2013), putting gender into the evaluation criteria for universities and extending gender balance concerns in the law of 2013 on research, particularly in decision-making bodies ([source](#)).

The main argument for gender equality is made in terms of human rights, not of “excellence” or research quality. The first line of the Charter is: “Equality between women and men is a fundamental right for all and a capital value for democracy.” (“L’égalité des femmes et des hommes est un droit fondamental pour toutes et tous, et constitue une valeur capitale pour la démocratie.”)

The main issues concern gender balance in decision making bodies and committees, the presence of women in the “exact” sciences and the glass ceiling. **Sexual harassment** has recently received high priority.

As far as concrete measures go, evaluation takes gender balance into account (see above), and the law has been used to impose better balance on committees. Communication and accompanying victims are used against sexual harassment. **Awarding or certification** are not included. There is no **intersectional approach** beyond general norms of “equality of treatment”.

The main **funding** agency, Agence nationale pour la recherche ([ANR](#)) refers to gender in its 2020 Action plan, its Ethics charter and on [its website](#). Issues covered are gender balance, gender in research content and possible bias in selection procedures.



Introduction to the CAS in France

There is **no specific gender award or certification for universities**. However, there are non-sectorial certifications carried out by the main French certifying organisation AFNOR. One certification is on “[Professional equality between women and men](#)”, while the other focuses on “[Diversity](#)” and refers to “avoiding discrimination and promoting diversity”. A glossary explains that discrimination is inequality of treatment, forbidden by the law, in a long list of areas including age, race, religion, health, sex, sexual orientation, handicap, political opinion, etc. So, in practice, the Diversity certification includes gender issues.

The Research and HE Ministry (MESRI) is in the certification process for both. One university, Sciences Po, has obtained the equality one, some others are in the certification process.

A much less ambitious set of gender related prizes, **Prix Ingénieuse** (the adjective “ingenious” in the feminine mode, playing on the French word for engineer, ingénieur.e), exists for engineering schools. Three of the prizes are for schools (the other 3 are for individuals): the “most mobilized school”, the most original project and the best course in equality between women and men (each wins 500€). The prizes are awarded by the Conference of directors of French engineering schools ([CDEFI](#)). The objective is to promote women and to attract more women into engineering schools and careers.

As an example, in 2019, SupAero, the main French aeronautics engineering school, won the most mobilized school prize for the combination of 4 actions: a card game, radio portraits of women, a day’s visit in a secondary school and a short film.

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| | |
|---|---|
| Label Egalité professionnelle, | 2004 + 2008 |
| Label Diversité | |
| Quality Label https://travail-emploi.gouv.fr/emploi/label-diversite | National // France 11 rue Francis de Pressensé - 93571 La Plaine Saint-Denis Cedex - Tél.: +33 (0)1 41 62 80 11 - Fax: +33 (0)1 49 17 90 00 www.afnor.org |
| Awarding body: | The label is property of the French government; the audit process is carried out by “Afnor Certification”, a private body. |
| Target Audience: | Both Private and Public bodies, either the whole structure or only certain activities and departments. |

Overall description:

Established in 2004, the Label Egalité (Equality Label) aims to promote professional equality between men and women. Supported by the State and social partners, the Label Egalité is issued by AFNOR Certification. It is a certification of good practices and a methodological guide in terms of equality of rights between men and women within the organization. It is based on 2 fundamental principles: 1) equality of rights (no discrimination allowed regarding the gender); equality of opportunities (foreseeing to reverse the inequalities that women encounter).

Established in 2008, the Label Diversité (Diversity Label) aims to prevent discrimination and to promote diversity in the public and private sectors. The label, property of the State, allows the candidate or labelled structure to evaluate its human resources and modify them if necessary. Delivered by AFNOR Certification, the label promotes a constructive social dialogue. It is also a guide in terms of methodology and an emulation tool allowing the organization to further strengthen equal rights and create a leverage. The Label Diversité is issued by AFNOR Certification following recurrent assessments to advance practices, target areas of development and strengthen the effectiveness of actions. As a consensual mechanism, the label is awarded after the opinion of the National Labelling Commission, on which the social partners, representatives of the State and a college of experts sit.

Validity

4 years, with possibility to renew.

Interlinkages with other certification schemes

Link with Label Egalité professionnelle entre les femmes et les hommes, also property of the French government and whose assessment is carried out by “Afnor certification”. Since 2015 applicants can apply to both with a single application form, with a single basis and separate specific modules, even though the assessments are separated and autonomous.

Interlinkages with national quality assurance mechanisms

Label Diversité is part of the national quality assurance policies and is property of the government; public bodies can apply to it.

Eligibility and requirements:**Eligibility**

No particular restrictions apply

Requirements

Direct application (with possibility, in the case of Label Diversité, to do an online test to review the applicant's readiness for the review). No particular exceptions apply

Other information

Label Egalité: Around 90 certified institutions: 50% governmental organisms, 40% medium/large companies (more than 50 employees), 10% small companies (less than 50 employees).

Label Diversité: 108 certified institutions (oct 2019): 31% governmental organisms, 46% medium/large companies (more than 50 employees), 23% small companies (less than 50 employees). Around 20 institutions got both labels (Diversité & Egalité)

Business model:

The Label was founded with public funding; The auditing cost are covered by the applicants, and it is calculated according to the applicants' dimensions (i.e. the number of people to involve, and the quantity of sites to audit): "the audit time can vary between 1.25 to 5.75 days on a single site. The day price varies between 1100 to 1500 € per day".

Certification process, assessment, and support:

- 1) Submission of application file
- 2) Submission of the file "Cahier des Charges", which is differentiated between public bodies and private bodies; the latter are differentiated depending on their dimensions (50+ workers and 50- workers).
- 3) Study of the whole by AFNOR Certification and formation of a team of specialized auditors
- 4) Initial evaluation on site(s), renewed every 24 months
- 5) Analysis of the evaluation report by the National Labelling Commission and exchange between the members of this commission and the candidate structure
- 6) Decision to award the label by AFNOR Certification

The data collected for assessment are qualitative (self-assessment following a standardized, in-depth questionnaire; interviews; focus groups;) and quantitative (ie. ratio of women in higher positions).

As support for applicants there is a free online test to check whether the applicant may be able to successfully apply, with feedback and suggestions (Label Diversité); a free online instrument to calculate necessary budget for certification; a reading guide for the "cahier des charges"; feedback to unsuccessful applicants.

Criteria and Indicators used:

There are 7 criteria for the combined certifications. Most of them are the same, with Label Diversité adding one specific criterion (aspects specific to Label Diversité are in *italics*). The criteria are:

- State of the art, diagnosis and risk analysis
- Definition and implementation of the policy on professional equality *and diversity*
- Listening unit (note: whether a listening unit for complaints has been set up and how does it work)*
- Internal communication, awareness-raising, training
- Consideration of equality and/or diversity policies in the management of human resources and governance
- External communication, territorial anchoring, relations with suppliers and customers/users of the organisation
- Evaluation and areas for policy improvement.

Such indicators are further explained and listed in detail in the "Cahier des charges"¹¹⁰ which is freely available for applicants.

Gender, diversity, and excellence:

¹¹⁰ The "Cahier des charges" is available at <https://certification.afnor.org/download/piecejointe-login/bf5e3ddb-39b1-4916-b0cf-1c7f99792df2> (only in French).



The Label Egalité does not have an intersectional approach; the Label Diversité, instead, "is concerned with diversity in all its expressions, through the 24 discrimination criteria defined by law, namely: origin, sex, mores, sexual orientation, gender identity, age, marital status, pregnancy, genetic characteristics, loss of autonomy, particular vulnerability resulting from the apparent or known economic situation of its author, membership - real or supposed - in an ethnic group, a nation, a race, political opinions, union or mutualist activities, membership or not of a specific religion, physical appearance, patronymic, place of residence, bank domiciliation, state of health, disability, proficiency in a language other than French."

There is a strict link with the national laws and policy governance: "By the requirements it carries, the Diversity Label is at the heart of the concerns of the Ministry of Labour. Given its missions and its permanent exchanges with economic players, the General Delegation for Employment and Vocational Training (DGEFP) ensures its management for companies, in conjunction with the Directorate General of Administration and the public service (DGAFP) for administrations".



| | |
|--|--|
| Prix Ingénieuse | 2011 |
| Award http://www.cdefi.fr/fr/activites/operation-ingenieuses | National (France and Magreb) contact@cdefi.fr |
| Awarding body: | Conference of directors of French engineering schools (Conférence des directeurs des écoles françaises d'ingénieurs, CDEFI) |
| Target Audience: | Research and Higher Education |

Overall description:

A group of specific gender related prizes, Prix Ingénieuse (ingenious in the feminine mode, playing on the French word for engineer, ingénieur) exists for engineering schools. The prizes are awarded by the Conference of directors of French engineering schools (Conférence des directeurs des écoles françaises d'ingénieurs, CDEFI, <http://www.cdefi.fr>). The objective is to attract more women into engineering schools. Three of the prizes are for schools (the other 3 are for individuals): the "most mobilized school", the most original project and the best course in equality of women and men (each wins 500€). For instance, in 2019, SupAero, the main French aeronautics engineering school, won the most mobilized school one for 4 (fairly minor) actions: a card game, radio portraits of women, a day in a secondary school and a short film.

Validity

Information not available

Eligibility and requirements:**Eligibility**

A school can apply but also its personnel, students

Requirements

Provide a short description of the project.

Other information

In 2019, 27 schools applied for 3 prizes.

Business model:

No information is given but the budget is probably very small : each prize is only 500€. So it is likely to be part of "ordinary" expenses of the organisation.

Certification process, assessment, and support:

A form is sent in describing the action(s). A jury, composed of "partners and experts" examines the candidatures and awards the prizes.

Criteria and Indicators used:

None specified.

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GERMANY

[Link to references](#)

National and subnational CAS:

- **TOTAL E-QUALITY award**
- **audit workandfamily and audit family friendly university - certification**
- **CEWS university ranking**
- **Helga Stödter Prize from the Hamburg Chamber of Commerce**
- **Bielefeld Equality Award/ Category Structural Equality Measures**
- **Universität Hamburg Equal Opportunity Prize**
- **Equal Opportunities Award of the IHK Foundation**

Number of relevant HRS4R awardees:

- **11 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

Administration of the education system is almost exclusively a matter for the German States (Bundesländer). It follows that the assessment and evaluation approaches, the funding systems as well as the ‘ownership’ of those systems are different for the various institutions involved in higher education and research. Specific ministries tend to support different research institutes; moreover, there are different and separate funding and management arrangements, e.g. evaluation criteria, in place.

The **Research Rating is a system designed by the German Council of Sciences and Humanities** (Wissenschaftsrat), which was intended to enable standardised research assessment nationwide, but is now only used sporadically at the level of the individual States.

The **Federal Ministry of Education and Research** (Bundesministerium für Bildung und Forschung, BMBF) leads one of the strongest, and most endowed programmes in Germany, a hybrid of institutional and competitive funding in the form of the Excellence Initiative (Exzellenzinitiative), relaunched as Excellence Strategy (Exzellenzstrategie) in 2017. The German Excellence Strategy awards substantial institutional funding based on **competitive applications**, where institutional strategy and emerging research strength and collaboration are rewarded based on criteria around scientific excellence.

The German quality assurance system is also **integrated into relevant international networks**. The compliance of the German quality assurance system with the European standards “European Standards and Guidelines” (ESG) and the “European Consortium for Accreditation in Higher Education” (ECA) is a prerequisite for full membership of the German Accreditation Council (GAC).

The **German accreditation system** underwent considerable changes in 2018 after a Court judgment, which assigned new roles to the German GAC, agencies and universities.

The GAC is now the accrediting body. While implementing agencies, e.g. the German Research Foundation (DFG) or the “DLR-Projektträger” (Part of the German Centre for Aerospace (DLR)) e.g.



carry out the procedures, requiring universities to deal with the GAC directly, without the agencies as arbitrators. These now must be listed in the European Quality Assurance Register for Higher Education (EQAR), integrating the German QA system firmly into the European Higher Education Area (EHEA).

The **Joint Science Conference** (Gemeinsame Wissenschaftskonferenz, GWK) brings together all ministers and senators responsible for science, research, and finance at federal and states level. This body decides on all questions related to research policy strategies and research funding that affect both governmental levels and works towards coordinated approaches.

The **Standing Conference of the Ministers of Education and Cultural Affairs** of the states (Kultusministerkonferenz) aims to ensure the coordination and cooperation between the states on issues related to research (and others) that are within the competences of the states.

The **German Research Foundation** (Deutsche Forschungsgemeinschaft, DFG) is the largest research-funding organisation in Europe. The DFG functions as a self-governing institution for the promotion of science and research in the Federal Republic of Germany. In organisational terms, the DFG is an association under private law. Its membership consists of German research universities, non-university research institutions, scientific associations and the Academies of Science and the Humanities. **The DFG receives most of its funds from the federal government and the German Länder**, which are represented in all grants committees. In 2018, the DFG had a funding budget of almost EURO 3.3 billion. (Deutsche Forschungsgemeinschaft (DFG), 2017)

The **Council of Science and Humanities** (Wissenschaftsrat) advises the federal government and the governments of the states on the development of the higher education and research system and of higher education and research institutions.

Gender in research and higher education

The **Federal Ministry of Education and Research** (BMBF) aims to close the gender gap in university and research institutions. A prerequisite for this is that universities and research organizations take measures to promote equal opportunities. Therefore, the BMBF works closely with the federal states in the **Joint Science Conference** (GWK). The forum for this cooperation is the **Working Group on Equal Opportunities at the Science Conference**. The BMBF has **launched programmes and initiatives** that have been of key importance with regard to efforts towards gender equality in research, notably the Federal Programme for Women Professors and the programme “Frauen an der Spitze” (“Women in the lead”). The BMBF is also the main driver to strengthen the gender equality standards in the Excellence Strategy – particularly in the application and the evaluation processes.

In the accreditation system, as an instrument of quality assurance, the objectives of the **EHEA communiqués**¹¹¹ are noted by the **Standing Conference of the Ministers of Education and Cultural Affairs** (KMK) and the **University Rectors' Conference** (HRK) and are continuously included in structural requirements and criteria, including gender mainstreaming. **Gender mainstreaming** in the accreditation process means that the study structures and degree programmes also address gender-

¹¹¹ A **communiqué** is adopted at each Ministerial Conference that outlines decisions taken by the Ministers.



specific disadvantages. The Conference of Ministers of Education decided that the "Accreditation Council also ensures that the gender mainstreaming approach of the Amsterdam Treaty of the European Union of October 2, 1997 and the corresponding national regulations in the accreditation system are taken into account and implemented." (KMK 2004, p. 6)

In 2017, the member institutions of the **German Research Foundation (DFG)** revised the research-based equality standards as part of their commitment to promote women in science at all career levels in the German science system and to anchor the topic of "equality" at management level. (Deutsche Forschungsgemeinschaft (DFG), 2017). The DFG's mandate particularly includes encouraging the advancement of early career researchers and promoting gender equality in research, as well as providing scientific policy advice. Many of the gender equality CAS presented here are based on these DFG standards.

In 2011, **the Joint Science Conference (GWK) adopted the so-called cascade model**. According to this, the proportion of women in each academic career level should be at least as high as that in the qualification level directly below.

In the **Pact for Research and Innovation 2011-2015**, the publicly funded research institutions committed themselves to establish concrete targets, following the 'cascade model', to significantly increase the number of female researchers, especially in leading positions, and to consider the use of further incentives and sanctions (Gemeinsame Wissenschaftskonferenz, 2009, p. 3).

The **National Pact for Women in MINT (STEM)** careers constitutes a network of policymakers, researchers and media funded by the Federal Ministry of Education and Research. It is coordinated by the Competence Centre Technology-Diversity-Equal Chances (Kompetenzzentrum Technik-Diversity-Chancengleichheit e.V).

These policies do not have an explicitly [intersectional approach](#).

Linking [funding to gender equality](#), the Exzellenzstrategie awards substantial institutional payments based on competitive applications, where institutional strategy and emerging research strength and collaboration are rewarded based on criteria around scientific excellence. Much of the funding under the strategy is managed by the DFG, which came to be a voluntary agreement among its members (participating universities, research institutes, associations, etc) on gender equality standards.

[Introduction to the CAS in Germany](#)

Among the 11 CAs identified with relevance for the CASPER project, there **are four outstanding CAS** as regards success, sustainability, and replicability:

- 1) The Women Professors Programme, supported by the Federal and the Länder, is the most successful. It is continuous, widely accepted, and endowed with considerable funding. It is also well embedded in the holistic approach towards gender equality by the BMBF (also in cooperation with other ministries). This approach is twofold: encourage the design and implementation of



comprehensive gender equality strategies at German higher education institutions and increase the number and share of female professors. Under the programme, an institution can be granted funding for up to three professorships held by women for five years.

2) **The audit workandfamily and audit family-friendly-university** is a well-accepted and well-known instrument supported by the Hertie Foundation in cooperation with the Federal Ministry for Economic Affairs and Energy and the Federal Ministry for Family, Seniors, Women and Youth. It is a tool for companies, institutions, and universities to promote better work-life balance.

3) The **Total E-Quality Award** has been successful (up to today, 845 awards have been presented to 329 organisations) and carries model character as to sustainability and replicability. It is working with organisations from the private sector, science and administration and associations. It aims to promote self-commitment of organisations to implement equal opportunity - without requiring additional legal guidelines and going beyond already existing guidelines. It is based on the equality criteria and standards developed by the DFG.

4) The **Bielefeld University Equality Award** promotes equality structures and gender equality research and exists already for seven years. This prize aims to develop new measures that could promise success to meet the targets or improve the situation of women in research and at universities. It is well known and works as a reference model for other programmes – promoting new strategies as models towards more gender equality at the university.

The rest of the CAs are: the **CEWS – University Ranking - The Competence Centre Women in Science and Research**; the **Helga-Stödter-Prize**; the **University of Hamburg Equal Opportunity Prize – previously known as the Women’s Advancement Prize**; and the **Equal Opportunities Award of the IHK-Foundation**. There are many **universities, additional to the ones mentioned here, which award departments or other universities** for their gender-related policies. The ones chosen here are particularly good practices. Many universities have a well-documented internal approach to promote gender equality, often combined with a fund to reward exceptional efforts.

Finally, in Germany there are many examples of Awards for individual researchers, as for example **the Franziska-Braun Prize, Margherita-von-Brentano Prize, and the Bertha-Ottstein Prize** which are not further discussed in the report.

What is the impact and role of financial incentives in promoting gender equality within research organisations? Does it lead to long-term commitment?

The incremental policy path for increasing women's equality in German higher education mobilised national funding agencies and local gender equality officers as key actors (Zippel, Ferree, Zimmermann 2016). Over the past two decades, gender equality policies in Germany's higher education have been gradually established, not least supported by EU policies. In 2007, the federal government, the federal states, and the German Research Foundation (DFG) reacted to the recommendations of the German Science Council (...) to improve equal opportunities by implementing new gender equality policy programmes. These included the Women Professors Programme, which has been providing considerable financial incentives for equality in science and



research since 2007, as well as the DFG's award practice, which has played a major role in structuring gender-related issues at universities since 2008. For the first time, this included target quotas for the representation of women at all levels of qualification. As a result of these measures, new structures, functions, and instruments related to gender equality were established in science organizations. Gender equality has thus become a factor relevant to academic competition. Moreover, some authors have argued, German equality advocates also used 'meeting international standards' as leverage, drew on self-governance norms among universities, and used formal gender plans as mechanisms to direct change (Erbe, 2013). Without a convincing equality concept, it is now considerably more difficult for higher education institutions to attract third-party funds from the federal government, the federal states and the DFG.

The Women Professors Programme has been credited with introducing competitive mechanisms awarding funds as positive incentives for the development and the implementation of qualitatively convincing concepts for gender equality in HEI. Zimmermann (2012) concludes that the programme gained an immense acceptance and showed effects - promoting more women professorships and gender equality measures. The programme has been very well received by many universities, not least because of the financial aspect of it. In the first programme phase, 152 universities submitted an equality concept, in the second programme phase the participation increased to 184 universities. 124 universities were successful with their equality concepts in the first and 147 in the second programme phase. In the first submission round of the third programme phase, 86 universities succeeded (BMBF (2018)).

An evaluation of the Women Professors Programme by the Leibniz Institute in 2017 concluded that due to its discursive effects, the competitive nature and the acquisition of funding, the programme has led to a higher acceptance of equality considerations. In addition, participating universities could boost their reputation. The Leibniz Institute remarks, however, that there is still no recognition that linking gender equality and excellence could be a possible competitive advantage. (GESIS, 2017)

According the Leibniz-Institute, it is also difficult to measure the sustainability of the programme including the commitment by participating universities to continue proactive policies on gender equality in higher education. The study reveals that a high proportion of measures which were linked to the first funding round are still in place even though the funding for them has stopped. The continuation of these measures, e.g. measures to improve work-life balance, depends also on the university-specific factors such as size and endowment, regional specificities, and as Anke Erbe (2014) argues, women's participation in higher management positions at universities and research institutions.

A university specific example:

There are many universities which can serve as good model practice where the commitment to promote gender equality in research has been firmly established. One such example is Bielefeld University which realized already as early as 1998 that an equality concept based solely on persuasion could not have any resounding success in the form of higher proportions of women among students, graduates and doctoral candidates and that specific financial incentives were needed to achieve these goals. Today, as part of an indicator-driven financial distribution, faculties at Bielefeld University are annually assessed as to the number of female new students, graduates, and doctoral candidates. If women are found to be underrepresented in these areas, the faculties must provide funds from their regular budget that are earmarked for the promotion of women. The faculties are required to report annually on the use of the funds. Funds not used or not used for the intended purpose are automatically carried over to the following year. To improve the situation of women sustainably, the money could not be used for the individual support of women but is used to reduce structural disadvantages for women.

This model has proven to be highly effective at Bielefeld University and will be continued in the future, also in accordance with the DFG's current recommendations regarding taking gender aspects into account when awarding performance-based funds.

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| | |
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| <p>Total E-QUALITY award</p> <p>Award https://www.total-e-quality.de/award/ ; https://www.gesis.org/en/cews/services/resources/total-e-quality</p> <p>Awarding Body: Target Audience:</p> | <p>1997</p> <p>National - Germany Manuela Butkus Contact for applications in the business sector, administrations. membership and press contacts Phone: +49 (0)9708 909-110 Mail: manuela.butkus@dt-shop.com Dr. Nina Steinweg Contact for applications in the science sector. (CEWS) Phone: + 49 (0)221 47694-264 Mail: nina.steinweg@gesis.org</p> <p>TOTAL E-QUALITY Deutschland e. V. Both business/others and Higher Education and Research</p> |
|---|---|

Overall description:

The TOTAL E-QUALITY award is presented each year for exemplary activities in terms of human resource management aimed at promoting equal opportunities. It is addressed to organisations from the private sector, science and administration and associations with a minimum of 15 employees that successfully implement gender equality in their personnel and organisation policies. Only voluntary activities that go above and beyond what is required by law qualify for the award.

The basis for the TOTAL E-QUALITY award is the use of a **self-assessment tool**. It contains suggestions on how organizations, universities and research institutions can further develop their equal opportunities policy and improve its quality. Against the background of ongoing reform processes at scientific institutions, the TOTAL E-QUALITY rating is intended to help promote the inclusion of proven and innovative gender equality measures and parameters in the reorganization or to integrate them directly. The self-assessment tool also enables the university or research institution to make the status of gender equality in its own institution visible.

Since 2016, a diversity “add-on” has been included in the application form.

Validity

3 years with possibility to renew

Eligibility and requirements:

Eligibility

All companies and RPOs that have more than 15 employees.

Requirements

There is one deadline per year: for 2020 it was April 30th. The applying organisation needs to submit a self-assessment regarding gender equality.

Other information

From 1997 to 2017, 735 awards have been presented to 305 organisations. In 2018, 50 organisations were awarded (27 businesses and to 23 organizations from the field of science and research; 11 applicants were able to be awarded for the first time; 29 organizations received the Add-On Award for Diversity; 2 were honoured with the Sustainability Award)



Business model:

Total E-Quality is an association where all resources come from admission fees of companies/RPOs, yearly membership fees, processing fees for the award or donations. Until 2009 it has additionally received financial resources from the German Federal Ministry of Family, Senior Citizens, Women and Youth.

Certification process, assessment, and support:

The application is based on the so-called self-assessment tool, which supports the implementation of activities to improve equal opportunities. The self-assessment tool (for scientific institutions and universities) is divided into eight fields of action in which the efforts to achieve equal opportunities can be expressed: 1. Recruitment and filling of posts; 2. Career and personnel development; 3. Reconciliation of work and family responsibilities (work-life balance); 4. Institutionalized gender equality policy; 5. Planning and control elements in organizational development; 6. Organizational culture; 7. Research, teaching and studies; 8. Moral harassment, sexualized discrimination and violence.

For each action field specific indicators are defined which measure the status quo of activities in these fields and identifies who is responsible for implementing them. The activities have to be described in more detail and how they will be implemented. Furthermore the applying organisation needs to describe its activities and objectives in a short narrative. The assessment takes into account activities targeted towards the research personnel as well as towards administrative personnel.

The applications are examined by an **independent jury** of the TOTAL E-QUALITY Deutschland e.V. association. The jury consists of competent representatives from science and research.

The award is granted for **three years** and consists of a certificate and the rights to use the TOTAL E-QUALITY logo for marketing and public relations.

Criteria and Indicators used:

The awarding jury examines the answers to the following questions, allowing for a holistic assessment without being bound by strict numerical criteria.

- Do you employ women in scientific and non-scientific management positions or do you employ women in highly specialised positions without management responsibility (as project managers or similar)?
- Do you involve women in selection committees and/or do you address women in tendering procedures?
- Are women - even part-time - supported professionally (e.g. mentoring programmes)?
- Do you support your employees with childcare (financially, organisationally)?
- Does the women's/ gender equality officer have sufficient resources to work effectively?
- Do you integrate gender equality policy elements into your planning and management instruments (e.g. monetary and structural management systems, controlling systems, evaluation procedures)?
- Is equal opportunity integrated into the mission statement of your organisation?
- Do you integrate findings from women's and gender studies in research, teaching and studies?
- Do you support the recruitment of young women for studies and their chances for scientific and non-scientific careers?
- Is diversity a focal point in your institution that you actively work on?

Gender, diversity, and excellence:

Excellence is not specifically mentioned in the documents, but one of the action fields is called Research, Teaching and Study. It refers to whether the gender dimension/gender studies are integrated into research, teaching and the curricula. Diversity is also not specifically referred to.

The crucial factor is a company's ability to strike a balance between economic requirements and the interests of their employees by implementing suitable human resources strategies to establish equal opportunities.



Das Professorinnen Programm /The Women Professors Programme

2008

Certification

<https://www.bmbf.de/de/das-professorinnenprogramm-236.html>

National

DLR project management agency
Education, Gender Research
Department of Equal Opportunities, Gender
Studies, Diversity
Heinrich-Konen-Straße 1
D-53227 Bonn
E-Mail: gender@dlr.de

Awarding Body:

Federal Ministry of Education and Research

Target Audience:

Research and Higher Education

Overall description:

As one of the measures to keep more women in the science system after graduation and to increase their presence at all qualification levels, the federal and state governments launched the Women Professors Programme in 2008. Euro 150 million were made available for each of the first and second programme phases. In the third phase of the programme (2018 - 2022), the volume of funds was increased to 200 million Euros, so that the total volume of the programme reached 500 million Euros. The programme works on two levels: it aims to increase the number of female professors and to strengthen gender equality structures at German universities through specific measures.

Universities qualify for participation in the programme through equality concepts that are assessed externally. These concepts include measures to promote gender equality that are specifically geared towards the respective university. Universities that present a convincing equality concept can apply for start-up funding of up to three positions for female professorships for a period of five years.

A review panel determines the best equality concepts, reviews the documentation, and future equality concepts in terms of personnel development and recruitment on the way to becoming a professor. Up to ten universities that receive top ratings in this area receive the title "Equality: excellent!". They can additionally apply for funding for a fourth professorship.

Validity

5 years with possibility to renew

Eligibility and requirements:

Eligibility

Universities qualify for participation in the programme through equality concepts that are assessed externally.

Requirements

Equality concepts must include measures to promote gender equality that are specifically geared towards the respective university. Universities that present a convincing equality concept can apply for start-up funding of up to three positions for female professorships for a period of five years.

Other information

Here is a list of all applicants in the most recent application round:

https://www.bmbf.de/files/Einreichungsrunde_PPIII_erfolgreich_begutachtet.pdf

Business model:



The main source of funding is the Federal Ministry of Education and Research.

Certification process, assessment, and support:

The assessment is primarily based on the extent to which the concepts and documentation have the potential to ensure the gender equality efforts anchored in the respective university in order to sustainably improve the representation of women at all academic qualification levels.

The review panel determines the best equality concepts, documentation, and future equality concepts in terms of personnel development and recruitment on the way to becoming a professor. Up to ten universities that receive top ratings in this area receive the title "Equality: excellent!". They can additionally apply for funding for a fourth professorship.

The committee comprises 15 experts from science and universities, whose expertise extends to university planning and development as well as equality at universities. The committee is set up by the BMBF in consultation with the federal states. Together with the review panel, the BMBF determines the design of the review process, considering the relevant priorities mentioned above.

Support to applicants is provided through the sharing of best practices.

Criteria and indicators used:

The assessment process is based on the DFG (German Research Association) "Research-Oriented Standards on Gender Equality

General criteria are:

- Increasing the proportion of women in top scientific positions
- Career and personnel development for young researchers
- Acquisition of female students for subjects in which women are underrepresented

Additional criteria:

- Situation (deficit) analysis
- Gender equality goals and their contribution to profile building
- Package of measures
- Structural anchoring in the university / sustainability
- Quality management

Gender, diversity, and excellence:

This programme is within a broad approach of the federal government to achieve gender equality in Research and Education.

The Women Professors Programme is one of the initiatives of the BMBF.

Another particularly important is the Excellence Initiative where Gender equality became an important factor. It launched an important impetus for equality policy for the universities.

However, gender equality and diversity are not linked to the criteria of excellence.



| | |
|--|---|
| <p>Audit berufundfamilie und audit familiengerechte Hochschule - Zertifikatsverleihung</p> <p>audit workandfamily and audit family friendly university – certification</p> | <p>1999, 2002</p> |
| <p>Certification</p> <p>https://www.berufundfamilie.de/zertifikat-audit-berufundfamilie/auszeichnung</p> | <p>National</p> <p>berufundfamilie Service GmbH</p> <p>Hochstraße 49</p> <p>60313 Frankfurt am Main</p> <p>Deutschland</p> <p>+49 6971713330</p> <p>+49 697171333113</p> |
| <p>Awarding body:</p> | <p>berufundfamilie Service GmbH (Hertie Foundation) + The Federal Ministry for Economic Affairs and Energy and the Federal Ministry for Family, Seniors, Women and Youth (joint patrons since 2004)</p> |
| <p>Target Audience:</p> | <p>Both business/others and Higher Education and Research</p> |

Overall description:

The audit workandfamily (audit berufundfamilie) is the strategic management tool that supports companies and institutions in implementing a sustainable family- and life-phase-conscious personnel policy. The audit family-friendly university (audit familiengerechte hochschule) is the special instrument for creating family-friendly research and study conditions in universities. The audit is suitable for employers in any branch of industry as well as in various business units.

Validity

Three times three years with a review process.

Eligibility and requirements:

Eligibility

Companies, institutions, and universities

Requirements

- Use of the current external guidelines
- Compliance with the deadlines
- Completeness of the documentation (documents and content)

Other information

Since 1998 about 1,800 employers have been awarded the audit certificate.

Business model:

In 2011, the cooperative berufundfamilie Management was founded by authorized auditors for the audit berufundfamilie. The purpose of the cooperative is to develop and introduce strategic management tools to optimize family policies and work-life balance.

Certification process, assessment, and support:



An audit assesses the family and life cycle measures already in place. On that basis, it systematically develops the potential of the company/organization and ensures that work-life balance issues are anchored in the corporate culture by means of binding target agreements. After successful completion of this process, an independent board of trustees comprised of representatives from industry, academia, politics, and associations, decides upon the issue of the certificate. The practical implementation is annually reviewed by the berufundfamilie Service GmbH.

Criteria and Indicators used:

The auditing may comprise:

- family and life-phase leadership
- compatibility of work and care
- health management
- generation management
- internationality
- diversity
- dealing with different lifestyles

Indicators include:

- Flexible working hours
- teleworking
- event-related teleworking
- company health management
- parent-child room
- Social counselling
- Arranging emergency care
- help finding a kindergarten
- Consideration of part-time and school holidays when planning the event
- Improvement of a transparent overview over attendance / absence times, while at the same time, increasing mobility at work
- Increase the number of notebooks for event-related telework
- Introduction of virtual communication techniques
- Additional training opportunities for part-time employees

Gender, diversity, and excellence:

Use is made of the equality criteria and standards developed by the DFG (2008): The Research-Oriented Standards on Gender Equality. See English version:

https://www.dfg.de/download/pdf/foerderung/grundlagen_dfg_foerderung/chancengleichheit/forschungsorientierte_gleichstellungsstandards_2017_en.pdf

These standards do not include a reference to diversity or excellence.



CEWS-Hochschulranking / CEWS 2003**university ranking****University ranking**<https://www.gesis.org/cews/cews-home/>**National****Löther, Andrea****Corporate Editor****GESIS – Leibniz-Institut für Sozialwissenschaften****Kompetenzzentrum Frauen in Wissenschaft und****Forschung CEWS****Unter Sachsenhausen 6-8****50667 Köln****Tel.: + 49 (0)221 47694-256 Fax: + 49 (0)221 47694-199**www.cews.org www.gesis.org**Awarding Body:****GESIS - Leibniz Institute for the Social Sciences****Competence; Centre Women in Science and****Research (CEWS)****Target Audience:****Research and Higher Education****Overall description:**

The ranking is an instrument for quality assurance of equality measures at universities. The aim of the university ranking regarding gender equality is to highlight the gender equality success of universities in a nationwide comparison. The ranking according to different areas - students, academic qualifications, personnel, and changes over time - shows the strengths and weaknesses of the individual universities in their attempt to promote gender equality.

Validity

2 years, with a possibility for renewal.

Eligibility and requirements:

The CEWS university ranking includes all universities that are members of the University Rectors' Conference (HRK) and have at least 10 professorships, as well as universities that are not members of the HRK and have at least 30 professorships. A distinction is made between the three types of universities (universities including pedagogical universities and theological universities; technical colleges and administrative colleges; artistic universities). The overall ranking is only calculated for the universities for which values are available for all indicators.

Other information

The ranking in 2019 is based on data for 2017. Data from 292 universities were included; the overall ranking provides information on 63 universities, 134 universities of applied sciences and 44 universities of the arts.

Business model:

The main source of funding is internal to the GESIS - Leibniz Institute for the Social Sciences Competence; Centre Women in Science and Research (CEWS).

Certification process, assessment, and support:

The CEWS University Ranking takes the profile of the universities into account and uses the cascade model. By using that model to evaluate the indicators, universities with different subject areas can also be compared with each other. Depending on the qualification level and university type, the reference values are the proportion of women among students and doctorates. The CEWS ranking only takes into account universities that are members of the German Rectors' Conference (HRK) and other universities which have at least 30 full



professors. The ranking is based on quantitative data from 2017 regarding students, doctorates, junior professorships, academic and artistic staff and full professorships.

Criteria and Indicators used:

The CEWS university ranking uses the following seven indicators:

- Doctorate
- Scientific qualification after the doctorate
- Full-time scientific and artistic staff, below the lifelong professorship
- Professorships
- Changes in the proportion of women in full-time scientific and artistic work position, below the lifelong professorship
- Change in the proportion of women in professorships
- Students

The indicators follow the logic of the cascade model. The reference value is the proportion of female students and the proportion of women in doctorates.



Helga-Stödter-Preis der Handelskammer Hamburg / Helga Stödter Prize from the Hamburg Chamber of Commerce

2014

Award

<https://www.hk24.de/helga-stoedter-preis>

Subnational

Christine Hohmann, Tel.: 0 40/361 38-286, E-Mail: christine.hohmann@hk24.de or Ulrike von Sobbe, Tel.: 01 51/40 42 94 00, E-Mail: uvonsobbe@helga-stoedter-stiftung.de.

Awarding Body:

Chamber of Commerce Hamburg

Target Audience:

Business/Others

Overall description:

The Hamburg Chamber of Commerce and the Helga Stödter Foundation work together to promote more women in management positions. With the nationwide unique “Helga-Stödter Prize of the Hamburg Chamber of Commerce, both institutions honour Hamburg companies that work exemplary and sustainably for a balanced relationship between women and men in management positions.

Validity

Information not available.

Eligibility and requirements:

Awards are given to companies that are based with their company headquarters or division in the Free and Hanseatic City of Hamburg. Membership in the Hamburg Chamber of Commerce is a prerequisite for participating in the competition. All types of companies with at least five employees who are subject to social security contributions can apply.

Submission of a short concept and one or more case studies to describe how mixed leadership is lived and implemented in the company and which measures are taken to promote the potential of women in management positions.

Business model:

The main source of funding is the Helga Stödter Foundation.

Certification process, assessment, and support:

Two prizes are awarded: in the “Small and medium-sized company” category (5 to 499 employees) and in the “Large company” category (500 or more employees).

An independent jury with representatives from business and science decides on the awarding of the prize. The evaluation in individual cases is the responsibility of the jury and cannot be contested.

Criteria and Indicators used:

The company should use one or more case studies to document that the commitment to “mixed leadership” is “lived” in the company and has been anchored in the corporate culture for at least one year. The yardstick is, among other things, the ratio of women to men in management positions. Another key criterion is the active advancement of women for management positions. Furthermore, evaluation criteria include:

Engagement: Awards are given to companies that have anchored the principle of “mixed leadership” in their corporate culture and who stand up for the promotion of qualified women in an exemplary manner.



Effective strategy: The yardstick is, among other things, the ratio of women to men in management positions. If the proportion of women in management positions in the company is already comparatively high or if the ratio of women and men in management positions is balanced, then it is crucial that this success is the result of targeted mixed leadership strategies and measures. The high proportion of women in management positions due to the type of industry (“typical women's professions”) alone cannot be seen as a special mixed leadership engagement or as a special support for women in management positions.

Sustainability: Another key criterion is the active advancement of women in management positions. The corporate strategy should make it clear that the measures are a long-term, sustainable development within the company.

Active involvement: Deliberate measures to promote qualified women (examples that are given are: mixed-leadership-adequate job advertisements and job descriptions as well as transparent and mixed-leadership-adequate selection procedures; status analysis of the proportion of women in management positions; targeted further training offers for women with managerial responsibility; encouraging women to apply for leadership positions; possibility to exercise managerial positions part-time; designation of contact persons in the company with responsibility for “mixed leadership”; measures to raise awareness of mixed leadership).



Bielefeld Equality Award/ Category Structural Equality Measures

2015

Award

<https://www.uni-bielefeld.de/gender/gleichstellungspreis.html>

Subnational

**Das Gleichstellungsbüro der Universität Bielefeld
Universitätsstraße 25 D-33615 Bielefeld
Räume: L3 -- 113/ 117/ 119
gleichstellungsbuero@uni-bielefeld.de**

Awarding Body:

University Bielefeld

Target Audience:

Research and Higher Education

Overall description:

Every three years, coupled with the duration of the equality plans, the Rectorate of Bielefeld University awards the Bielefeld Gender Equality Prize in three categories, which is based on the classification of the DFG Equality Standards, and focuses on the promotion of human, structural and content equality.

Since 2015, one of the three categories have been awarded every year, according to the amendment of a rectorate's decision.

- 2015 / 2018: Gender Research
- 2016 / 2019: Successes in the recruitment of female professors
- 2017 / 2020: Structural equality measures

This prize is aimed at developing new measures that could promise success to meet targets or improve the situation of women of all status groups in the long term.

Validity

N/A

Eligibility and requirements:

Faculties/departments and institutions as well as individuals are entitled to apply. The prize aims to promote measures that could promise success to meet gender equality targets or improve the situation of women of all employment groups in the university in the long term. In particular, this prize also aims to encourage faculties/departments and institutions to develop ideas for structural measures that address specific barriers such as found in scientific and technical faculties or departments, which have so far been unable to develop equality activities. Both measures already implemented and planned are worthy of a prize if the application shows which objectives of the equality plan have been or are to be achieved with the developed idea and in what way. The applications should be meaningfully justified (no more than three pages) in accordance with the criteria and sent to the Rectorate with a time and cost plan.

Other information

From 2013 to 2019 there have been 7 award winners.

Business model:

The main source of funding is the Bielefeld University, with a total amount of 10,000 EURO

Certification process, assessment, and support:

As a jury for the screening and evaluation of applications, the Commission for Equality between Women and Men (FGK) is instructed by the Rectorate to draw up a well-founded list of proposals for the award of prizes. The selected participants will receive up to 10,000 euros to carry out or continue the award-winning measure. The Rectorate decides on the awarding of the prize. The prize may also be shared and will be awarded as part of the university reception.



Criteria and indicators used:

- Integration into the objectives or priorities of an equality plan
- Sustainability
- Creativity, originality, and innovative power
- Possibility of realisation and transferability to other areas (alternatively, an interdisciplinary orientation is conceivable)
- Relevance for the further development of the gender equality concept of Bielefeld University

**Universität Hamburg Equal
Opportunity Prize — previously
known as the Women’s
Advancement Prize**

1997

Award

<https://www.uni-hamburg.de/>

Subnational

Dr. Sophia Booz

Tel +49 40 42838-8218

Email: sophia.booz@uni-hamburg.de

Deputy: Franziska Nitsche, Antje Newig
gleichstellung@uni-hamburg.de

Awarding Body:

Akademische Senat der Universität Hamburg

Target Audience:

Research and Higher Education

Overall description:

The University of Hamburg's Equality Award is given annually for outstanding, visible and sustainable commitment to gender equality measures in the areas of gender equality, diversity and compatibility at the University of Hamburg.

The Equal Opportunity Prize—previously known as the Women’s Advancement Prize, first given in 1997—will be awarded for the fifth time in 2020. Worth €10,000, the prize is presented to individual members, groups of members, or organizational units of the University who have served as role models in dealing constructively with diversity and who have made lasting contributions to strengthening heterogeneity and equality at the University.

Validity

No information available

Eligibility and requirements:

All members of the University can submit nominations or nominate themselves. The nomination or personal application should contain a brief description of the equal opportunity project or activity including its aim, target group, timeframe of past implementation, and plans for future gender equality measures.

An outline how the project or activity promotes equal opportunity.

In the case of nominations made by third parties, the nominated persons or entities may, if necessary, provide the relevant

Other information

5 winners under the new name.



Business model:

The main source of funding is the University of Hamburg; total amount of 10'000€

Certification process, assessment, and support:

information.

Upon recommendation from the Equal Opportunity Committee, the Academic Senate decides to whom the prize will be awarded, whether to an individual, multiple individuals, or groups.

Criteria and Indicators used:

No information available.

Chancengeber-Award der IHK- Stiftung / Equal Opportunities Award of the IHK Foundation

2016

Award

<https://www.kofa.de/>

Subnational

Tina Riepel

Telefon: 0221 1640 6683

E-Mail: tina.riepel@ihk-stiftung.koeln

Awarding Body:

IHK - Stiftung für Ausbildungsreife und
Fachkräftesicherung

Target Audience:

Business/others and Research and Higher
Education

Overall description:

The Equal Opportunities Award honours companies from the Cologne region which make a valuable contribution to professional integration and who are involved regionally. Successful approaches should be made visible to encourage others to imitate them.

This year, (2020) the prize is awarded to a company that makes special contributions in the field of promoting women. These include, for example, the promotion of re-entry opportunities and part-time models or the promotion of women with a migration background."

Validity

No information available

Eligibility and requirements:

The company must be based in the region of Cologne.

Business model:

The main source of funding is IHK Foundation.

Certification process, assessment, and support:

The applicants must fill in the application form (available on the website):

https://www.kofa.de/fileadmin/Dateiliste/Publikationen/Veranstaltungshinweise/Bewerbungsformular_Chancengeber_2018.pdf

No other information available.

Criteria and indicators used:

- Implement projects that promote and encourage women in male-dominated occupations (MINT)
- Use special recruiting tools to target women
- Support women's career development on an equal basis, e.g. through systematic return management, in-company training and further education or programmes especially for women
- Address and promote women that are from cultures in which “working in a job” is men’s business
- Provide counselling services for women in special situations
- Strengthen the compatibility of family and work with different working time models

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GREECE

[Link to references](#)

National CAS:

- Equality Badge
- Great Place to Work Hellas
- The Best 5 Companies for Equal Opportunities

Number of HRS4R awardees:

- 2 (as of 30/06/20)

National context for Quality Assurance and Accreditation

The **public funding system** for higher education and research institutions is **not performance based**. This has ensured low levels of stable funding for all institutions, but also low levels of scientific excellence and innovation compared to the EU average (EC, 2019). As most funding for research and innovation activities comes directly or indirectly (through the Greek state) from EU funds, however, performance indicators for EU-funded projects play a determining role in the national evaluation of research quality in Greece.

Most evaluations of the national programs for research are done in English by **international committees of external evaluators**. In national calls for research funding, applicants are required to write proposals in English and international evaluators are recruited to ensure the impartiality of the procedure (EC, 2018).

According to Law 4009/2011, **the responsibility for quality assurance lies with Higher Education Institutions**, which establish **Quality Assurance Units** (QUA or MODIP) for this purpose. The QUA is supported by an independent body, the **Hellenic Quality Assurance and Accreditation Agency (ADIP)**, that sets the main principles for the evaluation and the accreditation of teaching and research in each institution and organizes the procedures for accreditation including the establishment of criteria and a register of independent experts. (ADIP 2019).

Accreditation of Higher Education Institutions includes (a) internal evaluation and (b) evaluation by a committee composed of independent evaluators, who assess the quality of the internal evaluation procedures in each institution and the quality of the study programs (ADIP, 2019). Once a demand for accreditation is sent by a Higher Education Institution, ADIP conducts an internal control and sets up an Accreditation Committee (AC) of external experts, who write an accreditation report after carrying out the necessary checks and visits. The accreditation experts are selected from ADIP's register.

ADIP has introduced **gender balance as a criterion for the accreditation** of study programs. However, it doesn't make extensive usage of other gender-based indicators for the evaluation and accreditation of Higher Education Institutions.

Moreover, it has introduced gender balance as a criterion **for the composition of the ACs** (ADIP, 2017). However, the principle of at least one third representation in all Higher Education Committees is not respected in the procedures of accreditation. For example, in the period from October to December 2018 the composition of ACs shows that out of 45 external experts for the accreditation of internal



evaluation procedures only 4 were women and out of 33 external experts for the accreditation of study programs only 7 were women (ADIP, 2019).

Gender in research and higher education

In Greece, there is a legal framework for the promotion of gender equality in decision-making bodies in higher education and research institutions.

According to **Law 2839/2000**, at least one third gender representation is required in all decision-making public bodies, including Universities and Public Research Institutions. Moreover, the same principle is extended to include, according to **Law 3653/2008**, at least one third representation in all committees for the monitoring and evaluation of research and higher education bodies and funded research proposals, as well as committees established for the implementation of national policies for research and innovation.

In practice, this legal framework has not been implemented mainly because it premised on the condition that there is a sufficient number of candidates that have equal academic qualifications.

This legal framework defines **the relationship between gender equality and excellence in research and education** as a question representation and decision-making.

The current levels of representation of male academics in relevant committees are much higher resulting into **various problems** including the reproduction of existing gender inequalities, the marginalization of gender issues and approaches, gender biases in policy making on higher education, research and innovation, gender discrimination personnel recruitment for teaching and research and gender inequalities in the allocation of funds for research proposals.

By establishing rules for more balanced committees these laws foresee the introduction of **concrete measures and provisions** for the mainstreaming of gender equality in decision-making in higher education and research institutions.

There are no references to **awards or certification** in this legislative framework. The approach is not **intersectional**. There are no direct links between **funding and gender equality**, but indirectly funding will be affected if these provisions for one third gender quota is implemented in committees that hold responsibility for research funding.

The **General Secretariat of Gender Equality** has introduced as one of its policy goals for the period 2016-2020 the inclusion of the thematic area “gender studies” in the study programs of all departments of sociology and social policy (GSGE, 2016).

Also, according to **L. 4604/2019**, Higher Education Institutions (A.E.I.) should “ensure the promotion of gender equality at all levels and processes of academic life”. Moreover, **L.4589/2019** established Gender Equality Committees in all Greek Universities, which will act as advisory bodies promoting gender equality at different levels of academic life.

The committees are established in order to place **the relationship between gender equality and excellence in research and education** at the forefront of academic debates and processes. This legislation aims to address specific **problems**, such as the absence of gender equality from higher education and research agendas, the persistence of gender inequalities, harassment, sexism and discrimination. The research committees are expected to cover several areas in which such problems



are manifest including (a) action plans for gender equality in each institution, (b) measures for combating gender inequality and sexism, (c) education and training on gender equality to the members of the academic community, (d) mediation in cases of discrimination and harassment (e) promote seminars and lectures on gender equality (f) promote research and studies on gender (g) assistance to victims of discrimination.

There are no references to [awards or certification](#) in this legislative framework. The approach is not [intersectional](#). There are direct links between [funding and gender equality](#), as one of the tasks of the Committee is to promote research on gender. Although these Committees have been established, they have not been activated yet. The Gender Equality Plans that are envisaged for all Greek Universities have not been completed yet.

As explained above, **EU funding represents a significant percentage of Higher Education and/or Scientific Research & Innovation activities**. This has resulted in the incorporation of principles of gender equality in the recruitment of non-tenured teaching and research staff. Given the limited percentage of new staff under permanent contracts because of the policies for the reduction of public expenditure under the Memorandums of Understanding (MOUs), this impact is quite extensive.

For example, the vast majority of temporary teaching staff currently teaching in Greek Universities was recruited in the context of the **EU funded National Strategic Reference Framework (2014-2020)**, which makes mandatory the principles of transparency, non-discrimination and gender equality in recruitment procedures.

Moreover, **EU criteria for evaluation had a deep impact on Greek research funding**. For example, the Foundation for Research and Innovation (ELIDEK), established by Law 4429/2016, which is funded by the European Investment Bank and the Greek Public Investment Program, adheres to the principles of non-discrimination and gender equality in the procedures awarding scholarships to PhD candidates and funding for research proposals to post-doctoral researchers and tenured staff.

[Introduction to the CAS in Greece](#)

In Greece, there are **no CAS specifically addressing gender equality in Universities and Research Institutions**. However, a recent initiative by the General Secretariat of for Family Policy and Gender Equality has introduced the **Equality Badge award**, which is intended for both the private and the public sector. The award, which has been established by law as part of the Greek Government's plan to enhance work-life balance, equal pay and women in decision-making is not related directly to research or University education, but may potentially include also institutions of the public sector, such as research centres and Universities. The scheme has not been fully designed or implemented yet, but will be piloted during the next year with funding from the European Union in the context of the project SHARE. Once implemented it will be of medium priority.

The other two schemes are of low priority: The **Great Place to Work Hellas** is the Greek version of the international certification award, which includes criteria and indicators linked to gender equality for Family Policy and Gender Equality. The final award, The **Best Five Companies for Equal Opportunities** was introduced as part of an EU funded project in 2007, and gave awards to companies for gender equality, but was not sustainable after the end of the project.

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| | |
|---|---|
| Equality Badge | 2019 |
| Award http://www.isotita.gr/wp-content/ | National // |
| Awarding body: | General Secretariat for Family Policy and Gender Equality (Formerly General Secretariat for Gender Equality) |
| Target Audience: | Both business/others and Higher Education and Research |

Overall description:

The Equality Badge (2019-ongoing) is an award established in order to encourage and promote the work of public and private enterprises that “excel in the implementation of policies of equal treatment and equal opportunities for female and male employees” (Law 4604/2019). The Award authority is the General Secretariat for Family Policy and Gender Equality, the governmental agency responsible for gender equality policies (formerly General Secretariat for Gender Equality). It was established in the context of the National Plan for Gender Equality ,which is enshrined in L.4604/2019. It has not been implemented yet, but the GSGE has obtained EU funding to implement a pilot project (SHARE), which will lead to the permanent establishment of the award. As public enterprises will be included, it might eventually include also research institutions in the private and public sector.

Validity

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Eligibility and requirements:**Eligibility**

Not available yet

Requirements

Not available yet

Business model:

Main source of funding is the governmental institution sponsorship.

Certification process, assessment, and support:

Not available yet

Criteria and Indicators used:

Not available yet

Gender, diversity, and excellence:

The equality badge is part of the National Program for Substantive Gender Equality and is established by law. No references to excellence and quality in research, only to equal pay and work-life balance.



| | |
|---|---|
| Great Place to Work - Hellas | 2006 |
| Award https://www.greatplacetowork.gr/ | National // |
| Awarding body: Target Audience: | Great Place to Work-Hellas Business/Others (Enterprises from the private sector) |

Overall description:

Great Place to Work Hellas (2006 – ongoing) is an award scheme that evaluates, analyzes and promotes Greek companies that invest in the creation of a good working environment. It is based on the evaluations of staff and the relevant reports of the companies. Although it is not fully devoted to gender equality it is relevant because it includes equality and discrimination. The Award authorities are Great Place to Work Hellas in collaboration with the Alba Business School, the American College of Greece. The Targets are: (1) Greek Companies of 250+, (2) Greek Companies of 50-250, (3) Greek Companies of 20-40.

Validity

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Eligibility and requirements:**Eligibility**

Companies of all sizes from the private sector can apply.

Requirements

Companies need to complete an application form. The next step is evaluation, which is based on structured questionnaires to the employees and the management. Then, the data collected is analysed based on the Great Place to Work Model. The next phase focuses on feedback. Finally the companies with the highest scores are being given awards.

Other information

List of awarded institutions in 2019 available [online](#)

Business model:

The main source of funding is internal to the Great Place to Work-Hellas.

Certification process, assessment, and support:

Employees are asked to respond to a 58 questions from a structured questionnaire. (Trust Index). The questionnaires are anonymous and confidential available in both electronic and printed forms. A second questionnaire is also been sent to the Management to assess main policies and programs (Culture Audit). 2/3 of the evaluation are based on the Trust Index and 1/3 on the Culture Audit.

Feedback is given to companies for improvements after the assessment.

Criteria and Indicators used:

(1) credibility of the Management, (2) respect towards the employees, (3) sense of pride of workers, (4) sense of companionship. The most important indicator for gender equality is (5) sense of justice: including equality, impartiality in recruitment and promotion, social justice and absence of discrimination.



The Best Five Companies for 2007 only

Equal Opportunities

| | |
|--|---|
| Award | National |
| http://www.alba.acg.edu/about-alba/news-and-events/news/new-competition-top-five-companies-in-equal-opportunities/ | Mr. Aristotelis Alexopoulos, 210 8964531, aalexopo@alba.edu.gr |
| Awarding body: | Alba Business School |
| Target Audience: | Business/Others |

Overall description:

The Best Five Companies for Equal Opportunities (2007) was an award developed in the context of the EU funded project ANTHISIS under the program EQUAL. The Award authorities were: (1) ALBA Graduate Business School (2) SEV: The Hellenic Federation of Enterprises, and (3) the General Secretariat for Gender Equality-Ministry of the Interior. The Targets were companies of all sizes. The Methodology was based on a questionnaire for directors of human resources departments. There is no web-site and information on indicators.

Validity

One-time award in 2007.

Eligibility and requirements:

Eligibility

All Greek companies were eligible.

Requirements

None

Business model:

EU funded project (co-funding)

Certification process, assessment, and support:

Unclear assessment methodology, including questionnaires with Company Directors and Human Resources Departments.

Criteria and Indicators used:

Not available.

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HUNGARY

[Link to references](#)

National CAS:

- Award for Creating Opportunities
- Family-Friendly Place Trademark
- The Best Workplace for Women
- Responsible Employer of the Year
- Responsible Business in Budapest 11. district
- Family-friendly Business in Budapest 11. district

Number of HRS4R awardees:

- 0 (as of 30/06/20)

National context for Quality Assurance and Accreditation

The Hungarian Academy of Sciences (MTA) is the main public body which practises, supports, oversees and represents science (“MTA and Science” n.d.). In 2019 the Ministry of Innovation and Technology became in charge of two-thirds of MTA's funding and took away its research network (Kovács, 2019).

The funding schemes are for grant programs, mostly for individual researchers and occasionally for research groups. Accessible evaluation criteria are formal and general.

The quality assurance of MTA research network is based on the approval of the research centres' own reported quality regulations. Some (social science) reports mention that their research content targets gender inequality.

The National Research, Development and Innovation Office, supervised by the Ministry of Innovation and Technology, manages research funds both from international and national sources; the **National Research, Development and Innovation Fund (NRDI)** is responsible for the latter. NRDI is “financed from the innovation contributions of businesses and the complementary contribution of the central budget. (...) A complex multi-stage assessment process based on a transparent system of criteria and the involvement of review panels and anonymous peer reviewers ensure the selection of the most promising projects.” (“The assessment of proposals submitted to NRDI Fund calls”, 2018)

No application/monitoring criteria were found that would refer to gender/diversity measures.

In Higher Education, **accreditation processes** are based on the suggestions by the **Hungarian Accreditation Committee** (Magyar Akkreditációs Bizottság, **MAB**). MAB's membership in ENQA got renewal in September 2018.

The legal basis for quality assurance stems from the Higher Education Act of 2005, which “*did not specify criteria and procedures for the internal quality improvement of institutions but encouraged the use of quality management systems based on self-evaluation.*” MAB's “*main task is to accredit institutions and their programmes, but, on request of any higher education institution, it may also evaluate their quality assurance programmes.*” (“Hungary. Quality Assurance”, 2020)



Through the Educational Authority, the **overall responsibility in accreditation lies with the Ministry of Human Capacities (EMMI)**.

In some of the Ministry's decisions, MAB's suggestions were not considered, as former MAB president Bazsa writes (2014, pp. 98-99).

Procedures by **MAB**:

- **evaluation** on starting new (or renewing) Bachelor/Master/PhD Programs, HE institutions (plus, evaluating University Professor Titles) examines the aspects of the national higher education law and executive decrees, as well as the academic and education content of the program
- **accreditation** (quality certification) procedures examine if the institution has a quality assurance system based on the review of institutions' self-assessment reports
- **additional optional internal quality assurance**, based on self-assessment (e.g., following the EFQM quality assurance policy in University of Miskolc).

There is **no specific gender content** among assessment criteria. Diversity does appear as aspects for self-assessment: ("What (measures, actions) does the institution do so that professors, staff and students prepare against any kind of intolerant and discriminatory behaviour?") According to the MAB Secretary: "Diversity characterises a student community in terms of gender, social status, ethnicity, world view, etc." (email communication, 16 April 2020).

Institutions' reports occasionally mention disability and underprivileged status, and Committees of Equal Opportunities. A special case was¹¹² the Central European University, which explicitly included gender diversity.

Regarding the use of awards for special funding, following the new Higher Education law in 2011, formerly existing mechanisms like Award for Higher Education Quality (FMD, from 2006) stopped. In 2018 the government founded an "**Institutional Excellence Award**" (Intézményi Kiválósági Díj): Though there is limited information available online (governmental decree 1381/2017. (VI. 16.)), there is a prize 43 million EUR for 13 HE institutions' 3-year-long research projects, with a focus on the business use of research as a measure of excellence. No gender equality indicators were found.

¹¹² In 2018, the government erased CEU's Hungarian accreditation (which also has US-accreditation).

Having approved the launch of Gender Studies (Társadalmi Nemek Tanulmánya) MA upon MAB's accreditation in 2016, the Ministry EMMI erased the Hungarian accreditation in 2018, arguing that it lacked a business rationale. The government's rhetoric referred to ideological motivations (see "Gender studies banned at university – the Hungarian government's latest attack on equality" 2018). MAB was "not aware of any professional or scientific reason for closing the programme" (in English see "Statement by the Board of the HAC concerning the study programme 'Gender Studies'", 2018).



Gender in research and higher education

Beside general equal treatment legislation, **there is no national policy specifically targeting GE in Research/HE.**

According to EIGE (“Gender Equality in Academia and Research. Hungary”, 2016), “*The Act CXXV of 2003 on Equal Treatment and the Promotion of Equal Opportunities is the main legislation guaranteeing equal treatment in Hungary. It recognises a number of protected grounds, among them “gender”, “motherhood”, “pregnancy” and “fatherhood” (...)* The National Strategy for the Promotion of Gender Equality – Guidelines and Objectives 2010-2021 (1004/2010 I.21) has a two-bullet point section on women in science in chapter V subchapter 3. It sets as a goal the promotion of women’s and men’s equal participation in the field of sciences”.

“no gender equality plans had been set up in public research institutions. Nonetheless, general equal opportunities plans are in place and include a few initiatives to promote gender equality in research.”

Gender inequality is only implied regarding child care, interfering with academic work, and measures operate with age limit extensions. These policies do not have an intersectional approach nor links to funding programs.

Since 2009, the **policy of Hungarian Academy of Sciences (MTA) for research funding** includes age limit extension aimed at parents (Hungarian version once mentioning “female researchers” (kutatónők):

“a researcher raising a child shall be granted an age limit extension of 2 years per child as an extension of the standard age limit where prior to the submission of the application the researcher has received childcare benefit[s]” (see “MTA Lendület (‘Momentum’) Programme (2020–2025)”, 2020).

There is **no national specific gender equality award or certifications for research institutions**, only international ones (e.g. Minerva) which are translated or adapted.

In general, there are very few awards for research centres. Among national governmental/municipal awards in the name of “equal opportunity”, there is only the **Award for Creating Opportunities by Ministry of Human Capacities** for institutions.

Broadly, in the area of certifications and awards beyond education/research, the mostly used term is “equal opportunities”, referring to the Roma (and the poor, in “underprivileged status”), and disability. It suggests that **women are not typically considered an underprivileged social group.**

The Hungarian government has created Grant To Create and Improve Family-friendly Workplaces (since 2011), coming with the title of **Family-friendly Workplace**. HE Institutions are in a large proportion among its recipients.

In 2013, a state-supported initiative for higher birth rate (Three Princes and three Princesses Movement) founded the Family-friendly Company of the Year Award. The Movement has a special Family-friendly University Program, including agreements with HE institutions, to help mothers in Higher Education.

In 2019, the government also introduced a Family-friendly Trademark certification system (**Family-Friendly Place Trademark**).



The main idea behind the Hungarian policies for gender equality in research and education is “family”, with a stated objective to increase child birth especially in well-educated families. This in many cases indeed entails work-life balance programs and policies which help women. But the authorities and policy makers (including religious figures) also promote ideas reinforcing the patriarchal status quo. Finally, there are large overlaps among the Hungarian CAS (similar names of awards and grants; unclear final source of funding; winner Dean of one award is jury member in another, etc.)

The state gives huge amounts at both awarding and awarded organizations’ disposal (while it does not support NGO working specifically on violence against women). The awarding body (CSBO) for the Family-Friendly Place Trademark, for example, was the only organization that could apply to the 17 million EUR-amount grant (Hutter, 2017).

Introduction to the CAS in Hungary

In general, given the lack of specific gender-focused CAs, especially in terms of HE/research none of the following CAS are to be considered very relevant. However, some contain remarkable elements in terms of the goal of the present research, even if their roots/message/impact are ideologically mixed or contradictory (e.g., in promoting “family values”).

There are two governmental CAS:

Regarding the **Award for Creating Opportunities by Ministry of Human Capacities** [EMMI Esélyteremtésért Díj], earlier known as Award for Equal Opportunities by Ministry of Human Capacities [EMMI Esélyegyenlőségért Díj]: there is very little information available; nonetheless it is the only state recognition with a broad “equal opportunities” focus, for which institutions are also eligible (natural persons; municipality, church or civil NGOs; public institutions). Interestingly, it is given by the “Social and Family Affairs” branch of the Ministry of Human Resources, not the Education branch, nor the Innovation and Technology Ministry responsible for HE/research. In 2018, the Rector of University of Kaposvár as natural person received the award for his work in Roma integration, but otherwise there is no evidence of HE/Research institutions being awarded.

The **Family-Friendly Place Trademark** [Családbarát Hely Védjegy] was founded in 2019. With strong ties to the government, it has a remarkable budget and an ideological embeddedness, but it nevertheless has a couple of remarkable features: a well-elaborated procedure and criterium-system with indicators accessible online; a specific indicator set for HE institutions as a subcategory under Service Providers. HE institutions thus can be hypothetically assessed as both employers and service providers, the latter focusing on students (mostly as mothers); it strives to integrate other compatible family-friendly awards; it is sustainable, long-term, and improvement-focused: winner organisations are first given the Bronze category, then continuously assessed against it, and if they improve, they can be granted the Silver and Golden categories.

There are four CAS regarding Business:

The **Best Workplace for Women** by Association for Women's Career Development in Hungary [Magyar Női Karrierfejlesztési Szövetség “Legjobb Női Munkahely Díj”] was founded in 2007 (first in Europe), to promote women’s equal opportunity in workplaces. Interestingly, it can be granted to HE institutions (there is one among the previous winners). It is particularly remarkable for 2 reasons: it is



the only relevant award in Hungary which aims at “women” and “women’s equality”, and not “family”, and it has an intersectional approach.

Responsible Business and **Family-friendly Business** in Budapest 11. district [Felelős Vállalkozás és Családbarát Vállalkozás Újbuda] are two similar awards with possible overlaps, both by a municipality (Budapest 11. district). It is from a public body and given to businesses, to enhance their cooperation with NGOs, and its criteria include gender equality.

The **Responsible Employer of the Year** [Az Év Felelős Foglalkoztatója] has the least relevance. It mentions work-life balance as a possible aspect of responsible employment without listing gender equality as a criterion. Although the award has a separate category for public institutions, including HE, assessment does not include any research-related aspects either.

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| | |
|---|--|
| Award for Creating Opportunities by Ministry of Human Capacities [EMMI Esélyteremtésért Díj] | 2016 (2012 as Equal Opportunities Award) |
| Award // | National // |
| Awarding body: | Ministry of Human Capacities [EMMI, Emberi Erőforrások Minisztériuma] |
| Target Audience: | Business/Others: Public institutions |

Overall description:

The award is given for excellent outcomes in the area of promoting and creating equal opportunities, as well as for excellent activity in the area of widest possible realization and popularization of the rights of underprivileged social groups and of action for and protection of human dignity.

Validity

Unsure

Eligibility and requirements:**Eligibility**

Persons, NGOs, municipality and church institutions, and public institutions

Requirements

anyone can suggest a nominee with a data form and with a narrative description of the activities (from 0,5 to 3 pages long)

Other information

4 awards can be given/year: 2 for persons and 2 for institutions; 2 for social and integration affairs and 2 for family and youth affairs

Business model:

Governmental Institution sponsorship. The financial amount which comes with the award is 8 times the amount of the salary basis.

Certification process, assessment, and support:

There is a detailed governmental protocol concerning every award of the Ministry. The Undersecretary for Family and Youth (Család- és ifjúságügyért Felelős Államtitkárság) is responsible for the process of suggestions for the Award, consulting with the Network of Houses of Family, Opportunity Creation, and Volunteering (Család, Esélyteremtési és Önkéntes Házak Hálózata). The Network is supported by the Ministry EMMI and comprises of 20 NGOs, one of the 20 Hungarian counties each. (no other data found)

Criteria and Indicators used:

Unavailable

Gender, diversity, and excellence:

it mentions broad concepts of "equal opportunities", "social disadvantages", and "social and family affairs" without specifying any target groups. According to the winners found, the award supported Roma education programs (including a university rector), and an NGO working on research on cervix cancer. Among the possible dates of the award ceremony, the Day of Disability is mentioned.



Family-friendly Place Trademark 2019

[Családbarát Hely Védjegy]

Certification

<https://csalad.hu/csaladbarathely/>

National

ugyfelszolgalat@csbo.hu

(efop126@csbo.hu, titkarsag@csbo.hu)

Awarding body:

Családbarát Ország Nonprofit Közhasznú Kft. (CSBO) - non-profit institution under the Ministry of Human Resources

Target Audience:

Business/Others and Research and Higher Education

Overall description:

Certification opportunity for workplaces and service provider places to have an authenticated and high-quality evaluation on the place's family friendly operation. At the same time, it certifies the place's social responsibility. With the Trademark, a certification system, which means a calculable quality for all, has been elaborated.

There are different categories: Bronze, Silver, and Gold in 2 categories (employer and service provider). 2019: only Bronze given; Silver and Gold will be gradually introduced from 2020, given if Bronze winners will have established new family-friendly measures.

Its aim is to be an umbrella-certification, integrating other family-friendly CAs which fulfil the Certification's criteria. Other awarding organizations can apply to join the Certification, and if the criteria match, they sign cooperation agreement, then the institutions awarded by other organizations can get the Bronze Certification. The questionnaire for employers mentions by name other awards like Családbarát Munkahely Díj, Családbarát Vállalat Díj, The Best Workplace for Women (see next info sheet).

Validity

2 years validity, continuously assessed to keep the title; possibility to upgrade

Eligibility and requirements:

Eligibility

Businesses (micro, small, medium, and large), state-funded institutions (including HE institutions), NGOs and Church legal entities. Institutions in the for-profit, non-profit, and public sector are equally eligible.

Requirements

Fill in an online questionnaire. The first assessment document on the questionnaire is sent to the applicant in 60 days. If the institution reaches the minimum point level for the Bronze category, our colleagues go to the institution in 60 days to personally check the family-friendly measures reported. After this on-site audit the certification of the Trademark is handed in.

Other information

2019: "more than a thousand applied" and (only in Bronze category) 234 awarded; 2020: (only in Bronze category) 215 awarded

Business model:

Awarding body (Family-friendly country Ltd. / Családbarát Ország Nonprofit Közhasznú Kft., CSBO) is a state-owned non-profit organization supervised and supported by the Undersecretary of Family and Youth Affairs (Család- és Ifjúságügyért Felelős Államtitkarság) at the Ministry of Human Resources (EMMI). The certification process is part of the activities of the 'Family-friendly country' Project, which is supported from state budget and the European Commission's European Social Fund (Grant EFOP-1.2.6-VEKOP-17-2017-00001), all together with 6,17 billion HUF (17,5 million EUR).

Certification process, assessment, and support:



Assessment types: 1) By CSBO colleagues directly. After the filling of an online questionnaire, the first assessment document on the questionnaire is sent to the applicant in 60 days. If the institution reaches the minimum point level for the Bronze category (10/50 points), audit team goes to the institution in 60 days to personally check the family-friendly measures reported. Audit entails scoring and notes, checking the practice in 11 areas, including employment forms, employment benefits and services, mapping family-friendly attitude, physical and mental health protection, policy and regulations. After the on-site audit the certification of the Trademark is handed in. 2) Assessment using other, compatible assessment systems elaborated by other organizations who review the application materials. 3) Assessment by CSBO at other partner awarding organizations, 4) Continuous review of awarding partner organizations' criterium systems and assessment processes.

If an applicant does not meet the requirements for the Award, or fails at renewing the Award, they are still eligible for the consulting and organization-improving services of the Awarding Body (CSBO).

Criteria and Indicators used:

Criteria for employers: 1. atypical employment forms, 2. work conditions benefitting the employees in a greater extent than required in legal regulations, 3. supporting the employees in a greater extent than required in legal regulations, 4. supporting the employees in caring for family members in need of care during work hours, 5. family events, 6. corporate community building, 7. supporting employees' physical and mental health, 8. corporate events including employees' family members. Criteria for service providers: 1. wide range of material conditions securing the safe presence of families with children, 2. discount services for families, 3. family events, 4. child care provided during the service time. Indicators according to the questionnaire for educational service providers: pram accessibility and storage; protected waiting areas; user feedback; discount for families, pregnant women, care takers for relatives; (supervised) playing area, sport opportunities. For students with children: discounts, advantage in queuing, bureaucratic deadlines, and consultation hours; dormitory option with children (and for married couples); money benefits; child care during the day.

Gender, diversity, and excellence:

reference to the Hungarian Year of Families (2018); and the Book of Rules mentions the decree which mandated the NGO CSBO fund the Trademark: A Családbarát kormányzati intézkedésekről szóló 1098/2018. (III.19.) kormányhatározat (Government Resolution no. 1098/2018. (III.19.) on Family-friendly Governmental Measures)



The Best Workplace for Women by 2007

Association for Women's Career Development in Hungary [Magyar Női Karrierfejlesztési Szövetség "Legjobb Női Munkahely Díj"]

Award

<http://bestworkplaceforwomen.com/>,
<http://legjobbnoimunkahely.hu/>

awcdh@t-online.hu, ferenczi@t-online.hu
(Andrea Ferenczi, President of the NGO)

Awarding body:

Association for Women's Career Development in Hungary [Magyar Női Karrierfejlesztési Szövetség]

Target Audience:

Business/Others: employing entities officially registered in Hungary

Overall description:

The Prize has been established to point beyond the need for equal employment opportunities to the economic advisability and advantages of making more and more women part of the work force. Since 2007 we have carried out surveys in connection with our "Best Workplace for Women" Award among employers and employees. We have developed our Award with particular emphasis on 1) Introduction of Hungarian "best practices" on Hungarian and international platforms 2) Representation of the interest of special women's groups as employees such as: integration of fresh graduates into the labor market; inclusion and/or continued employment of women returning from maternity leave; support of the careers of women over 50; improving employment chances of women with disabilities; improving employment chances of rural women; women's employment in the ICT sector. There are different categories: 3-3 Prizes in 2 categories: 20-250 employees, more than 250 employees.

Validity

1 year validity.

Eligibility and requirements:

Eligibility

employing entities officially registered in Hungary (with more than 20 employees)

Requirements

//

Other information

2018: 1-1 special award/category; 2017: 3 awards for category 2. (>250 employees); 2016: 3 awards for cat. 2.; 2015: 3-3 awards/category +1 special award; 2014: 3 awards for category 1. (<250 employees) +1 special award; 2013: 3-3 awards/category; 2012: 3 awards for cat.2. +1 special award; 2011: 3 awards for cat.1. +3 special awards; 2010: 3-3 awards/category +2 special awards; 2009: 3-3 awards/category +3 special awards; 2008: 4 awards in cat.1., 3 awards in cat.2. +3 special awards; 2007: 3 awards (in cat.2., it seems) +1 special award.

Business model:

The awarding body AWCDH NGO itself is supported in general 50-50% by governmental Hungarian central budget resources and by resources from EU budget and international NGOs. According to the official Hungarian financial report for 2018, downloaded from the website, the 2018 budget was cca. 34,000 EUR,



including (unlike in 2017) a 8,000 EUR resource from the NGO founders; and the remaining 26,000 EUR amount was split between governmental and international resources. . As for human effort, there is no paid position; the President definitely invests a lot into the NGO (there is another 6 members of the Presidency and 90 members).

Certification process, assessment, and support:

Aspects of Evaluation:

- reconciliation of work, private and family life
- fair working arrangements
- career opportunities, promotion
- opportunities to preserve health and well-being
- skill development opportunities
- personal interviews (optional)

Particular emphasis on

Representation of the interest of special women's groups as employees such as:
 integration of fresh graduates into the labor market,
 inclusion and/or continued employment of women returning from maternity leave,
 support of the careers of women over 50,
 improving employment chances of women with disabilities,
 improving employment chances of rural women,
 women's employment in the ICT sector

These evaluation criteria are noteworthy for their broad conceptualization for women in employment, exceeding the other Hungarian CAs' focus on women solely as mothers.

The Particular emphasis list importantly suggests an intersectional approach. The focus on Information and Communication Technology implies connections with STEM research and higher education.

Criteria and Indicators used:

reconciliation of work, private and family life; fair working arrangements; career opportunities, promotion; opportunities to preserve health and well-being; skill development opportunities; personal interviews (optional)

Gender, diversity, and excellence:

There is an intersectional approach. As the Call says, the Award puts emphasis on "Representation of the interest of special women's groups as employees such as: integration of fresh graduates into the labor market; inclusion and/or continued employment of women returning from maternity leave; support of the careers of women over 50; improving employment chances of women with disabilities; improving employment chances of rural women; women's employment in the ICT sector." In the official transparency report available on the website in Hungarian, 2 activities of the NGO is mentioned as of public utility: research-development, related to the Award, and equal opportunity, especially for women and 'underprivileged' women (unrelated to the Award)

The annual Award Ceremony took place during an event of the NGO "in honor of 2018 Year of the Families", an initiative by the Hungarian government

"The Best Workplace for Women" Award is a continuation of the successful initiative launched in 2007 in honor of the "Equal Opportunities for All – European Year". Also, the annual Award Ceremonies often take place during an event of an international project the NGO is participating in (e.g., in 2017, "Knowledge Transfer Cooperation of Generations in the Family and at the Workplace" International Conference).

The Prize has been established to point beyond the need for equal employment opportunities to the economic advisability and advantages of making more and more women part of the work force.



Responsible Employer of the Year [Az 2016 Év Felelős Foglalkoztatója]

Award

<http://ofa.hu/hu/Az-ev-felelos-foglalkoztatoja-palyazat>

info@ofa.hu, felelosfoglalkoztato@ofa.hu

Awarding body:

OFA (Országos Foglalkoztatási Közhasznú Nonprofit Kft, National Employment Public Utility Company Ltd.) is a non-profit organization under the Ministry of Finance Business/Other and Research and Higher Education

Target Audience:

Overall description:

The objective of the award is to get to recognize those national employers, for whom human resources represent a central value. In the applications, we expect the demonstrations of those good practices and HR interventions, which go beyond legal prescriptions, and which serve employees' well-being, satisfaction, consequently also their stay at and commitment to the employer. According to previous years' experience, highlighted themes of responsible employment can be: measures for work-life balance, health protection, community building, continuous opportunity for training, talent programs, and a quest to create high-quality workplaces. We also include interventions by the leadership which might be gestures but can still contribute to employees' well-being and experiences. There are different categories: Bronze, Silver and Gold in 5 categories. 1. small business, 2. medium business, 3. large business (251-2000 employees), 4. large business (above 2000 employees), 5. public, state-funded institutions. 2 Special Awards: ReStart-Up for the employment of people above 45, and the award by the Chamber of Commerce for trainings.

Validity

1 year, with possibility to renew.

Eligibility and requirements:

Eligibility

Businesses (micro, small, medium, and large), state-funded institutions (including HE institutions).

Requirements

Registering on the website ofa.hu is mandatory, after which OFA connects the organization with information and support. A multi-document application package has to be filled out, with a maximum 20.000 character-long narrative, reflecting on the areas and evaluation criteria given. Plus legal documentation, photos, and optional supporting documents (PPT, word, pdf), including documentation reflecting the employees' attitudes (satisfaction survey etc.). Even employees can suggest an employer for the award.

Other information

2017: 63 institutions applied with 76 applications, 2018: 73 institutions applied with 90 applications

Business model:

OFA (Országos Foglalkoztatási Közhasznú Nonprofit Kft, National Employment Public Utility Company Ltd.) is an NGO owned by the Ministry of Finance. Apart from state support, they also use funds of the European Commission. The Award is also part of a GINOP 5.3.6.-17-2017-00001 project.

Certification process, assessment, and support:

An independent expert jury evaluates the applications in each category. Evaluation criteria: defining organizational challenges; impact of challenges on the corporate processes; form and elaboration of a strategy; means and networks mobilized; novelty and uniqueness of the activity; results and efficiency of the process (and its potential measurement); role and communication of the employer's trademark in the



strategy. Announcement takes place during a conference. upon registering on the website, the experts contact the applicants with info and support (but unclear what it means)

Criteria and Indicators used:

Evaluation criteria: defining organizational challenges; impact of challenges on the corporate processes; form and elaboration of a strategy; means and networks mobilized; novelty and uniqueness of the activity; results and efficiency of the process (and its potential measurement); role and communication of the employer's trademark in the strategy. Announcement takes place during a conference.



“Family-friendly Company of the 2013 Year” Award [Az Év Családbarát Vállalata Díj]

| | |
|--|---|
| Award | National |
| http://www.csaladbaratvallalat.hu/ , (English webpage of the Movement): https://www.haromkiralyfi.hu/en | balansz@haromkiralyfi.hu |
| Awarding body: | Three Princes, Three Princesses Movement (Három Királyfi, Három Királynő Mozgalom), and its Balansz Program for work-life balance. |
| Target Audience: | Business/Other |

Overall description:

"The “Family-friendly Company of the Year” competition is a measure of how much an enterprise is prepared for

the challenges of the labour market in the next couple of years. Labour shortages, the rise of digital technology and changes in employee expectations, especially from new entrants, require a new leadership approach. A family-friendly corporate culture, a trust-based managerial (mentoring) approach, and flexible work organisation have become essential. According to employee feedback, ever more people seek a job at a family-friendly company." There are different categories: 3 categories for small, medium and large companies. A Special Award for novel initiatives, and also a Family-friendly Company Title is given. (The Title is not the same as the Award; it seems to me that almost every applicant receives the Title)

Validity

1 year, with possibility to renew.

Eligibility and requirements:

Eligibility

Businesses (micro, small, medium, and large)

Requirements

Companies shall register via email. In 48 hours, they will receive the detailed instructions for application. They get a questionnaire

Other information

2013:1-1 winner/category, 2014: 1-1 winner/category + 5 Special Awards, 2015: 3-3 winners/category +4 Special Awards, 2016: 1-1 winner/category +3 Special Awards, 2017: 1-1 winner/category +3 Special Awards, 2018: 1-1 winner/category +2 Special Awards +6 Mentor Titles, 22 Family-Friendly Company Titles, 2019: 1-1 winner/category, cca. 50 Family-Friendly Company Titles

Business model:

Unclear, with State support and involvement.

Certification process, assessment, and support:

"Companies register via email, then they get a questionnaire. The questionnaire shows the maximum scores and their weighted value. 2 months after receiving the filled-in questionnaires, the jury announces the winners.

Apart from recognition of the current situation, we also value processes that improve the family-friendly culture of the company. Both implemented and planned measures should reflect to the feedback of the colleagues; the company, as far as possible, should support families and staff who want to have children."

Criteria and Indicators used:



"Evaluation criteria: • The organization actively deals with the evolution of the humanitarian and family-friendly culture, it pays attention to its employees with small children;

- It is committed to improve its family-friendly functioning in an innovative way, it observes the surrounding trends;
- It is exemplary in its sector;
- Sustainability of a work-life balance is part of the organizational culture; if possible, it takes the opportunities offered by atypical or flexible forms of work organization;
- The leadership of the organization interacts in mutual exchange of information with the employees, and adjusts its innovations according to employee requests."

Responsible Business in Budapest 11. 2017

District [Felelős Vállalkozás Újbuda]

Award

<https://ujbuda.hu/ujbuda/elismero-cimet-kaphatnak-a-felelos-vallalkozasok>

Subnational

eselyekutcaja@ujbuda.hu

Awarding body:

**Budapest 11. District (Újbuda) Municipality,
"independent professional committee"**

Target Audience:

Business/Others

Overall description:

The objective of the award is to recognize those institutions which are role models either in the area of environmental and social sustainability, or in the realization of a family-friendly corporate culture on the institutional level. The areas include: Creating equal opportunity (for women, those with disadvantaged status, disability, Roma and other national minorities); Family-friendly approach, work-life balance. Other areas include sports, environment, and cooperation with NGOs. The award is mostly given to projects and programs.

There are different categories of prize: awards with 500.000 HUF (1400 EUR) for small, 300.000 HUF (850 EUR) for medium, and 200.000 HUF (570 EUR) for big businesses and NGOs.

Validity

1 year, unsure if possibility to renew.

Eligibility and requirements:

Eligibility

for-profit and non-profit economic entities registered in the 11. District of Budapest, not being under any legal or tax investigations

Requirements

filling out a survey including data on realized and planned projects; if chosen in the best 3, undergoing audit

Other information

There are 3 award holders/year

Business model:

The Municipality of Budapest 11. District (state-funded) gives out the awards with 500.000 HUF (1400 EUR) for small, 300.000 HUF (850 EUR) for medium, and 200.000 HUF (570 EUR) for big businesses and NGOs.

Certification process, assessment, and support:



The committee reads the application surveys, then makes audit among the best 3 institutions and chooses the best 1 accordingly.

Criteria and Indicators used:

The projects intervention areas can be: volunteering; special training and education; Family Day or other institutional events; special events for the community outside of the institution; event concerning corporate culture, life and attitudes. Main content evaluation criteria: professional quality and elaboration of the application; success and achievements of the project; novelty and innovation; impact among employees and the wider community; long-term sustainability; number of people concerned by the project; the social need of the target group concerned; motivational effect on the participants, on the employer' environment and the wider environment, the district.

Family-friendly Business in Budapest 2014

11. District [Családbarát Vállalkozás Újbuda]

Award

<https://kozigazgatas.ujbuda.hu/esemeny/palyazatok-tamogatasok/palyazati-kiiras-csaladbarat-vallalkozas-ujbuda-2019-cim-elnyeresere>

Subnational

eselyekutcaja@ujbuda.hu

Awarding body:

Budapest 11. District (Újbuda) Municipality, "independent professional committee"

Target Audience:

Business/Others

Overall description:

The award recognizes those employers who promise to continuously improve their practice of creating and sustaining a family-friendly corporate model. Both achieved regulations and programs, as well as planned developments (in 4 months and in 2 years) are reviewed. There are different categories: awards with 500.000 HUF (1400 EUR) for small, 300.000 HUF (850 EUR) for medium, and 200.000 HUF (570 EUR) for big businesses and NGOs.

Validity

2 years, possibility to renew unclear.

Eligibility and requirements:

Eligibility

for-profit and non-profit economic entities registered in the 11. District of Budapest, not being under any legal or tax investigations

Requirements

filling out a survey including data on employees (divided by gender), employment forms, benefits, as well as realized and planned projects; if chosen in the best 3, undergoing audit



Other

3 award holders/year

information**Business model:**

The Municipality of Budapest 11. District (state-funded) gives out the awards with 500.000 HUF (1400 EUR) for small, 300.000 HUF (850 EUR) for medium, and 200.000 HUF (570 EUR) for big businesses and NGOs.

Certification process, assessment, and support:

committee reads the application surveys, then makes audit among the best 3-3 institutions and chooses the best 1-1 accordingly. Survey questions cover employees' number, by gender and age; atypical (flexible, online, part-time) employment forms, their reason and obstacles; trainings' offer and timing; number of women (and men) going back to work after parental leave, and measures to help that; organizing leisure events; days-off harmonized with school holidays and other benefits; actuality of Plan for Equal Opportunities; description of the institution's Family-friendly Strategy.

Criteria and Indicators used:

Survey questions cover employees' number, by gender and age; atypical (flexible, online, part-time) employment forms, their reason and obstacles; trainings' offer and timing; number of women (and men) going back to work after parental leave, and measures to help that; organizing leisure events; days-off harmonized with school holidays and other benefits; actuality of Plan for Equal Opportunities; description of the institution's Family-friendly Strategy.

Gender, diversity, and excellence:

The survey refers to the National Law on equal treatment and promotion of equal opportunities (2003.CXXV.)

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ICELAND

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National CAS:

- Jafnlaunavottun [Equal Pay Standard and Certification]
- Jafnvægisvog FKA [The Women in Business Equality Scale]
- Hvatningarverðlaun jafnréttismála [Equality Encouragement Award]
- Jafnréttisviðurkenning Jafnréttisráðs [Equality Council's GE acceptance award]

Number of HRS4R awardees:

- 1 (as of 30/06/20)

National context for Quality Assurance and Accreditation

The Icelandic parliament and the ministry of education, science and culture bear political and legal responsibility for the education system and are responsible for establishing its administrative framework and principal goals (EURYDICE, 2019).

Icelandic HEIs operate under Act no. 63/2006 on universities and Act no. 85/2008 on public universities. There are seven universities, four of them public and three private. HEIs must also operate in accordance with the Icelandic National Qualification Framework for Higher Education as described in regulation 530/2011 and regulation 1368/2018 on quality assurance of teaching and research in universities (530/2011; 1368/2018).

The minister of education, science and culture (MESC) is responsible for establishing rules on monitoring the quality of instruction and research and grants accreditation to higher education institutions which qualify for the prerequisites of the higher education institution act (63/2006). **Each HEI is responsible for internal assessments while MESC is responsible for external assessment**, which is carried out by the quality board for Icelandic higher education (63/2006).

The National Qualification Framework for HE in Iceland is a systematic description of the structure of qualifications and degrees at the HE level and is specifically based on learning outcomes. All HEI in Iceland, accredited by the MESC according to the Higher Education Act no. 63/2006, shall follow this framework (530/2011).

The quality board for Icelandic HE is responsible for monitoring the quality of teaching and research at Icelandic HEI (63/2006; 1368/2018). Board members and chair are appointed by MESC taking into account gender balance among board members. The quality board publishes criteria for internal and external evaluation as well as guidelines for their implementation. The criteria covers factors like objectives, governance, strategic planning, employee qualifications, students rights and obligations, admission rules, structure and framework for research, etc. (1368/2018). The Quality Board for Icelandic HE has issued a handbook on the Quality Enhancement Framework (QEF2) that includes elements on reviews at institutional and subject levels as well as continuing and additional accreditation of HEIs (Sharp & Sigurðsson, 2017).



Quality policy is believed to support academic integrity and help avoid discrimination of students and staff on grounds of physical or mental health status, gender, sexual orientation, skin colour, nationality, religion, residence or financial situation (Sharp og Sigurðsson, 2017). **In the Handbook on the Quality Enhancement Framework gender and diversity are mentioned in relation to equality of experience and opportunity for students and staff** (Sharp og Sigurðsson, 2017).

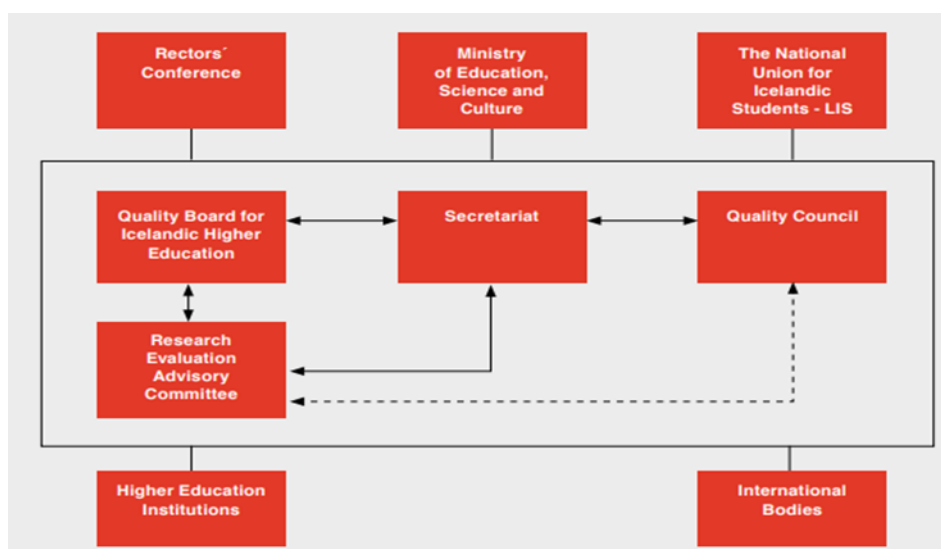


Figure 1. Quality Enhancement Framework Organizational Chart, stakeholders involved (Sharp og Sigurðsson, 2017).

National evaluation of research quality:

The Evaluation System for Public Universities forms the basis for job evaluation of academic staff, i.e., persons hired in accordance with standard procedure (assessment of qualification) who are members of the Icelandic Association of State University Professors or other collective bargaining organisations party to the Evaluation System (Science committee for public universities, 2018).

Evaluation covers research, teaching, administration and service work and other factors. Annual performance reporting takes the form of a report detailing activities during the previous year. At the University of Iceland, reporting also includes updating the teaching resume, an overview of collaboration with parties outside the University and an overview of work done outside the University. No points are awarded before a satisfactory performance report has been submitted (Science committee for public universities, 2018).

At the University of Iceland the evaluation system not only impacts the academic's salary, annual bonuses, promotion, sabbaticals, teaching responsibilities and chances of obtaining funding, but also the amount of funding the academics' faculty is entitled to. **An assessment of the criteria for research and teaching is gendering¹¹³ and has consequences for women and academics in precarious positions**, as it is more favourable to male-dominated and culturally masculine positions and fields (Steinþórsdóttir, Einarsdóttir, Heijstra, Pétursdóttir and Borsen Smidt, 2019; Steinþórsdóttir, Borsen

¹¹³ When it comes to research related activities, the evaluation system is built on STEM-focused performance measures and traditions, such as the amount of international competitive funding received, publications in prestigious, international journals, and multiple authorship on publications. The annual funding for teaching is based on a classificatory system for the amount of full-time equivalent student, which is lower for the more gender balanced and feminised SSH fields than for the male-dominated and culturally masculine STEM disciplines.

Smidt, Pétursdóttir, Einarsdóttir and Le Feuvre, 2019; Steinþórsdóttir, Heijstra, Einarsdóttir and Pétursdóttir, 2017).

Gender in research and higher education

National policies on gender in HE and/or Scientific R&I

The governmental policy in science and technology is defined by the science and technology council for three years at a time (2/2003). The science and technology policy and action plan is the foundation for the current R&I policy (Hulda Herjólfsdóttir Skogland, 2016; The Science and Technology Policy Council, 2017). New policy and action plan is currently underway and it's estimated that it will be published in 2020.

The current policy and action plan mentions gender equality in research. It is stated that: "It is essential that both women and men face a level playing field in research and innovation, specifically as they relate to access to research funding. Emphasis should be placed on encouraging women to study science, technology, engineering and mathematics and they should have equal opportunities to obtain senior positions in research institutions and knowledge enterprises" (The Science and Technology Policy Council, 2017). There is, however, **no plan or action for how to achieve this goal.**

HEI's are subject to the **Act on equal status and equal rights for women and men (10/2008)** (hereafter the GE Act). According to the GE Act, gender mainstreaming shall be implemented in all policy-making and planning on the part of the ministries and the public institutions operating under their realm. The GE Act also stipulates that equal participation of men and women shall be promoted in committees, boards and councils. The gender ratio in committees, boards and councils shall be as equal as possible (no less than 40% of either gender). According to the GE Act, all companies and institutions operating 25 or more employees are required to establish a gender equality plan or to integrate gender equality perspectives into the employee policy.

In accordance with the GE Act (10/2008) all HEI's in Iceland have gender equality action plans.

Furthermore the HEI's have employed gender equality advisors (European Commission, 2019; Hulda Herjólfsdóttir Skogland, 2016). The GE Act also stipulates that companies and institutions employing 25 or more employees are required to implement Equal Pay Standard (IST85) and receive certification thereof. Currently three universities (University of Iceland, Reykjavík University and Akureyri University) and the Science Institute of UI have received the certification (Jafnréttisstofa, n.d.).

The Icelandic government has formally adopted gender budgeting (123/2015). This means that allocation of public governmental funds shall now be specifically examined with a gender equality perspective. All the HEI's in Iceland receive public funds that fall under this law. In the five year budgetary plan for 2020-2024 gender equality is quickly mentioned regarding higher education and research, mostly with focus on students (Fjármála- og efnahagsráðherra, 2019).



Link between **funding** programs and GE

The Icelandic centre for research (Rannís) supports research, innovation and education in Iceland. Rannís reports to the Ministry of education, science and culture and works in coordination with the Icelandic science and technology council's policy and plays a key role in the implementation of the National science and technology policy (Hulda Herjólfsdóttir Skogland, 2016; Rannís, n.d.). Rannís administers competitive funds in the field of research, innovation and education. Rannís has an equality policy but its focus is on the workplace and organizational culture and internal policies, not its external operations (Rannís, n.d.)

Rannís has been responsible for operating a **special Gender Equality fund** that will operate in the years 2016-2020. The fund was established to celebrate the 100 years anniversary of women's suffrage in Iceland, is to fund or support projects and research designed to increase gender equality both in Iceland and internationally (144. löggjafarþing, 2015; Rannís, n.d.). The projects awarded are very diverse, as can be reflect in the 17 projects awarded in 2019. The research projects focused gender violence and sexual harassment, abortion rights, status of migrant women in the labour market and higher education and women living in the seaside and the Icelandic women's movement and its influence on the international community. Other projects included an awareness project for young people on sexual violence, a women's shelter, support services for women, a course for men who want to participate in activism against gender violence and several publications (Rannís, 2019).

However, one of the most relevant funds here is the **Icelandic Research Fund (IRF)**. It awards grants in accordance with the act on public support for research (3/2003). The **selection criteria for funds is gender neutral and there are no gender equality related conditions for grants** (Hulda Herjólfsdóttir Skogland, 2016; Icelandic Research Fund, 2020). They do however strive for their expert panels to have "as equal gender representation as possible" and furthermore, in accordance with guidelines from the science committee, attention should be given to gender balance in the ranks of scientists and that the fund strives to ensure gender equality (Icelandic Research Fund, 2020).

An assessment of the outcomes of the IRF funds are built on masculine norms, where the majority of grants and higher amounts on average are awarded to men and academics in male-dominated ranks and fields (Steinþórsdóttir, Einarsdóttir, Pétursdóttir and Himmelweit, 2019).



Introduction to the CAS in Iceland

The most relevant CA found is the **Equal Pay Standard and Certification (IST85)** which is obligatory by law (10/2008) for companies and institutions employing 25 or more workers on an annual basis. This is an Icelandic standard and is similar to international standards like ISO so it should have high replicability.

The standard has recently been implemented with amendments to the GE Act (10/2008) that was put in effect in June 2017. According to the law there are several deadlines for companies and institutions based on their size, by the end of year 2019 organizations with 250 or more employees were obligated to have implemented the standard. Other organizations have target dates by end of year 2020 (150-250 employees), end of year 2021 (90-149 employees) and end of year 2022 (25-89 employees).

The standard is a certification of processes, and should support organisations fulfil the objective of ensuring equal pay. The implementation and outcomes are still to be assessed. It is worth noting that the Equal Pay Standard will only affect the gendered pay difference inside each company/institution, but is not expected to have much effect on the pay difference originating in the gender segregation of the labour market in Iceland.

Other CAS are less structured and do not have much information online. Three awards focus on gender equality mostly relating to businesses (GE best practices), one of them being a motivational project that monitors indicators regarding equality in the labour market.

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Jafnlaunavottun (Equal Pay Standard and certification)

2017

Certification

<https://www.stadlar.is/verslun/p-54558-st-852012-english-version.aspx>

National

Jafnréttisstofa (Directorate of equality)

Awarding body:

BSI Group The Netherlands B.V., iCert ehf., Versa vottun ehf. And Vottun hf. are the companies that are accredited certification bodies. The Directorate of equality confirms and awards.

Target Audience:

Business/others + Research and HE

Overall description:

An equal wage standard gives organisations and institutions an opportunity to establish, implement, maintain and improve their management of equal wage affairs and, as applicable, obtain certification that women and men working for the organisation enjoy equal wages and the same employment terms for the same jobs or jobs of equal value.

Validity

3 years, renewable

Eligibility and requirements:

Eligibility

Companies and institutions employing 25 or more workers, on annual basis, are required by law to obtain equal pay certification

Requirements

The first step in the implementation of Equal pay standard is for the company/institution to make a project plan. Then a status assessment made (i.e. consider which of the elements required by the standard exist and what improvements need to be made to the requirements of the standard). Elements required are for example the existence of an equal pay policy, that has been introduced to employees and is accessible to them, wage and salary decisions shall be documented, substantiated and traceable, clear wage decision procedures shall exist and be registered, and employees roles and responsibilities shall be defined for all jobs within the company/institution. Next, a work plan is created and usually classification of jobs is the biggest challenge. A salary analysis based on the job classification and the documentation of procedures must be carried out. Finally, internal assessment should be made to assess whether the workplace meets the requirements of the standard.

Other information

Directorate of Equality is responsible for gathering information about number of companies/institutions that have received the equal pay certification. The list is published [online](#).

Business model:

This is an Icelandic standard (IST). IST is a member of European and international standard organizations such as ETSI and ISO.

Certification process, assessment, and support:

Accredited certification bodies shall confirm that a company's or institution's equal pay system and its implementation thereof meet the requirements of the Standard ÍST 85 by performing an audit/evaluation of the equal pay system. If the result of the audit/evaluation is that the equal pay system is in accordance with IST85 then the certification is awarded and the directorate of equality is informed.

Support provided: regular courses held at Continuing Education University of Iceland, online material from the Prime minister's Office, support from the Directorate of Equality, consulting firms, includes detailed requirements when purchased.

Criteria and Indicators used:

Equal pay system: Equal pay policy, documentation of wages, job descriptions, wage decisions protocols, classification of jobs, salary analysis.

Gender, diversity, and excellence:

This CAS makes part of the Gender Equality act (no. 10/2008)



| | |
|--|---|
| Jafnvægisvog FKA (The Women in Business Gender Equality Scale) 2017 | |
| Ranking | National |
| https://fka.is/frettir/ | fka@fka.is |
| Awarding body: | FKA (The association of women in business) |
| Target Audience: | Business/Others |

Overall description:

The Equality Scale is a motivational project that is worked on in collaboration with The women in business association, Sjóva (insurance company), Deloitte, MBL (newspaper) and Pipar/TBWA (advertising agency). It receives support from the Prime minister's Office. The purpose of the project is to increase gender balance in top management and enable and motive Icelandic businesses to be active role models for gender equality in the workplace.

Validity

5 years. Unclear if renewable

Eligibility and requirements:**Eligibility**

Businesses, Institutions, Municipalities

Requirements

You need to sign a declaration of intent. The intent is "to put Iceland in the forefront when it comes to gender equality in the business life". By signing the company/institution/municipality declares that it is committed to work towards gender balance for the new five years.

Other information

Currently 55 companies/institutions/municipalities participate.

Business model:

Collaboration between the women in business association, Sjóva (insurance company), Deloitte, MBL (newspaper) and Pipar/TBWA (advertising agency). It receives support from the prime ministry, but further information about the business model and resources is not available online.

Certification process, assessment, and support:

Participants sign a declaration of intent. Annual awards to participants that have worked excellently towards the goals of the Gender Equality Scale in their own companies.

Events and training held frequently and regular monitoring of indicators for the business life as a whole (online dashboard/scorecard).

Criteria and Indicators used:

Power: Number of women in position of power (congress, government and municipalities), number of women as CEO's, chairmen and board-members.

Education: Women graduates from universities.

Salaries: Gender pay gap, number of companies with Equal Pay Certificate, hours worked by gender, parental leave by gender. The criteria and indicators for individual companies that receive the award is not confirmed.



| | |
|---|---|
| Hvatningarverðlaun jafnréttismála (Equality Encouragement Award) | 2014 |
| Award Website not available | National Contact: SA (Confederation of Icelandic Enterprises) |
| Awarding body: | Co-operation between the ministry of industry and innovation, UN women Iceland, Confederation of Icelandic enterprises (SA) and FESTA center for CSR |
| Target Audience: | Business/Others (companies) |

Overall description:

The award is a co-operation between the Ministry of Industry and Innovation, UN women Iceland, Confederation of Icelandic enterprises and FESTA center for CSR. The goal of the equality encouragement award is to attract positive attention to companies that have done a good job of systematically promote GE within their companies and at the same time encourage other companies to do the same.

Validity:

One year

Eligibility and requirements:**Eligibility**

Executives and employees of companies that believe they have created a good organizational culture, based on equality and respect for societal diversity and encouraged to submit a nomination.

Requirements

A panel will go over the nominees and choose a company to which give the award based on certain criteria that can change from year to year.

Business model

Collaboration between the Ministry of Industry and Innovation, UN women Iceland, Confederation of Icelandic enterprises and FESTA center for CSR. Further information about resources is not available online.

Certification process, assessment, and support:

Executives and employees nominate their company and the panel evaluates the nominees and decide on a "winner".

Criteria and Indicators used:

Equality in the company strategic management, efforts made to create a good organizational culture based on equality and inclusion, company considers equality in a broad sense (i.e. opportunities for immigrants, people with disabilities and LGBT people), gender balance in board and management positions, equal career opportunities, all genders encouraged to take parental leave, awareness of the benefits of equality.

Gender, diversity, and excellence:

Equality is defined from an intersectional perspective (gender and other variables, such as ability, sexual orientation and nationality).



| | |
|---|---|
| Jafnréttisviðurkenning Jafnréttisráðs (Equality Council's GE acceptance award) | 1997 (?) |
| Award | National |
| Not available | Not available |
| Awarding body: | Jafnréttisráð (The Equality Council) |
| Target Audience: | Business/Others (groups, charities) |

Overall description:

The Equality Council in collaboration with the Minister of Equality (now the Prime Minister) award annually individuals, companies, institutions, NGO's or charities that have shown great effort to work towards equality.

Validity

Not available

Eligibility and requirements:**Eligibility**

A call for nominations is sent out. Nominations are open, ie. everybody can nominate either themselves or some other organization

Requirements

If you are nominated and are being considered for the award you will have to allow representative from the Equality Council to visit and ask questions.

Business model:

Publicly funded. The Equality Council is responsible for award's administration.

Certification process, assessment, and support:

Nominations are open. The Equality Council evaluates nominees. The nominees that are considered for the award might be visited or asked some questions.

Criteria and Indicators used:

Assessment criteria may change between years. Generally speaking, the terms of assessment are pretty open, the award is given to nominees that have "excelled" in working towards gender equality

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IRELAND

[Link to references](#)

National CAS:

- Athena SWAN Charter
- SIRG Programme
- Project Juno
- SFI Discover Programme, Opportunistic Funding Mechanism
- Investor in Diversity Award
- Education Awards

Number of HRS4R awardees:

- 11 (as of 30/06/20)

National context for Quality Assurance and Accreditation

Ireland has a National Planning Framework, “**Project Ireland 2040**” ([NPF, 2019](#), p 84-90), specifically outlining future capital investment. Investment in Higher education continues with emphasis on the development of Technical Universities that includes investment and regional development in Education and Training in general. Education, training and lifelong learning are featured as a driver for technological innovation and productivity. There is **emphasis on diversity in relation to access to education but not specifically to gender**, more emphasis related to the development of human capital, innovation and enterprise.

As part of **Ireland's National Development plan 2018 – 2027** ([Gov, 2017](#), p. 56-66), it is recognised that there needs to be further investment in the refurbishment and expansion of all Higher Education Institutions to include the development of Ireland's Technical Universities. This includes upscaling investment in the Science Foundation Ireland and Enterprise Ireland research centres and technology centres in Higher education in all regions in order to **link education to industry**.

Innovation 2020 is Ireland’s strategy for research & development, science and technology ([DBEI, 2015](#)). It aims to build a strong research and innovation base in Ireland, set up among its objectives is to increase public and private investment in research, support innovation through the protection and transfer of knowledge and ensure the higher education sector drives innovation. Promotion of gender equality in research and addressing gender issues relating to career progression in research and innovation are also included among the goals of the National Strategy for Innovation. Including specific initiatives that are currently underway – for example, Aurora and Project Juno – with one of the more significant recent developments being the extension of the Athena Swan Awards to Ireland. In addition since 2016 there has been a **major review of gender equality in higher education** under the direction of the HEA, updated in the National Gender Action Plan 2018 – 2020 ([HEA, 2018](#)) “Accelerating Gender Equality in Irish Higher Education Institutions”..

Research Integrity in Ireland ([Forum, 2019](#)) is the national policy framework developed by the Irish Universities Association (IUA) and Technological Higher Education Association (THEA). The aim is to commit the main organisations in Irish research to the highest standards of integrity in carrying out their research so that partners, the public and other stakeholders, and the international research



community have full confidence in the Irish research system. It can be adopted across all disciplines, by all research performing organisations and funders in Ireland and endorses the “European Code of Conduct for Research Integrity, while developing a National framework including Reliability, Honesty, Respect, and Accountability. The Irish public research system comprises of research performing organisations (RPOs), mainly the universities, higher education institutions, state research organisations and the hospital system, along with the research funding organisations all of which form the National Research Integrity Forum. They collectively represent this system and are committed to the highest standards of research conduct and integrity. It states that responsibility for reviewing, evaluation and editing, good practice and integrity of research is with the individual institutions in accordance with research integrity policies and processes. A key feature in the charter is the support for the Gender Equality Taskforce and the Athena SWAN Charter.

Qualifications and Quality Assurance Ireland ([QQI, 2020](#)) ensure the national framework of qualifications and awards throughout the higher education system. The Higher Education Authority (HEA) draws on the work of the QQAI to monitor the quality of individual institutions. As quality assurance for the HEI falls largely in the hands of HEIs themselves they develop internal systems to monitor and enhance quality and development within their institutions and communicate the results to the main stakeholders:

- Secretary General Department of Enterprise, Jobs & Innovation ([website](#))
- Dept of Finance ([website](#))
- The Higher Education Authority ([website](#))
- The Irish Universities Association ([website](#))
- Technological Higher Education Association ([website](#))

The HEA is responsible for funding, policy advisory, strategic planning and management of higher education systems drawn from both Irish and International sources, set down by the Minister and the Department of Education and Skills and will be accountable to the Minister in respect of agreed key performance indicators There is a close and symbiotic relationship between the HEA and QQAI in relation to the monitoring and evaluation of higher education and ensuring consistency of standards nationally.

Gender in research and higher education

In 2017 as part of Ireland’s commitment to gender equality a **Gender Equality Taskforce (GET)** produced the **National Gender Action Plan 2018 - 2020** (HEA, 2018). The Higher Education Authority was made responsible for tackling Gender inequality in Higher Education Systems in Ireland. The GET requested all HEIs to fully recognise the extent of gender inequality in their organisations and take ownership and show leadership in addressing the issue by examining their own context and culture, and reviewing in detail their own disaggregated data on gender across all paths and levels of their institution. To accelerate gender balance within a reasonable timescale **each Institution form a**



gender action plan to be updated and submitted annually to HEA and be linked to funding mechanisms with incentives and consequences where appropriate (HEA, 2018, p. 20-30).

In order to facilitate gender equality initiatives nationally, the GET recommends that an annual **'Gender Equality Enhancement Funding Call'** be established - with initial funding provided by the government for the 3 years of the gender action plan, which may be leveraged through matched funding and/or time from the HEIs. The VPs/Directors for Equality Diversity & Inclusion (EDI) groups could provide stakeholder consultation to the Centre of Excellence for Gender Equality on themes by discipline each year. This initiative is intended to encourage cross-sectoral collaboration as a means to achieve national transformation ([HEA, 2020](#)).

Research funding organisations have developed individual gender strategies / action programmes to advance gender equality in HEI's and RPO's.

The **Irish Research Council** in support of Horizon 2020 (DJEI, 2013) has created a **Gender Strategy & Actions Programme** ([IRC, 2012](#)) aimed at :

- Supporting gender equality in research careers across all disciplines
- To include gender balancing in decision-making
- To support the integration of sex and gender analysis into research content.

The IRC's Gender Strategy aims to provide equal outcomes to both men and women so that Ireland can attract and retain the most talented, creative and innovative researchers by maximizing its collective research intelligence. These action plans include programmes in support of gender equality in research, 'gender-blinding' of applications for evaluation in order to avoid gender bias in the assessment of excellence, minimum gender balance in IRC's international assessment panels and the integration of sex/gender analysis in research.

The IRC produces regular progress reports on their policies and practices to promote gender equality and integration of gender analysis in research ([IRC, 2016](#))

Science Foundation Ireland's Gender Strategy 2016-2020 ([SFI, 2016](#)) focuses on three strands:

- Gender equality across SFI education and public engagement initiatives, with the aim of increasing the participation and interest of girls in STEM-related activities.
- Target female representation within the SFI funded portfolio and SFI review panels.
- Ensure that gender perspectives are integrated into the research content of SFI -funded research programmes.

In order to advance gender equality nationally the the have made **research funding to the HEIs and RPO conditional on compliance to the Athena SWAN Charter for gender equality, by achieving the Bronze award by the end of 2019, and the Silver award by 2023.**



The dynamism of Irish RPOs and RFOs on the gender equality in research and HEIs is further witnessed by participation of national stakeholders to several EU funded projects on the promotion of institutional change¹¹⁴.

There is no specific reference to intersectionality as a conceptual/policy frame. While diversity is recorded in most of the consulted policy documents, it more specifically relates to access to educational and research programmes, referring to a social mix of entrants from socio-economic groups that have low participation in higher education; first time, mature student entrants, students with disabilities, part-time/flexible learners, further education award holders and Irish Travellers.

Ireland continues to develop gender and diversity equality programmes within its HEI's and RPO's through internal gender action plans and gender strategies for academic and non academic staff in all departments and at all levels. The Government's Gender Equality Taskforce, implementation groups, independent advisors and stakeholders have continued input on the implementation, analysis and evaluation of Innovation 2020, The National Development Plan 2018 – 2027 and the Gender Action Plan 2018-2020, reported through published annual reviews motivated to achieve greater gender equality in order to maintain/advance Ireland's position as a country that delivers excellence in education, science, technology, innovation, business and industry.

Introduction to the CAS in Ireland

Ireland has made constructive moves towards advancing gender equality in HEIs, Research and Business over the last decade. In the area of higher education and research the **Athena SWAN Charter & Awards** have had the most significant impact, particularly effective in advancing gender equality within institutions as it is now attached to research funding requirements.

Science Foundation Ireland (SFI) continues to make contributions to enhancing gender equality in research in its programmes:

- [SIRG Programme](#) (Starting Investigation Research Grant) an award dedicated to individuals represented by institutions which incentivises HEIs to develop a greater gender balance in research. Specifically tackling the under-representation of women in the STEM research sector. It aims to increase female award holders to 30% of all applications for STEM research. It incentivises research bodies to submit applications from female researchers of various programmes by increasing the institutional cap from 6 to 12 applications where at least 50% of the applicants are women. The Institution applying for the SIRG Programme Grant has to have signed up the Athena SWAN Award scheme, have achieved the bronze award and be on the way to receiving the silver award.
- The [Discover Programme - Opportunistic Funding Mechanism](#). With the objective of increasing women's (and the general public's) participation and interest in STEM.

¹¹⁴ For example: Gender-net <http://www.gender-net.eu/>, FESTA (2012-2017) <http://www.festa-europa.eu/>, GENOVATE (2013-2016) <http://www.genovate.eu/>, INTEGER (2011-2015) <http://www.tcd.ie/wiser/integer/>



It is worth noting that SFI together with Enterprise Ireland (EI) have developed the **Technology Innovation Development Award (TIDA)**, that promotes, develops and assists basic and applied research in strategic areas of scientific endeavour in order to commercialise science and research within HEIs. Its relationship to gender is specifically associated with SFI's Gender Strategy: this particular award was given a 'soft launch' in respect to compliance to the Gender Strategy where a link in the submission of the application highlighted the 'Sex/Gender variables to the Research Project' was included. As its attention to gender equality seems to stop at this, it has not been further analysed in the following sheets.

The Institute of Physics (IoP) developed **Project Juno** in order to promote gender equality in physics in HEIs and schools.

The BusinessRiver network offers the **Education Awards** that encourage and celebrate excellence in the education sector in Ireland, not specifically targeted at gender equality, but appear to have a number of female awardees.

Knowledge Transfer Ireland's [Impact Awards](#) recognises significant achievements in knowledge transfer and commercialisation of research carried out in Irish HEIs and publicly funded research organisations nationwide, providing links between research and industry – though as it does not have any reference to gender equality and diversity, it will not be further analysed.

Advanced-HE specifically targets the support for women in leadership with the [Aurora Leadership award](#), that creates positive action to address the under-representation of women in all levels in Ireland's HEIs – as it is directed to individual women, it is not further analysed; nonetheless, it is interesting as it directly involves HEIs to become “Champions” for equality.

The Irish Centre for Diversity supported by the Irish Business Employers Confederation (Ibec) and Dublin City University (DCU) have developed an all encompassing Diversity & Inclusion mark for Irish businesses, the **Investor in Diversity Award** aimed at businesses and professional companies that specifically targets gender equality in its equality and diversity programme.

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Athena SWAN Charter Awards**2015****Award**<https://hea.ie/policy/gender/athena-swan/>**International**info@hea.ie**Awarding body:****Target Audience:****Higher Education Authority (HEA)****Research and HE (All Irish Higher Education Institutes, Technical Universities, Research Institutes)****Overall description:**

The Higher Education Authority created a task force to create an action plan in order to implement the Athena SWAN Charter into Ireland in 2015. It is aimed at advancing and ensuring progress towards Gender Equality in HEI's that are constant and sustainable.

There are different levels: Bronze, Silver & Gold.

All Irish HEI's are obligated to achieve the Bronze Award by end of 2019 in order to access funding for research from Irish Research Council (IRC), Science Foundation Ireland (SFI), Health Research Board (HRB). Bronze Awards are renewable every 3 years. The Silver Award may be applied for after one renewal of a Bronze Award. The Silver Award focuses on a demonstrated impact of the charter within the institution. It is estimated that most/all HEI's in Ireland will achieve the Silver award by 2023. Technical Universities (formerly Institutions of Technology) Will achieve a Legacy Award in recognition of Gender Equality work undertaken in gender proofing their policies in their new restructuring, ultimately leading to their application for a Bronze Award.

Validity

Bronze to be achieved / applied for before end 2019. Once a Technical University (TU) has been established, it shall be required to achieve a TU bronze award within three years. Renewable

Interlinkages with Research Funding regulations/processes

Funding from the Irish Research Council / Science Foundation Ireland and the Health Research Board is dependent on HEI's obtaining the Bronze Award by 2019.

Eligibility and requirements:**Eligibility**

All Higher Education Institute including Technical Universities, and research Institutes or a department in any of the aforementioned.

Requirements

The Athena SWAN bronze, silver and gold awards testify to institutions' and departments' success in advancing these goals. This entails, inter alia

- working towards increasing the proportion of women employed in higher education institutions;
- improving the representation of women on committees;
- enhancing the transition from postdoctoral researcher to first academic post;
- improving working practices to support career progression;
- supporting women's networking across higher education institutions.

Other information

There are currently 11 institutional award holders and 26 departmental award holders.

Business model:

Criteria set by the Higher Education Authority. Framework includes, a HEA Expert Group aimed to tackle Gender Inequality in HEI's. A Gender Equality Taskforce created an Action Plan aimed at advancing/ ensuring progress towards Gender Equality in HEI's is constant and sustainable. Each Higher Education Institutions create individual Gender Action Plans and submit reports annually to the HEA. Intersectional critical analysis of the Gender Action Plan within HEI's is conducted by academic and professional staff, management, support staff and students.

FUNDING > Governmental Institution sponsorship

Certification process, assessment, and support:

Applications are submitted annually and must provide qualitative and quantitative analysis of their institution/department following 10 principles.



1. We acknowledge that academia cannot reach its full potential unless it can benefit from the talents of all.
2. We commit to advancing gender equality in academia, in particular, addressing the loss of women across the career pipeline and the absence of women from senior academic, professional and support roles.
3. We commit to addressing unequal gender representation across academic disciplines and professional and support functions. In this we recognise disciplinary differences including:
 - the relative underrepresentation of women in senior roles in arts, humanities, social sciences, business and law (AHSSBL)
 - the particularly high loss rate of women in science, technology, engineering, mathematics and medicine (STEMM)
4. We commit to tackling the gender pay gap.
5. We commit to removing the obstacles faced by women, in particular, at major points of career development and progression including the transition from PhD into a sustainable academic career.
6. We commit to addressing the negative consequences of using short-term contracts for the retention and progression of staff in academia, particularly women.
7. We commit to tackling the discriminatory treatment often experienced by trans people.
8. We acknowledge that advancing gender equality demands commitment and action from all levels of the organisation and in particular active leadership from those in senior roles.
9. We commit to making and mainstreaming sustainable structural and cultural changes to advance gender equality, recognising that initiatives and actions that support individuals alone will not sufficiently advance equality.
10. All individuals have identities shaped by several different factors. We commit to considering the intersection of gender and other factors wherever possible.

Criteria and Indicators used:

ATHENA SWAN BRONZE INSTITUTION AWARDS

Recognise a solid foundation for eliminating gender bias and developing an inclusive culture that values all staff. This includes:

- an assessment of gender equality in the institution, including quantitative (staff data) and qualitative (policies, practices, systems and arrangements) evidence and identifying both challenges and opportunities
- a four-year plan that builds on this assessment, information on activities that are already in place and what has been learned from these
- the development of an organizational structure, including a self-assessment team, to carry proposed actions forward

ATHENA SWAN SILVER INSTITUTION AWARDS
 Recognise a significant record of activity and achievement by the institution in promoting gender equality and in addressing challenges in different disciplines. Applications should focus on what has improved since the Bronze institution award application, how the institution has built on the achievements of award-winning departments, and what the institution is doing to help individual departments apply for Athena SWAN awards.

Gender, diversity, and excellence:

The framework for the Athena SWAN Charter is referred to in the Irish Government's Gender Action Plan 2018 - 2020 in order to accelerate gender equality in Irish HEIs



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|---|--|
| Project Juno | 2007 |
| Award | International/ ireland and UK |
| http://www.iop.org/about/diversity/initiatives/juno/index.html | diversity@iop.org |
| Awarding body: | Institute of Physics |
| Target Audience: | Business/ others + Research and HE (just physics) |

Overall description:

The Institute of Physics in Ireland (IOP) adopted the Juno Project as part of their strategy to achieve greater gender equality in physics. The aim of Project Juno is to recognise and reward physics department, schools, institutions and organisations that can demonstrate they have taken action to address gender equality in physics and to encourage better practice for all staff. It is aimed at developing an equitable working culture for students and staff to achieve full potential.

There are different levels: Supporter / Practitioner / Champion / Juno Excellence Programme & Award

Validity

3 years (4 years for Champion), Renewable

Interlinkages with other certification schemes

Project Juno and Athena SWAN are reciprocal awards, meaning once you have achieved one, you can convert it to the other. If you are a Juno Supporter it implies you have at least Athena SWAN Bronze award

Eligibility and requirements:**Eligibility**

Any school, department, research institute or organisation offering physics-based teaching and/or research can join Project Juno by making a commitment to the six Juno principles. Where physics is embedded within other activities (for example within a school of engineering or mathematics), you can join Project Juno if you can provide data, information and action related to physics-based activities. Where separate physics-based information is not available, applicants are encouraged to take part in the Athena SWAN award scheme.

Requirements

- Supporter → You start your Juno journey by endorsing the five principles and making a commitment to work towards Practitioner and then Champion.
- Practitioner → You demonstrate that your Juno journey is well underway. Qualitative and quantitative evidence is gathered and its initial action plan demonstrates how you aim to achieve Champion status.
- Champion → You demonstrate that the six principles are embedded throughout. Further evidence is gathered and its action plan demonstrates how you will continue to further good practice.
- Juno Excellence Programme and Award → As a Juno Champion, you develop a programme of activities in conjunction with the Institute to showcase and embed successful and innovative practice nationally.

Other information

Out of 55 physics departments in the UK and Ireland there are:

- 25 Juno supporters
- 11 Juno practitioners
- 10 Juno champions

([source](#))

Business model:

The IOP is a leading scientific society. They are a charitable organisation with a worldwide membership of more than 50,000 working together to advance physics in education, research and application. Possibly it is through membership fees / donations that the Juno Programme has been rolled out in order to highlight the importance of a gender balance in STEM and in particular the world of physics.

Certification process, assessment, and support:

All applications and renewals for Practitioner, Champion and Juno Excellence awards are judged by a panel of physicists (Juno panel) who have in-depth understanding of gender equality in physics.



They are aware of the specific challenges that physics faces and have extensive knowledge of best practice in gender-equality initiatives that have already been established, both within and beyond the physics community.

To become a supporter, applicants need to make commitment to the six principles; nominate a “champion” for Juno process and engage senior management; make commitment to becoming a Practitioner and Champion and send a letter with a named Juno contact.

For practitioner award: applicants need to establish Juno committee; gather qualitative and quantitative evidence; undertake self-assessment using good-practice checklist; devise Practitioner action plan. The Panel assesses evidence for Practitioner at its meeting and decide whether it will approve the application and provide detailed feedback.

For Champion award: Applicants start implementing Practitioner action plan; they gather more robust evidence; devise more in-depth action plan, highlighting progress and what is still to be done; arrange a mid-Practitioner formal site visit to receive feedback on progress so far and discuss priorities as applicants work towards Champion. The panel assesses evidence for Champion at its meeting and make decision on approval and detailed feedback. To be considered for Juno Excellence Programme and Award: Applicants need to arrange a Champion renewal visit three years after becoming Champion to receive feedback on progress and priorities for renewal; discuss with the diversity team a programme of activities applicants could develop for Juno Excellence; and finally apply to renew Champion status after four years.

Applicants need to undertake self-assessment and then be reviewed by Juno panel (panel comprised of physicists). The Panel comprises a Chair and at least five other members. With the approval of the Chair of the Panel, and the IOP Diversity and Inclusion Committee, panel members are drawn from Juno Champion and Practitioner departments. The Panel shall include at least two academic physicists and one non-academic physicist. There shall be at least one man and one woman on the Panel.

The IoP provides the following general support:

- Written feedback on draft applications and action plans.
- Comprehensive written feedback on all your applications and renewals.
- Free best-practice workshops around the country, giving you the opportunity to network with other departments at different stages of the Juno journey.
- Resources that help you to navigate your Juno journey, from best-practice guides including guidance for small departments through to a regular Juno update.

Criteria and Indicators used:

The six principles are listed here (with further information and the specific subsections available [here](#)).

- A robust organisational framework to deliver equality of opportunity and reward;
- Appointment and selection processes and procedures that encourage men and women to apply for academic posts at all levels;
- Departmental structures and systems that support and encourage the career progression and promotion of all staff, and enable men and women to progress and continue in their careers;
- Departmental organisation, structure, management arrangements and culture that are open, inclusive and transparent, and encourage the participation of all staff;
- Flexible approaches and provisions that enable individuals, at all career and life stages, to optimise their contribution to their department, institution and to SET;
- An environment where professional conduct is embedded into departmental culture and behaviour.

Practitioner applications are assessed only against Juno principle 1: the extent to which the department has demonstrated that it has a robust organisational framework to delivery equality of opportunity and reward.

Champion applications are based and assessed on the extent to which all six Juno principles and their key criteria have been embedded into departments with evidence of impact.

Gender, diversity, and excellence:



The Juno Project is targeted at advancing research / study / work for physics in Ireland and the UK. It has developed a programme to develop an official recognition and commitment to gender equality by asking organisations / institutions / HEI's to create better working practices for staff and students in line with advancing gender equality frameworks internationally.

| | |
|---|---|
| Investors in Diversity | 2019 |
| Award https://irishcentrefordiversity.ie/investors-in-diversity/ | National enquiries@irishcentrefordiversity.ie |
| Awarding body: | Irish Centre for Diversity |
| Target Audience: | Business/Others |

Overall description:

The Irish Centre for Diversity supported by Ibec (Irish Business Employers Confederation) and DCU Centre of Excellence for Diversity and Inclusion (Dublin City University), introduced an all-encompassing Diversity and Inclusion mark for Irish businesses. Recognising and effectively managing people's different skills; abilities, experiences, perspectives, backgrounds, needs, issues, barriers, family and personal circumstances is critical in getting the best out of people. Investors in Diversity offers a clear and structured framework to transform diversity practices and culture. Using cutting-edge tools and services that measure and inform organisations on workplace Fairness, Respect, Equality, Diversity, Inclusion and Engagement (FREDIE).

There are different categories: bronze / silver / gold

Validity

Ongoing, renewable

Eligibility and requirements:

Eligibility

Any organisation in Ireland who wishes to assess their Diversity & Inclusion policies. Small, Medium or Large organisations.

Requirements

The application forms for Bronze, Silver, Gold: It would appear that they are self-assessed following the guidelines.

Other

information

This is a new award, companies / businesses are keen to get the award to support employment policies, business networks, employee recruitment etc for the organisation. It sets a standard.

Business model:

Irish Centre for Diversity charge companies for their diversity and inclusion staff training courses that cover a wide range of diversity and inclusion related topics, tailored to the needs of individual companies / organisations. They provide on site / on line training, they conduct interviews and provide and assess questionnaires. They evaluate companies Equality and Diversity needs and assist in creating individual frameworks/guidance documents and provide on-going support for member companies throughout the process of achieving their awards.

Certification process, assessment, and support:

Criteria: Bronze Award is about helping a company build a strong foundation to embed Equality, Diversity, Inclusion into their organisational system. It is a first step in becoming a diverse and inclusive organisation. This develops to Silver which will measure the sense of fairness and belonging from an employee's perspective. The Silver is designed to liberate the voice of the employees and allow the company to benchmark against other organisations while providing an overview of the key strengths and areas for development in the company. The Gold is about demonstrating the "lived experience" of embedding diversity and inclusion across the organisation. To achieve Gold, the organisations are required to undertake an in depth self-assessment of practices across principal pillars which include, Diversity & Inclusion, Leadership; Policies, procedures and Processes; Recruitment, Retention and Progression: Recording and Monitoring; and Impact on External Diversity. Each company/organisation sets up a Diversity Action Group / the manage the



manage the goals of The Irish Centre for Diversity, once they have reached their objective, representatives from the Irish Centre for Diversity arrange questionnaires for all staff members, collect reports from the Diversity Action Group, and make the assessment. This is a relatively new award and the only one of its kind in Ireland.

Achieving Awards, bronze, silver, gold requires continual support from the Irish Centre for Diversity until each award has been achieved. There is also follow up to make sure the standard has been maintained.

Criteria and Indicators used:

The ultimate aim is to achieve adherence to the five principle pillars of the Gold Award :

- 1) Diverse and Inclusive Leadership
- 2) Policies, Procedures, Process
- 3) Recruitment, Retention and Progression
- 4) Recording and Monitoring 5) Impact on external diversity

| The Education Awards | | 2017 |
|---|---|-------------|
| Award https://www.educationawards.ie/ | National info@educationawards.ie | |
| Awarding body: Target Audience: | BusinessRiver Network Research and HE | |

Overall description:

The Education Awards is a platform for recognising, encouraging and celebrating excellence in the education sector in Ireland from both State and privately funded institutions. The award categories are designed to highlight the key areas that impact upon student performance and provide opportunities for educational institutions, their employees and contributors to have their achievements recognised across the various important facets of their operation. Being shortlisted is an achievement in itself and gives the institution a chance to showcase their strengths to the whole industry and perspective new students. There are 30 [categories](#).

Validity

1 year, not renewable

Eligibility and requirements:

Eligibility

All HEIs and Learning Institutions

Requirements

Each award has an application form that must be completed by the institution involved. There are specific criteria for each award. These are awards of recognition so each institution follows the criteria and self-assesses their application.

Other information

1600 applications in 2019. 27 / 30 awards given.

Business model:

Every year there are different Sponsors who fund the awards. Sponsorship is seen as being prestigious. The businesses are asked to sponsor a particular award that suits their business objectives. It is seen as a way of giving something back to a client base that is essential to their ongoing business success. Sponsors are categorised as Platinum Sponsor, Supporters, Communications Partners.

Certification process, assessment, and support:

Submissions are not disclosed or discussed outside the judging process. Neither the names of companies, organisations or individuals that have not been shortlisted for an Award is reported, nor any information from your entry are reproduced unless prior permission is given.

A comprehensive judging process has been put together to decide the worthy winners of The Education Awards:



1. After all submissions have been received, all entries will be sent for the first round of review.
2. Entries will be carefully scrutinized with the best selected to go forward to the shortlist for each category.
3. The shortlist of finalists will be published on the Awards' website.
4. Judges are divided into a minimum of two panels, ensuring any potential conflict is avoided.
5. The judges will score each of the entries allocated to them against a predetermined set of scores.
6. Scores are then collected and collated, with the entrant receiving the highest overall score being declared the winner of that category.
7. The winners will be announced at the awards ceremony.

The judges' decision is final and no correspondence or communication of any kind will be entered into in relation to decisions reached.

Criteria and Indicators used:

Depends on the specific category. Generally they include gender, diversity, recruitment of students, retention of students, the projects students have completed, the engagement with business, the public, other institutions. Quality of research also seems to be a major aspect of evaluation (as many categories refer to it).

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ITALY

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| National CAS: | <ul style="list-style-type: none"> • Family Audit: la certificazione familiare aziendale • Certificazione Parità di genere |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 16 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

ANVUR (Agenzia Nazionale di Valutazione del Sistema Universitario e della Ricerca) is the **National Agency for the evaluation of the university and research system** and it is a public body under the guidance of **MIUR**, the Ministry of Education, University and Research. It defines the accreditation and evaluation criteria for schools and research.

In the “Self-evaluation, recurrent evaluation and accreditation of the Italian university system” (2012) document, ANVUR defined the **Quality Assurance Model (AQ)**. This model outlines aspects of quality assurance:

- requirements for the accreditation of universities and courses
- quality assurance requirements
- reference number of students for accreditation
- indicators for the recurrent evaluation of research third mission
- teaching activities at universities

The Agency oversees the national public system for **assessment and accreditation** of the universities and research institutions. It takes care of the external assessment of the quality of the activities of universities and research bodies with public funding and it directs the activities of the Evaluation Cores. It also assesses the effectiveness and efficiency of public funding and incentives programmes for research and innovation. Moreover, the Agency carries out these activities:

- it evaluates the quality of processes, results and products of management activities, training, research, technological transfer of the activities of Universities and Research Bodies
- it defines the criteria and methodologies for the evaluation of locations and study courses, masters and graduate schools, for the purpose of the periodic accreditation of facilities by the Minister
- it prepares procedures in cooperation with the university to detect the satisfaction of students regarding the courses
- it processes and proposes to the Minister the quantitative and qualitative requirements for the establishment, merger or federation or suppression of universities or branch office
- it processes the benchmarks for the allocation of state funding
- it evaluates the efficiency and effectiveness of public funding and incentives programmes for educational, research and innovation activities
- it conducts further evaluation activities at the request of the Minister as well as the definition of standards of parameters and technical legislation

The Agency works with international bodies and the European Union, as well as with agencies and administrations in other countries and with international scientific bodies that assess higher education and research systems. It works in line with best practices for assessing results at international level



and on the basis of principles of autonomy, impartiality, professionalism, transparency and publicity of acts.

The National Evaluation System (Sistema Nazionale di Valutazione-SNV) is responsible for the **quality assurance in the education and training system**. The System foresees an external and internal evaluation of institutions, including an external evaluation of students' learning achievements and through the recently introduced internal evaluation of teachers aimed at recognising their value.

MIUR (Ministero dell'Istruzione, dell'Università e della Ricerca) is the Italian Minister for University and Research and its Statistical Office shows an important inequality between the careers of men and women: the diagram of this inequality is called the **"scissor diagram"**. This shows that, while substantial overall numerical equality between men and women has been achieved in the ISCED (International Standard Classification of Education) levels from 6 to 8 (students, graduates, PhD students and PhD/doctors/research doctors), gender inequality exists, and it gets worse during women's career. In 2014 the percentage of women in academic groups stands at 50,6%, considering the ones with research grants, the 45,9% of the university researchers, the 35,6% of the associate professors, the 21,4% of the ordinary professors. The gender inequality is even larger in the STEM sectors (Science, Technology, Engineering, Mathematics). The situation in Italy, compared to the European indicators, is similar to the trends of the European average. STEM sectors are the most compared to the average of the European countries because in these sectors the improvement of Italy is very small: during the years 2010-2016, for example, the percentage of professors in STEM rose from 16% to 18% and this does not allow to rebalance the presence of women at low levels in the next 50 years.

Gender in research and higher education

Regarding the integration of research groups within the **projects of national interest** funded by **MIUR** (PRIN-Progetti di Rilevante Interesse Nazionale), national policies state several positive actions that the Minister can undertake:

- to encourage the equal presence of both sexes in research groups by attributing positive scores in the assessment to those groups where each sex is represented, at least 40%;
- to encourage the equal presence of the two sexes in the top positions, attributing positive scores in the assessment to those groups where the representation of each sex, at least 40%, is obtained in all decision-making levels;
- to adopt the principle of gender equality in the training of assessment panels;
- the training of evaluators and evaluations of research projects distortion factors that cause under representation of women in the research teams and in particular in senior roles;
- to support the importance of promoting gender equality in research, producing special materials and organising seminary events with the participation of evaluators and assessors

Regarding the presence of a **gender perspective in the content of research** within the projects, the policies state the importance of various actions:

- to collect data disaggregated by gender; the use of gender-disaggregated variables in analysis;
- the constructions of samples of people of both sexes in experimental biomedical studies, in order to take into consideration the different effects on both sexes;
- the need to consider the difference in physical characteristics and physic attitudes in investigating the effects and the application of technological innovation on the two sexes



With this aim, policies state that it is necessary to create, at a European level, a register made of experts with gender expertise that can evaluate gender projects that need funds.

In the same document, it is stated that for the selection of researchers and teachers the commission has to consider the recommendation 2017 of the **National Plan for the Anti-Corruption** that requires a gender balance: the commissioners and the evaluators must be trained to respect this recommendation.

MIUR is invited to work with the **National Committee of Guarantors Research (CNGR)**, which is responsible for art. 21 of the 30 December 2010, No. 240 and ss.mm.ii. law that encourages the presence of researchers and experts of both sexes in both research projects in both evaluation panels. Moreover, MIUR supports the consideration of **gender equality as a transversal aspect**: there is the need of gender experts to ensure a gender-oriented view in all aspects, it is not considered as an isolated topic to discuss. Science, technology, education, politics are all areas in which gender should be considered.

The European Union plays an important role because national policies are inspired by various European projects: for example, in the wake of Horizon 2020, Italy has developed many projects in collaboration with various universities (Gender Time-Università di Padova, Gender Innovations-How Gender Analysis Contributes to Research-Università di Napoli, Plotina-Università di Bologna).

Introduction to the CAS in Italy

The analysis of the certifications and awards in Italy shows that there is a lot more work to do. There are important gender equality certifications in the private sector, in companies, and organizations, but in research and higher education the work has just started. Following the lead of the European Union, Italy introduced gender equality as a fundamental issue in the academic world, but only the first few steps. There are gender equality plans and good practices, but not awarding systems – the only ones which were found were at the individual level, for outstanding research regarding women's issues and gender equality, given out by Universities (such as the Elena Cornaro Award at the University of Padua).

The **Winning Women Institute** created a certification for companies that respect its indicators for gender equality: the Institute gives to companies a phase of pre-audit and audit in which the participants can understand which steps to take and they can decide how they can act to achieve the equality. This is the first Italian gender equality certification.

Family Audit is an important certification in Italy about work-life balance, which today strongly affects women: its aim is to help people that have significant family needs to work in a friendly company and to divide care work equally between genders. Interestingly, this CAS has also been awarded to Higher Education Institutions.

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Family Audit: la certificazione familiare aziendale 2008

Certification

National

www.trentinofamiglia.it

agenziafamiglia@provincia.tn.it

Awarding body:

Provincia autonoma di Trento

Target Audience:

Business/ Others (Public And Private Companies And Organizations)

Overall description:

The principal aim of this project is the work-life balance: it is important that men and women can have the possibility to have their families and at the same time to have their career. Italy is not an example for family policies in European Community. Provincia autonoma di Trento created this certification in order to support companies to become excellent places of work: they have to adopt policies aiming to help their employees. The standard of this certification can be used by every kind of company and organization. The positive effects expected are: satisfaction of the employees, more attractiveness in the labour market, increasing in the performances of the employees and their productivity, loyalty of the employees, reduction of inequality between men and women and between persons who have different family responsibilities.

There are different categories: Certification Family Audit, Certification Family Audit Executive

Validity

3 years, renewable

Eligibility and requirements:

Eligibility

The Family Audit standard can be adopted by any public or private organization, profit or non-profit, small, medium or large size.

Requirements

The company or the organisation has to apply and to work with the team through the different phases of the certification. The application is open to every kind of company, everyone can apply.

Other information

In 2019, the owners of Family Audit Certification are 298. The total number of employees that work in organizations with the certification are 150.000 and more than the 50% are in private organizations.

Business model:

The organization pays the shareholding in the costs of issuing the certification. The amount is defined on the basis of the number of employees involved in the certification process and must be paid only once with the submission of the Activation Application. After this, the organization needs to pay the cost of the assessor and of the consultant.

Certification process, assessment, and support:

In the first six months, the certification body analyzes the needs of the employees regarding work-life balance, in order to understand which are the principal lacks of the company, comparing with the indicators. After this, the certification body and the company work together for one year: at the end of the year, the company achieve Family Audit Certification. The third phase lasts 3 years and in these years the company has to apply the actions suggested for work-life balance. At the end of this period, there is the Family Audit Certification Executive. The next 3 years are the maintenance period and the certification can be renewed.

Criteria and Indicators used:

- a. Work's organization
- b. Diversity Equality and Inclusion Management,
- c. Communication,
- d. Company's Welfare,
- e. Local Welfare,
- f. New technologies



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| Certificazione Parità di genere | 2018 |
| Certification | National |
| www.winningwomeninstitute.org | segreteria@winningwomeninstitute.org |
| Awarding body: | Winning Women Institute |
| Target Audience: | Business/Others (Companies and organizations) |

Overall description:

These are three simple steps, three leaps forward to overcome the different treatment between men and women in the workplace and give companies more competitive advantage over their customers. It's about work organization, human resources management and business policies.

Validity

3 years, renewable

Eligibility and requirements:**Eligibility**

Every company can apply

Requirements

After the application, there is the first step, the phase of pre-audit: the Institute makes a first inquiry on the indicators in order to know the level of gender equality in the company. This is the first meeting between the Institute and the company.

Other information

9 companies awarded as of 2020

Business model:

The main source of funding are the applicants' fees.

Certification process, assessment, and support:

This certification can be achieved with three steps: pre-audit, audit and communication. In the first step the Institute makes a first survey of the indicators, in order to understand the level of gender equality in the organisation/company. After this there is a report and the organization can decide if continue or not. With the second step, the organization has an audit about the indicators required by the model of Winning Women Institute with a third partner. The presence of a third partner guarantees the transparency of the certification. The last step is the communication of the good practices about gender equality. This is useful for the organization but it can create also a virtuous circle.

Criteria and Indicators used:

- a. Opportunities for growth in the company for women,
- b. Remunerative equity and HR management processes,
- c. Policies for the management of Gender Equality,
- d. Organizational perception of Gender Equality

Gender, diversity, and excellence:

The Institute underlines that gender equality is a fundamental aspect for the excellence in the business: in order to be competitive, companies need a balance between genders and at the international level a gender equality certification is often required.

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LATVIA

[Link in the references](#)

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| National CAS: | <ul style="list-style-type: none"> • Ilgtspējas indekss (Sustainability index) |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 0 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

There are **no specific regulations** regarding research quality. There is no definition on what is understood with research quality in laws regarding science and scientific activity. The relevant laws determine the general procedures regarding scientific institutions. The **Law on Scientific Activity** defines scientific institutions and sets requirements for scientific institutions but does not specifically address the question of quality. The Law's **Section 40** prescribes that a scientific institution shall prepare and post a report on the scientific activity in the National Research Information System every year, to include in the report information regarding the objectives and results of the activity of the scientific institution, as well as information regarding the allocated State budget funds and their utilisation. **Section 41** of the same law defines processes of international evaluation of the activity of scientific institutions. Evaluation focuses on:

- the quality of the scientific activity
- the impact of the scientific activity on the relevant field of science
- the economic and social impact of the scientific activity
- the infrastructure and its conformity with the activity of the scientific institution
- the development potential

But there is **no specification on what is understood with 'quality of the scientific activity'**.

The Law on Higher Education Institutions defines mechanism for **accreditation**. The accreditation of a higher education institution or college is the assessment of work organisation and quality of resources of the institution as a result of which it is granted the status of a state-recognised higher education institution or college. In order to apply for accreditation, the higher education institution or college shall submit to the Academic Information Centre an application. The following shall be added to the application:

- the self-assessment report of the higher education institution or college
- the sample of a study agreement
- a document specifying the status of the students' self-governance and funding procedure
- additional information required for the assessment of the higher education institution or college, in accordance with the criteria and requirements for the assessment.

Requirements subject to assessment are:

- the compliance of the qualification of the academic staff members
- the compliance of the academic staff development policy and incentive system
- the compliance of the study provision, informative provision (including libraries), material and technical provision, and financial provision with the requirements for the implementation of a study programme
- the implementation of the internal quality assurance system
- evidence for indication of the improvement and development
- regulatory enactments on higher education



The stakeholders involved in the process of accreditation are student organizations, providing students opinion regarding study process, and representatives of employers reflecting how well program prepares students for work in particular industry.

There are **no mechanisms regarding gender or any other diversity areas**.

Section 3. of Law on Scientific Activity states that any person, regardless of race, ethnicity, gender, language, age, political or religious conviction, social origin, or material, family or employment situation, and other circumstances, has the right to perform scientific activity. This is the only mentioning of gender or other diversity areas.

Gender in research and higher education

There are **no specific national policies** on Gender in Higher education and/or Scientific Research and Innovation.

The **number of women in science is very high in Latvia**. Data from 2018 shows that there are together 4195 people as academic staff of higher education institutions in full-time work 2312 of whom are women (~55%). Women form biggest part of associate professors, assistant professors, lecturers and assistants. Men are more represented as professors (334 vrs. 259) and leading researchers and researchers (626 vrs. 568). This phenomenon is explained by a lack of funding and unstable employment and the income situation in science. Men do not choose science as career path. Nevertheless, a high number of women in science is **used as argument that gender equality initiatives are not needed** in Latvia.

There are no policy documents on gender equality in higher education and research in Latvia. The strategic document in the field of gender equality policy in Latvia was [the Concept Paper on Gender Equality Implementation \(2001\)](#). The Concept Paper was used as a fundamental basis for the development of further plans of action and documents to implement the goals set in it – in any case, the Concept Paper has no provisions regarding gender equality into RPOs.

The **Current Plan for the Promotion of Equal Rights and Opportunities for Women and Men for 2018–2020** provides the direction of “promoting equal education opportunities for boys and girls, men and women”. But this direction has no direct nor concrete actions toward promoting gender equality in research and higher education institutions.

The policy paper **Science, Technology Development and Innovation guidelines 2014 – 2020** notes that there is a gender balance in Latvian science and research employment: “According to the data provided by scientific institutions, as of July 1, 2013, 51% of women and 49% of men were employed in science and research. However, there are disciplines where there are gender differences.” There are more women in humanities (67%), social sciences (63%), agricultural sciences (67%), medicine and health science (58%). Men dominate in engineering and technology (70%) and natural sciences (51%). Despite this information policy paper does not recognize it as problem to be solved.

There are two state funding programs: the **Fundamental and Applied Research** program and the **State Research** program. There are no requirements regarding [gender equality in either funding programs](#).



Introduction to the CAS in Latvia

There are no CAs specifically focusing on gender equality in Latvia. Existing initiatives are focusing on diversity management and corporate responsibility and sustainability.

It is worth mentioning the existence of the **Latvian Diversity Charter** – nonetheless, it is part of wider project, carried out in several countries. It is not specific to Latvia and it does not provide any for of assessment and awarding.

The Ilgtspējas index/ Sustainability index is the most relevant scheme. It was established in 2010 and since then it has proven to be a successful and recognized tool by industries, NGOs and government institutions. The Sustainability index is a tool for assessing the level of corporate responsibility, risk management processes as well as fostering business growth. The owner of index is the Institute for Corporate Sustainability and Responsibility. It is a voluntary initiative for any kind of business or organization which wants to evaluate its current state regarding corporate responsibility and sustainability.

The index evaluates an organization's performance in 5 categories – strategy, work environment, market relationships, environment, society. The assessment is based on a questionnaire. The amount of criteria company conforms with determines its level of excellence. Answers must be supported by publicly available information. There are benefits for the company for participating in the Index, including analysis of good practice and advice from experts. The status achieved in the index can then be used for marketing communication. Within the Index framework participants can get the status of "Family Friendly Merchant" as well as the "Gender Equal Company" award. The winner of this award is selected by Society Integration Foundation. The Foundation bases the decision on the information participants provide for assessment, meaning that specific in-depth information regarding GE is not required. Gender equality in the Index is addressed by the principle of non-discrimination and equal opportunities.

Why is gender equality considered a non-issue in Latvian HEIs and research?

Lack of funding for science is most important topic when it comes to discussion of science in public discourse. As well as issues of administration, structural reform of university governance. Issues of gender equality are not on public agenda. Gender as topic, but only as women's participation in science, is visible in mass media once a year, when L'Oréal-UNESCO *For Women in Science* International Award is presented.

This situation can be explained by relatively high percent of women represented in academia, science and research. Data from 2018 shows that there are together 4195 people as academic staff of higher education institutions in full-time work 2312 of whom are women (~55%). Women form biggest part of associate professors, assistant professors, lecturers and assistants. Men are more represented as professors (334 vs. 259) and leading researchers and researchers (626 vs. 568) (Pārskats par Latvijas augstāko izglītību). One can conclude that there are problem with glass ceiling in academia, that women are not equally represented in higher positions on academia.

I have to say that this topic is almost never discussed in public discourse. I found no academic nore popular media articles regarding glass ceiling in academia.

However there is other issue. There are disciplines with explicit disbalanced gender representation. There are more women in humanities (67%), social sciences (63%), agricultural sciences (67%), medicine and health science (58%). Men dominate in engineering and technology (70%) and natural sciences (51%) (Zinātnes un tehnoloģijas attīstības un inovācijas pamatnostādnes 2014.-2020.gadam). To explain this we can look at existing views on gender roles in Latvian society.

Public opinion poll shows, that the majority (58.8%) of the surveyed Latvians believe that the division of professions between women and men exists, and it is unlikely that this division will ever disappear. A clear example is the pair of two polar professions: more than 80% of respondents believe that the profession of



kindergarten teacher and housewife is more suitable for women, while the same 80% of respondents do not doubt that military service and construction are the most suitable industries for men (Latvijas Fakti). There is division on male and female areas of competence, which creates also gender based participation/ involvement in science. Thus natural sciences and technology are perceived as male, but humanities and social sciences as female. Since public opinion surveys shows that aforementioned notion is quite strong, deliberate interference would be needed to change this situation.

I would say that in Latvian society understanding of gender equality is rudimentary and is mostly understood as gender balance. This is also reason why high number of women in science signifies that there is gender equality in this sector. There is lack of understanding what gender equality is really about, lack of information, lack of education about it as well. Notion that gender-balanced representation equals gender equality might be rooted in our Soviet past. In Soviet Union gender equality was realised by women's participation in workforce in equal numbers to men.

As I mentioned before, this issue is not discussed in public discourse. Analysis of publications in mass media reveals that articles about women in science are published due to presentation of L'Oréal-UNESCO *For Women in Science* International Award. On annual base there are news stories about scientists who received this award on current year. Sometimes receiver of award are interviewed. Interviews could be a great platform to initiate public discussion on gender equality in science. Unfortunately it is rarely the case.

For example, article in leading Latvian news portal delfi.lv "Vispirms zinātniece un tikai tad sievietē. Saruna ar trīs nozīmīgu pētījumu autorēm [First a scientist and only then a woman. Conversation with the authors of three important studies]" (Vinovska, 2019). This is interview with three scientists receivers of award. All of them agree that woman's advancement in science is her own responsibility or lack of determination.

Quotes:

"I would like you not to look at me like a woman in science. I am a scientist, it is first. And only then, by chance, I am a woman. Abilities and ambitions are for everyone. It's like in any other profession."

"If you are a good enough specialist, if you have knowledge, you are an expert, you have a thought and an idea, then gender does not matter. The main thing is how confident you are about yourself, your opinion, your idea."

"Women and men in Latvian science are half as many, but if you look at the leading positions, then there are similar to those in Europe - about 20 percent. The question then is why women do not go higher. They don't want to be higher themselves, or do men push? In my opinion, it depends on the woman herself."

This reveals other major problem of Latvian society - gender blindness. People perceive gender inequalities as normality, as 'natural order of things'. There are two sides of this. One side is that people tend to agree to the notion that some things are naturally female as care for children, and other things are naturally male as being breadwinner. Other side is inability to recognize gender inequality as serious obstacle. For example, survey showed that 56.8% of respondents (more often women) agreed that 'excessive attention is paid to gender equality issues' (32.7% of respondents disagreed) (Latvijas Fakti).

To sum up I would say that gender equality or gender-balanced representation is not part of discussion. High numbers of women's participation in science and research are used to justify that there is no problem with gender equality in Latvian science. The existence of glass ceiling is positioned more as lack of ambition in women themselves and that family for women is more important than academic carrier. This correlates with existing views in society regarding women's gender roles. According to a public opinion survey house cleaning (79.6%), cooking (73.3%), helping children with studies (43.7%), as well as children's upbringing (43.3%) and taking a child to / from school (34.7%) are considered as women's duties. Man's duties / work in family life are considered to do repairs at home (70.9%) and material provision of the family (Labklājības ministrija 2016).

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| | |
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| Ilgospējas indekss (Sustainability index) | 2018 |
| Certification: | National |
| https://incsr.eu/ | dace.helmane@incsr.eu |
| Awarding body: | Korporatīvās ilgtspējas un atbildības institūts (Institute for Corporate Sustainability and Responsibility) |
| Target Audience: | Business/others+Research and HE |

Overall description:

Sustainability index is a tool for assessing both the level of corporate responsibility, risk management processes as well as fostering business growth. Owner of index is Institute for Corporate Sustainability and Responsibility. It is voluntary initiative for any kind of business or organization which wants to evaluate its current state regarding corporate responsibility and sustainability. Index evaluates organization's performance in 5 categories – strategy, work environment, market relationships, environment, society. Responses must be supported by publicly available information. Benefits of the company for participating in Index include analysis of good practice and advice from experts. The status achieved in index can then be used for marketing communication. Within the Index framework participant can get the status of "Family Friendly Merchant". As well as the "Gender Equal Company" award. The winner of this award is selected by Society Integration Foundation. The gender equality in Index is addressed by the principle of non-discrimination and equal opportunities.

There are different levels: Platinum, gold, silver and bronze.

Validity

1 year, renewable

Eligibility and requirements:**Eligibility**

Any company, institution or organization registered in Latvia, regardless of industry, turnover or number of employees, can apply for the assessment.

Requirements:

None

Other information

In 2019, 19 companies earned Platinum status, 13 Gold, 15 Silver and 7 Bronze.

Business model:

Index applicants do not pay any fee. Experts work pro-bono (the information submitted is evaluated by the Board of Experts). Index is not a business product of Institute for Corporate Sustainability and Responsibility. Funds are needed on technical needs, web-platform for applications. These needs are met within budget of Institute for Corporate Sustainability and Responsibility. Outside financing is needed for Awarding and Award Ceremony. Award for "Family Friendly Merchant" is financed by Ministry of Welfare. Other awards are financed by involving various stakeholders.

Certification process, assessment, and support:

Evaluation is based on electronic questionnaire with 80 questions. The information submitted is evaluated by the Board of Experts. Index evaluates organization's performance in 5 categories – strategy, work environment, market relationships, environment and society. Each section, each criterion, has its own weight, determined by experts, according to its role in the overall sustainability assessment. Each response should be substantiated by the company with a reference to publicly available information indicating that it has been made available to relevant parties. To rule out subjectivity in judgment, questions establish the fact whether



or not there is a specific practice within the company. The Board of Experts ascertains whether the references submitted are of a substantive nature.

The link to the self-assessment questionnaire and access data is sent only to the email address provided in the statement signed by the management of the applicant company. To ensure data transmission security, SSL (Secure Sockets Layer) data transmission protocol is used.

The data and documents provided by the company are treated as confidential. All experts and organizational stakeholders have signed a confidentiality agreement stating that the information obtained is not disclosed and is used solely for the purpose of determining the company's Sustainability Index.

Each applicant of the Sustainability Index receives an individual evaluation by the Institute's for Corporate Sustainability and Responsibility Board of Experts, which outlines the company's performance and the impact of each section, as well as comments and suggestions on steps to help the company improve its performance in each section.

Criteria and Indicators used:

Index evaluates organization's performance in 5 categories:

1. strategy,
2. work environment,
3. market relationships,
4. environment,
5. society.

Each section, each criterion, has its own weight, determined by experts, according to its role in the overall sustainability assessment

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LITHUANIA

[Link to references](#)

National CAS:

- Award for the Best Gender Equality Implemented Practice in a Department/Institute at Siauliai University
- Award for the Best Planned and Implemented Measures to Promote Equality between Women and Men in Municipalities
- Award for Promotion of Gender Equality in Local Governance
- Award on Equality at Work
- National Equality and Diversity Award

Number of HRS4R awardees:

- 1 (as of 30/06/20)

National context for Quality Assurance and Accreditation

In Lithuania there are several national legal and policy acts that define the mechanism for internal and external evaluation of quality of research and HE institutions.¹¹⁵

The new revision of **the Law on Science and Studies of the Republic of Lithuania** adopted in 2016¹¹⁶ defines the general provisions for internal and external evaluation of the HE institutions. This document:

- defines a responsibility for each HE institution to ensure the quality of studies and other activities, set and publicly inform about the criteria for quality assurance, and foster the culture of quality of science and studies;
- stipulates the obligation for each HE institution to set the systems of internal quality assurance;
- defines the guidelines of external assessment of study programs and accreditation
- define the guidelines of external assessment of HE institutions
- defines the principles for financing the HE institutions

In 2019 the Minister of Education, Science and Sport issued the **new regulations** (further – Regulations) on the of the external evaluation and accreditation of HE institutions since March 1,

¹¹⁵UAB Kvalitetas and Smart Continent. 2013. Projekto galutinė ataskaita “Aukštųjų mokyklų veiklos išorinio kokybės užtikrinimo koncepcija” (Project final report “The Concept on the External Quality Assessment of Higher Education Institutions”); available at: http://www.esparama.lt/documents/10157/490675/AM_isorine_kokybe_koncepcija.pdf/ff1ac769-f1c9-4ad2-bd3f-fa718816218b; p. 42-52.

¹¹⁶ Lietuvos Respublikos Mokslo ir studijų įstatymo Nr. XI-242 pakeitimo įstatymas (Law on Revision of the Law on Science and Studies No. XI-242), 2016 m. birželio 29 d. Nr. XII-2534
<https://www.e-tar.lt/portal/lt/legalAct/1a9058e049b311e6b5d09300a16a686c/asr>



2020¹¹⁷. The **new methodology for assessment of activities of HE institutions** was adopted on March 9 2020. Following these new regulations, the evaluation process will start from 2020.¹¹⁸

For the purpose of full external assessment and accreditation in 2012 the Minister of Education and Science approved a **revision of the methodology** on assessment of real resources of HE institutions. This methodology defines principles for assessment of real resources, spheres of assessment, the timeline and indicators¹¹⁹.

The Ministry of Education, Science and Sport also approved **regulations and indicators on evaluation and accreditation of the study programs**¹²⁰ and also methodology to assess scientific work of science and study institutions. Since 2018 The Lithuanian Science Council each year assess the **quality of science activities** under regulations issued by the Ministry of Education, Science and Sport.¹²¹

The **quality assessment and accreditation of the HE institutions**¹²² undergoes the following steps:

- The Ministry of Education, Science and Sport initiates the external assessment of HE institution, and the Centre of Quality Assessment in High Education organize and implement it once in seven years;
- the Centre of Quality Assessment in High Education informs the HE institution and provides the plan for completion of internal self-analysis;
- HE institution completes self-analysis;
- The Centre recruits the experts who review the completed self-analysis
- The experts visit the HE institution and makes the assessment on the spot
- Then the experts provide the conclusions (positive or negative)
- The decision of accreditation then becomes the responsibility of the Centre of Quality Assessment in High Education which certifies the institution either for 7 years or 3 years or does not certify.
- Conclusions and decision of the Centre is publicly available
- If the HE institution disagree with the decision, there is a procedure for appeal.

The spheres of external assessment cover: management, quality assurance, studies and scientific activities and impact of HE institution's work on the regional and national development.

¹¹⁷ Lietuvos Respublikos Švietimo, mokslo ir sporto ministro įsakymas "Dėl aukštųjų mokyklų ir užsienio valstybių aukštųjų mokyklų filialų išorinio vertinimo ir akreditavimo tvarkos aprašo, vertinamųjų sričių ir rodiklių patvirtinimo (Order of the Minister of Education, Science and Sport "On Approval of Regulations, Assessment Fields and Indicators for External Evaluation and Accreditation of Higher Education Institutions and Affiliated Departments of Foreign Higher Education Institutions", 19 December 2019, No. V-1529, available at: <https://www.e-tar.lt/portal/lt/legalAct/de28fb90224f11eabe008ea93139d588>

¹¹⁸ Studijų kokybės vertinimo centras. Naujienos. Pradedamas naujas Lietuvos aukštųjų mokyklų veiklos išorinio vertinimo ciklas <https://www.skvc.lt/default/lt/naujienos/pranesimai/pradedamas-naujas-lietuvos-aukstuju-mokyklu-veiklos-isorinio-vertinimo-ciklas>

¹¹⁹ Lietuvos Respublikos Švietimo, mokslo ir sporto ministro įsakymas "Dėl švietimo ir mokslo ministro 2011 m. liepos 1d. įsakymo Nr. V-1170 Dėl aukštosios mokyklos realiųjų išteklių vertinimo metodijos patvirtinimo" pakeitimo (Order of the Minister of Education, Science and Sport "On Revision of the Order No. V-1170 dated on July 1, 2011 of the Minister of Education and Science about Changing Methodology of Assessment of Resources of Higher Education Institutions), 6 April 2012 No. V-636; available at: 2012 m. balandžio 6 d. Nr. V-636 <https://e-seimas.lrs.lt/portal/legalAct/lt/TAD/TAIS.422267>

¹²⁰ Lietuvos Respublikos Švietimo, mokslo ir sporto ministro įsakymas "Dėl studijų vertinimo ir akreditavimo aprašo, vertinamųjų sričių ir rodiklių patvirtinimo" (Order of the Minister of Education, Science and Sport "On Approval of Regulations, Assessment Fields and Indicators for Evaluation and Accreditation of Studies) 17 July 2019, No. V-835; available at; <https://www.e-tar.lt/portal/lt/legalAct/f7967320a89011e9b474d97de297fe08>

¹²¹ Lithuanian Science Council, Assessment of Science (art) <https://www.lmt.lt/lt/mokslo-kokybe/mokslo-meno-vertinimas/182>. Previous methodology for assessment of scientific works in HE institutions terminated since 1 November 2017.

¹²² Lietuvos Respublikos Švietimo, mokslo ir sporto ministro įsakymas "Dėl aukštųjų mokyklų ir užsienio valstybių aukštųjų mokyklų filialų išorinio vertinimo ir akreditavimo tvarkos aprašo, vertinamųjų sričių ir rodiklių patvirtinimo" (Order of the Minister of Education, Science and Sport "On Approval of Regulations, Assessment Fields and Indicators for External Evaluation and Accreditation of Higher Education Institutions and Affiliated Departments of Foreign Higher Education Institutions", 19 December 2019, No. V-1529, available at: <https://www.e-tar.lt/portal/lt/legalAct/de28fb90224f11eabe008ea93139d588>



As it was mentioned the external assessment is organized by the Centre of Quality Assessment in High Education and implemented by the experts' group. The Centre organizes the selection of national and international experts and compose experts' group. The law on Science and Studies includes that external assessment of HE institution could be completed by the EU agency which is certified and listed in the register of European agencies of HE quality.¹²³

On March 9, 2020 the adopted new Methodology of Assessment of Work of High Education Institution (Further – Methodology)¹²⁴ defines the assessment areas and main criteria:

- Criteria of **strategic management and effectiveness of the management** include:
 - the matching of strategic plan to the HE institution's mission, the strategic documents of the national policy on research and studies and the European Higher Education Area and the European Research.
 - validity of the strategic plan components (analysis of the existing situation, strategic directions, purposes, objectives, implementation measures, resources, projected outcomes
 - reasonableness and comprehensiveness of the quantitative and qualitative indicators of the strategic plan implementation
 - information available publicly and other;
- Criteria for the evaluation of the **conditions for studies and for life-long learning** comprise their alignment with the requirements for Lithuanian higher education and harmonisation with the principles of the European Higher Education Area.
- Evaluation criteria for **research (applied research) and/or art activities** comprise their relevance, international links and harmonisation with the provisions of the European Research Area
- Criteria for assessing the **institution's impact on the national and regional development** comprise the effectiveness and relevance of its contribution and impact on the economic, cultural, social and environmental development

The reviewed documents on regulation of external quality assessment of HE institutions are located on the [webpage](#) of the Center of Quality Assessment in High Education.

Gender equality and diversity issues are not covered in documents.

Gender in research and higher education

There are two laws, namely **Law on Equal Opportunities for Women and Men** and **Law on Equal Treatment**, that protect against discrimination on the grounds of gender in science and education.¹²⁵

¹²³ Law on Science and Studies, art. 48.

¹²⁴ Studijų kokybės vertinimo centro direktoriaus įsakymas "Dėl aukštosios mokyklos veiklos vertinimo metodikos patvirtinimo" (Director of the Center for Quality Assessment of Studies, "Order on Approval of Methodology to assess Activities of the Higher Education Institutions") 9 March, 2020, No. V-32; available at: <https://e-seimas.lrs.lt/portal/legalAct/lt/TAD/286177d064a111eaa02cacf2a861120c?ifwid=t3wsvivog>

¹²⁵ Law on Equal Opportunities for Women and Men, Art. 4 and 7. 1 December 1998, No VIII-947, last amended on 01 July 2017, No. [XII-2767](https://www.e-tar.lt/portal/legalAct/TAR.746227138BCB/asr) available at: <https://www.e-tar.lt/portal/legalAct/TAR.746227138BCB/asr>;

Law on Equal Treatment, 18 November 2003 – No IX-1826, last amended on 01 July 2017 Nr. [XII-2768](https://e-seimas.lrs.lt/portal/legalAct/lt/TAD/TAIS.222522/asr), available at: <https://e-seimas.lrs.lt/portal/legalAct/lt/TAD/TAIS.222522/asr>



In both laws there are provisions that define the duties of educational establishment and institutions of science and studies to implement **equal rights in admission process, award grants and loans for studies, selection of the curricula and assessment of knowledge and prevention and protection against sexual harassment.**

The laws targeting specifically education and science establish more **general principles of equal opportunities and adopt gender-neutral concepts** in science policies.¹²⁶ Recent research on gender equality in science and the system of studies pointed out that gender equality concept is very vague in this law without in-depth articulation the conditions when discrimination occurs and should be stopped. Additionally, research noticed the absence of legal provisions which would oblige the education and science institutions to undertake commitments in the field of gender equality.¹²⁷

In 2010, the **adopted National Program on Equal Opportunities for Women and Men for 2010-2014**¹²⁸ set two main objectives in the politics of education. These cover the monitoring of application of principles of equal opportunities for women and men in educational and research institutions and encouraging women to get the highest educational degrees in science and men to get university education. The Action Plan for 2010-2014¹²⁹ included three measures to reach the above-mentioned goals:

- integration of the subject of equal opportunities for women and men in the calls for projects. No funding for it was provided.
- organization of trainings to facilitate changing the discriminatory attitudes about women and men in the educational system. There were allocated only 15.000 LT (4348 EUR) for the period of 5 years (2010-2014).
- drafting of the Recommendations for educational and science institutions to ensure equal opportunities for women and men. The finances of structural funds were allocated under the implementation of the project “Gender Equality in Science”.

In 2015 the adopted **National Program on Equal Opportunities for Women and Men for 2015-2021** addressed the issues of unequal choices of women and men in their careers: women usually choose the “traditional” occupations and less prefer natural sciences (except medicine), physics and technologies¹³⁰ and revise content of textbooks and other educational materials from gender biases towards more balanced representation of women and men.¹³¹ The responsible body was the Ministry

¹²⁶Law on Higher Education and Research, 30 April 2009 No XI-242; [available at: http://www3.lrs.lt/pls/inter3/dokpaieska.showdoc_l?p_id=478933](http://www3.lrs.lt/pls/inter3/dokpaieska.showdoc_l?p_id=478933); Law on Education, Art. 5, 17 March, 2011, No. XI-128 1, last amended on n 30 June 2015 – No XII-1909. It should be noted that the Law was emnded but the article 5 left without changes. http://www3.lrs.lt/pls/inter3/dokpaieska.showdoc_l?p_id=1050203

¹²⁷ Žalėnienė I. (2014), „Lyčių lygybė mokslo ir studijų sistemoje (*Gender Equality in the system of science and studies*)“ in O.G. Rakauskienė et al. (eds) *Lyčių ekonomika (Economics of gender)*, Vilnius MRU, pp. 368-369; Žalėnienė I., E. Krinickienė, A. Tvaronavičienė, A. Lobačevskytė (2016). *Gender Equality and its implementation in Universities of Lithuania. Economics and Sociology*. Vol. 9 (1): 237-251 DOI: 10.14254/2071-789X.2016/9-1/16

¹²⁸ Lietuvos Respublikos Vyriausybė, Nutarimas dėl valstybinės moterų ir vyrų lygių galimybių 2010-2014 programos patvirtinimo (*Decision on Approval of National Program of Equal Opportunities for Women and Men for 2010-2014* No.530, 04 May 2010) http://www3.lrs.lt/pls/inter3/dokpaieska.showdoc_l?p_id=372298&p_query=&p_tr2=

¹²⁹ Lietuvos Respublikos Socialinės apsaugos ir darbo ministro įsakymas dėl valstybinės moterų ir vyrų lygių galimybių 2010-2014 programos įgyvendinimo priemonių plano patvirtinimo (*Order of the Minister of Social Security and Labour on Approval of Action Plan for Implementation of National Program of Equal Opportunities for Women and Men for 2010-2014*) No. A1-323, 07 July, 2010.

¹³⁰ Lietuvos Respublikos Vyriausybė, Nutarimas dėl valstybinės moterų ir vyrų lygių galimybių 2015-2021 programos patvirtinimo (Government of Lithuania Order *on Approval of National Program of Equal Opportunities for Women and Men for 2015-2021*, No. 112, 2015 October 04; available at:

<https://www.e-tar.lt/portal/lt/legalAct/dc012450b1ca11e48296d11f563abfb0>

¹³¹ Lietuvos Respublikos Socialinės apsaugos ir darbo ministro įsakymas dėl valstybinės moterų ir vyrų lygių galimybių 2015-2021 programos įgyvendinimo priemonių plano 2018-2021 metams patvirtinimo (*Order of the Minister of Social Security and Labour on Approval of Action Plan for Implementation of National Program of Equal Opportunities for Women and Men for 2018-2021*) No. A1-331, 27 June 2018; available at: https://socmin.lrv.lt/uploads/socmin/documents/files/veiklos-sritys/moteru-vyru-lygybe/A1-331_2018.pdf



of Education and Science and no money was allocated for all these measures for the whole five year period.

National science strategy was developed in 2008-2013 and later in 2014 was replaced by **Recommendations on Ensuring Equal Opportunities for Women and Men in the Research and Studies Institutions**.¹³² These Recommendations were the outcomes of implemented project “Promotion Gender Equality in Science” (LYMOS). They highlighted the needs to **mainstream gender in all documents and regulations of the HE institutions, support gender balance in the decision making, organize trainings to raise awareness on gender equality issues, create conditions for reconciliation of family and work and career prospects, mainstream gender in all study programs and academic research** and some other. As a monitoring procedure there has been included a measure to develop **Gender Equality Plans in HE institutions**. Additionally, these Recommendations are not compulsory for mentioned organizations and are not supported financially.

Nevertheless, in regard to CAS it should be mentioned that **awards for gender equality at work and in municipalities** have been integrated in the National Program of Equal Opportunities for Women and Men. Since 2010 the award on Equality at Work was developed to promote gender equality in businesses, companies or any work place. Another award on gender equality in municipalities was initiated since 2015 when the Law on Equal Opportunities for Women and Men was amended by the provision obliging municipalities to mainstream gender their strategic plans. For the purpose to support municipalities in their efforts the award scheme was proposed. Both these awards schemes are implemented annually by the women’s NGOs in cooperation with the Ministry of Social Security and Labour and other partners. The funding comes from the state budget for both.¹³³

Regardless the award schemes for municipal administration, the qualitative study completed in 2017-2018 on implementation of gender equality measures in municipalities shows the prevalence of **gender stereotypes and essentialists attitudes** among mayors, directors of administration and heads of education and social services and health units. During research it was identified that administration of municipalities includes the statements on non-discrimination and measures which aim at balancing services for women and men in the municipal action plans, however no impact assessment is foreseen or completed by any municipality in the period of research.¹³⁴

Introduction to the CAS in Lithuania

There are several CAS in Lithuania but they mainly target public administration/businesses.

CAS for gender equality or/and diversity are not currently implemented in HE institutions in Lithuania. The only one scheme identified in Siauliai University (SU) was the initiative implemented under

¹³² Lietuvos R Švietimo ir mokslo ministro įsakymas dėl rekomendacijų lygioms moterų ir vyrų galimybėms mokslo ir studijų institucijose užtikrinti patvirtinimo, Nr. V-1265, 2014-12-23 (*Order of the Minister of Education and Science on Approval of Recommendations to Ensure Equal Opportunities for Women and Men in Research and Studies Institutions*, No. V-1265, 23 December, 2014. http://SMM_lygioms_VM_g_uztikr_AR_2015_02_12.docx

¹³³ Lietuvos Respublikos Socialinės apsaugos ir darbo ministro įsakymas dėl valstybinės moterų ir vyrų lygių galimybių 2015-2021 programos įgyvendinimo priemonių plano patvirtinimo, Nr. A1-199, 2015-04-13 (*Order of the Minister of Social Security and Labour on Approval of Action Plan for Implementation of National Program of Equal Opportunities for Women and Men for 2015-2017*, No. A1-199, 13 April, 2015; Lietuvos Respublikos Socialinės apsaugos ir darbo ministro įsakymas dėl valstybinės moterų ir vyrų lygių galimybių 2015-2021 programos įgyvendinimo priemonių plano 2018-2021 metams patvirtinimo (*Order of the Minister of Social Security and Labour on Approval of Action Plan for Implementation of National Program of Equal Opportunities for Women and Men for 2018-2021*) No. A1-331, 27 June 2018 m. available at: https://socmin.lrv.lt/uploads/socmin/documents/files/veiklos-sritys/moteru-vyru-lygybe/A1-331_2018.pdf

¹³⁴ Diversity Development Group. Kokybinio tyrimo ataskaita. 2018 04 10; available at: <https://lygybe.lt/data/public/uploads/2018/05/kok.-tyrimo-ataskaita-2018-04-10-ddg-su-santrauka.pdf>



INTEGER project in 2013-2015. It had very clear procedure and both quantitative and qualitative criteria for assessment. Internal quality assessment has not been performed. It stopped with the end of the project and reorganization of the HE in Lithuania when the SU underwent the procedure of merging to the bigger Vilnius University, a process which has not been over yet.

In Lithuania gender equality award schemes are practiced to honour municipalities and business/companies. Both these awards are **integrated as measures promoting gender equality under the Action Plans of the implementation of the National Program of Equal Opportunities for Women and Men** in 2010-2014 and 2015-2021. Both award schemes are organized by NGOs, funded from the state budget and organized annually.

In both cases the potential nominees should fill-in the questionnaires as a self-assessment exercise and send to the organizers. The criteria for assessment, quantitative and qualitative, are minimal. As these two award schemes are funded from the state budget annually, it remains sustainable. The impact of the award is difficult to estimate due to the limited research on them.

Two more CAS awards are organized by the **Office of the Equal Opportunities Ombudsperson (OEOO)**. One CAS on gender equality in municipalities started recently from 2018 as an activity of the project “Gender Equality – Success Code for Municipalities” and is funded from the European Social Fund. The other award scheme on Equality and Diversity covers society in general and could be awarded to individuals, institutions, businesses, projects, ideas, initiatives. In both cases assessment criteria are very simple and changing every year.

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The Best Gender Equality Implemented Practice in a Department/Institute at Siauliai University

2013

Award

<http://lsc.su.lt/?p=681>

Subnational

virginija.stefanija.sidlauskiene@su.lt, msc@cr.su.lt

Awarding body:

Target Audience:

Siauliai University

Research and HE (Dpts and Institutes within Siauliai University)

Overall description:

The award promoting gender equality in the department/institute of the university was created and implemented in 2013 and 2014 while Siauliai University implemented the project INTEGER.

The award was granted on the basis of two main criteria:

1. the gendered composition of a department (quantitative criterion);
2. the policies of gender equality in a department (qualitative criterion).

The Assessment is completed by the committee composed of the team of Gender studies center and INTEGER project team. The committee sends the application form for each department to be filled-in which requires the department to indicate reasons why the department should be awarded. Then the committee proceeds the assessment on gathered quantitative and qualitative data from University database and makes the decision about the award. Information is kept anonymous and confidential.

Validity

1 year, not renewable

Eligibility and requirements:

Eligibility

Each structural body in the University is encouraged to apply. Particular focus at the beginning was on STEM departments where women are limited in representation and decision making.

Requirements

Fill-in the application and provide motivated reasoning why the department should be awarded

Business model:

The award consists of a certificate and a prize. NO FURTHER INFO AVAILABLE.

Certification process, assessment, and support:

The assessment committee proceeds the assessment on gathered quantitative and qualitative data from the university database on number of staff and students at the beginning and the end of the assessment; work position of employees and information gathered about gender equality policies in each department/institute. Then the committee assess data from the application form completed by a department. Additionally the assessment committee has provided the information what are the scores which will be given or removed in the evaluation processes. These are based on the number of events/public presentation/good practices promoting gender equality organized in a department. If the events/public presentations/practices are gender biased then the scores will be removed.

Criteria and Indicators used:

The quantitative assessment of the composition of a department is based on the following indicators:

- Gendered composition of decision-making personnel (in percent);
- Gendered composition of decision-executing personnel (in percent);
- Gendered composition of service providing staff (in percent);
- The rate of employees in a department who complete functions usually perceived as atypical for their gender.



The qualitative assessment includes the following indicators to assess the policies in the department/institute:

- Work conditions;
- Duration of work contracts;
- Wage size and distribution of resources along gender lines;
- Data about bonuses and resources for scientific research;
- Conditions for child-care leave;
- Gendered proportion of candidates for the announced position;
- Transparency and publicity of procedures in competitions and assessments.



The Best Planned and Implemented Measures to Promote Equality between Women and Men in Municipalities

2015

Award

National

<https://lmlonew.lpf.lt/2015/11/02/iteikti-apdovanojimui-savivaldybems-uz-geriausias-lyciu-lygybes-priemones-suplanuotas-ir-igyvendintas-savivaldybiu-strateginiuose-veiklos-arba-pletros-planuose/>

audronekisieliene@gmail.com

Awarding body:

Lithuanian Women's Lobby in cooperation with the Lithuanian Association of the Municipalities and support by the Ministry of Social Security and Labor.

Target Audience:

BUSINESS AND OTHERS (MUNICIPALITIES)

Overall description:

The amendments of the Law on Equal Opportunities for Women and Men in 2014 obliged municipalities to introduce measures of gender equality in their strategic development and action plans. The Ministry of Social Security and Labor introduced the awards for municipalities in the Action Plans for 2015-2017 and 2018-2021 under the National Program of Equal Opportunities for Women and Men for 2015-2021.

There are 6 nominations in this award:

1. For measures on equality between women and men in education;
2. For measures on equality between women and men in social area, health care and sports;
3. For measures on equality between women and men in employment and businesses;
4. For measures on equality between women and men in improving the infrastructure in a municipality;
5. For policies and capacity building of municipal administration staff in implementation of equality between women and men;
6. For awareness raising about equality between women and men within and beyond a municipality

Validity

1 year, not renewable

Eligibility and requirements:

Eligibility

All municipalities

Requirements

Filling in the questionnaire

Business model:

Resources for the award event are located annually under the Action Plan for Implementation of the National Programs on Equal Opportunities for Women and Men in 2015-2021.

In the Action Plan for 2015-2017 the sum allocated from the state budget increased from 2000 EUR in 2015, to 4000 EUR in 2017. In the Action Plan for 2018-2021 the sum of 4000 EUR is allocated for each year.

Certification process, assessment, and support:

There are clearly identified four criteria for the assessment commission when evaluating the questionnaires filled-in by a municipality itself:

- a. Do the provided measures make real positive impact for equality between women and men?
- b. What is the scope and coverage of the proposed measure?
- c. How many measures are planned to implement equality between women and men?



- d. Assessment of good practice.

The award is granted for municipality which implement the largest number of planned measures. The provided criteria do not have any explanation or/and indicators to measure how these criteria reached

Criteria and Indicators used:

there are no any quantitative or qualitative criteria for assessment provided. It could be estimated that the assessment commission could use the answers to the questions in the questionnaire as the criteria for assessment. There are 15 closed questions which ask about:

- a. whether measures on gender equality are integrated in the vision of municipality,
- b. whether a person responsible for implementation of equality between women and men assigned in a municipality
- c. whether measures on gender equality are integrated in the strategic development and action plan of a municipality;
- d. in which sphere are the measures on equality between women and men integrated (education, social, health and sport, employment and business, improvement of infrastructure, capacity building of administrative personnel and awareness raising)
- e. does municipality provide gendered indicators in the strategic development and action plans?
- f. does municipality have a separate program on equality between women and men?
- g. does a municipality complete impact assessment of the implemented measures?
- h. does a municipality have a good practice?
- i. does a municipality provide a support for NGOs, associations, charity foundations which work to promote equality between women and men?

Each closed question is followed by the open question where it is asked to provide a concrete description about the measures on equality between women and men if municipality does implement them

Award for Promotion of Gender Equality in Local Governance 2018

Award

National

<https://lygybe.lt/lt/naujienos/lyciu-lygybes-krivule-atiteko-kedainiu-rajono-savivaldybei/1167>

lygybe@lygybe.lt ,

Project coordinator: ruta.juodelyte@lygybe.lt

Awarding body:

Office of Equal Opportunity Ombudsperson

Target Audience:

BUSINESS/OTHERS (MUNICIPALITIES)

Overall description:

The Office of the Ombudsperson of Equal Opportunities initiated the award on promotion of gender equality in local governance under the broader framework of award organized by the Association of Lithuanian Municipalities.

The awards for gender equality are granted for measures implemented by local governance:

- policies about gender equality policies in municipalities approved by the head of the municipal administration;
- any other policies about implementation of gender equality measures as enshrined in the Labor Code;



- established gender equality officer in a municipality to coordinate gender equality policies;
- any initiatives that promote and implement gender equality measures for local community, municipal infrastructural change or organizational culture.

Any municipality can provide no more than five initiatives for the award under the official call made by the Office of the Equal Opportunities Ombudsperson.

Validity

1 year, not renewable

Interlinkages with Research Funding regulations/processes European Social Fund as an activity of the Project "Gender Equality -Success Code for Municipalities"

Eligibility and requirements:

Eligibility

all 60 municipalities

Requirements

provide evidence that a municipality implements measures/policies of gender equality

Business model:

Funding comes from the European Social Fund.

Certification process, assessment, and support:

The Office of the Ombudsperson of Equal Opportunities (OEOO) sends a letter every year to each municipality asking to provide the information and/or documents which will provide evidence about implementation of gender equality measures in a municipality. There are no established criteria for award. Each year criteria are discussed separately, because new priorities are set every year. The assessment for the award is organized in such a way – the assessment commission composed by the employees of the OEOO decides the priorities for a year and then later assess the application according to certain criteria such as whether the document or initiative is about gender equality, mainstream gender equality principals and/or policies.

Criteria and Indicators used:

Not available

Award on Equality at Work

Award

<http://www.lygus.it/rakta%C5%BEod%C5%BEiai/lygiausia-darboviete/>

Awarding body:

Target Audience:

2010

National

mic@lygus.it

Women's Information Center

Business/ others

Overall description:

The award is established in the National Program for Equal Opportunities for Women and Men and is implemented by the NGO Women's Information Center in cooperation with the Ministry of Social Security and Labor. The Women's Information Center prepared an on-line questionnaire of 10 questions and encourage employees of any enterprise to fill-in and nominate their workplace for the nomination. The questions cover the issues whether employees feel safe at work, equally valued in terms of gender, equally shared recourses, balanced communication with management and between colleagues etc.

Validity

1 year, not renewable

Interlinkages with Research Funding regulations/processes

Ministry of Social Security and Labor under the implementation of the National Program on Equal Opportunities for Women and Men

Eligibility and requirements:



Eligibility

Any businesses

Requirements

The questionnaire is provided for any businesses to fill-in. Employees of any businesses can fill-in the questionnaire and send to the organizers within the period of competition. The questions in the questionnaire cover the topics of gender equality plan, equal treatment in the recruitment, equal pay for the same value of job, reconciliation of family and work, support for fathers to take child-care leave, zero tolerance to violence and sexual harassment at work.

Other information

155 applied in 2019, 86% of which were women

Business model:

In 2010-2014 the awards were integrated in the project activities which were funded through the European Social Fund. Since 2015 the funds are allocated in the Action Plans for 2015-2017 and 2018-2021 on Implementation of the National Program on Equal Opportunities for Women and Men.

Certification process, assessment, and support:

NGO Women's Information Center each year publicly announce the call for the award Equal at Work and activates internet questionnaire inviting employees of any business enterprise to answer 10 questions in this questionnaire. The questions cover issues how an employer creates an equal condition for women and men at work, improvement of qualification and career, reconciliation of family and work, conditions to have access to benefits and other. The aim of questionnaire is defined as the possibility to check the conditions at work; assess an employer and his/her effort to maintain equality policies at work; facilitate the change in organizational culture.

Criteria and Indicators used:

NO CRITERIA PROVIDED. The Report of the Ministry of Social Security and Labor in 2016 about implementation of the National Program on Equal Opportunities 2015-2017 and its implementation Action Plan for 2015-2017 included the measure to identify criteria and regulations for the selection of the nominees of award on Equal at Work. The description of this measure, however, shows that there was a questionnaire prepared and publicized on social media to encourage employees to fill it out and send to the organizers - Women's Information Center. No formal criteria for assessment provided. The Women's Information Center shared the information on questionnaire and mentioned that the criteria for award are very technical and could not be shared.

National Equality and Diversity award

2013

Award

<https://www.lygybe.lt/index.php/lt/nacionaliniai-lygybes-ir-ivairoves-apdovanojimai>

National

lygybe@lygybe.lt, mintaute.jurkute@lygybe.lt

Awarding body:

Office of the Equal Opportunities Ombudsperson (OEOO)

Target Audience:

Business/others + Research and HE

Overall description:

National Equality and Diversity Award is an initiative organized by the Office of the Equal Opportunities Ombudsperson together with the National Equality and Diversity Forum (the coalition of various human rights organizations which deals with combating different grounds of discrimination). This initiative aims at supporting persons, enterprises, organizations and various institutions to promote and disseminate ideas of equality and diversity in Lithuania. There are 8 nominations in the framework of this award:

1. for gender equality;
2. intercultural dialogue;
3. rainbow;
4. the best age is my age;
5. overcoming obstacle;
6. religious diversity;



7. citizen of open society,
8. breakthrough of the year.

Validity

1 year, not renewable

Eligibility and requirements:**Eligibility**

no criteria for eligibility. general public is encouraged to nominate.

Requirements

//

Business model:

At the beginning the process of selection and ceremony of the award was included in the activities of the project under EU PROGRESS program and implemented by the Office of the Equal Opportunities Ombudsperson (OEEO). Additionally, support is received from the British Council, Nordic Council of Ministers, Norwegian embassy, French Embassy, Irish embassy and some other embassies. In the last several years, the initiative is supported solely by the private business that the OEEO managed to fundraise. The businesses which support the award are the following SWEDBANK, Ltd. Telia Lietuva (telecommunication company), RIMI Lietuva (one of the biggest chains of grocery shops), Lithuanian railways and other.

Certification process, assessment, and support:

At the first stage the various institutions, organizations, municipalities and all interested persons can nominate candidates in one of the abovementioned categories by writing for what actions or initiatives nominee is proposed. After the nominations for the awards are gathered, the Equal Opportunities Ombudsman organizes the meeting of human rights and equal opportunities experts. These experts compose the Selection Committee. During the meeting of the Selection Committee, out of all offers received in each category, 3 nominees in each category are selected for the further voting.

In the second selection phase, general society can vote for one of the 3 nominees in each category online. The final score for each nominee is composed of the Selection Committee's secret voting and online voting results. Selection Committee and public voting each comprise 50 percent of the final score. The nominee that has the highest score of Selection Committee and online voters is announced the winner in their category.

Criteria and Indicators used:

N/A. The most important criteria should be motivated narratives about the nominated person/company/idea/project provided in the application form. The committee screens whether the nominated perceives values of equality and diversity (for example, if a nominee somewhere expressed homophobic attitudes, then will be removed from further proceeding in the competition for the award)

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LUXEMBOURG

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| | |
|----------------------------------|--|
| National CAS: | <ul style="list-style-type: none"> • Actions positives award |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 2 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Luxembourg **does not have a national accreditation organisation and operates mainly with foreign EQAR-registered agencies** (Enic-Naric.net, 2020). Research is mainly conducted by the public research institutions supported by the government through multi-annual conventions (2018-2021): **LIH** (Luxembourg Institute of Health), **LISER** (Luxembourg Institute of Socio-Economic Research), **LIST** (Luxembourg Institute for Science and Technology) and **UL** (University of Luxembourg)

The **Luxembourg National Research Fund FNR** (Fonds National de Recherche) is the **main financing body** for research in Luxembourg. It invests public and private funds (donations) in a number of selected core scientific areas. It also coordinates activities to strengthen the link between science and society and to raise awareness for research.

Higher education institutions operating in Luxembourg have their programme and institutional evaluation carried out by a foreign EQAR-registered agency. The University of Luxembourg has an internal and external evaluation process covering all aspects of its activities (i.e. teaching and research). It is evaluated every four years by a foreign EQAR-registered agency. (Eurydice, 2020). The short cycle higher education programmes are submitted to an accreditation process by an accreditation committee. This committee is composed of experts in the field of teaching and education who are appointed through a Ministerial Act (arrêté ministériel). If assessed positively, the programme is recognised by law. (Eurydice, 2020)

In its strategic plan, **the FNR presents a comprehensive approach to excellence** in research including social impact, economic impact, teaching and training and public outreach, but does not mention the issues of gender equality or gender in the research content. FNR states that “Our key values are excellence and quality in research. We systematically submit funding proposals to an evaluation by independent scientific experts and apply the highest standards of scientific merit, transparency, impartiality, confidentiality and integrity.” However, it should be mentioned that in its annual reports, the FNR should report on a number of indicators. One section concerns the monitoring of gender equality among selection panels, external experts and project promoters within submitted and accepted projects.

Gender in research and higher education

The laws relating to the creation of the **FNR** (Law of 31 May 1999 as amended by the Law of 27 August 2014) and the organisation of **Public Research Centres** (Law of 29 December 2014) contain provisions promoting a **gender-balanced representation** of members of their board (at least 40% of the underrepresented sex). This gender balance rule is also valid for **Scientific Advisory Boards** which are the advisory bodies of the Board of Directors on scientific matters.

The law creating the **University of Luxembourg** dates from 2003 and states in article 25 that a **delegate for women’s questions** is to be created to assist the rectorate in promoting women’s careers at the university. Now, the title of this position has been changed to a **gender delegate**¹³⁵. The focus of the

¹³⁵ https://www.fr.uni.lu/universite/presentation/gouvernance/deleguee_a_l_egalite_du_genre



University Gender Action Plan is on three aspects: gender diversity in research and academic careers; supporting women, as the minority group, to access decision-making posts; and monitoring of processes relating to training, promotion and evaluation to ensure that they meet gender equality requirements.

The **conventions** between the **ministry in charge of education (MESR)** and research organisations contain some requirements relating to gender equality, mainly relating to access to higher posts. The convention with FNR states that **FNR should develop, together with public research institutions, a gender equality plan** to promote gender equality in the workplace in research. The convention between the MESR and the four **public research bodies/centres** (UL, LIH, LISER and LIST) provides that for these research institutions, in the article related to the commitment of the partner institution, the co-contracting party engages itself to ensure within its human resource management gender representation notably across the functions of senior and top management.

The MESR in its current **National Research and Innovation Strategy** states that *concrete efforts will be made to increase attractiveness of research careers in Luxembourg (...). Concrete efforts will be made to significantly improve gender equality in public research and to make diversity and inclusion one of the priorities. The government's aim is to position Luxembourg as a particular attractive research location for the next generation of bright talents, women and men.*¹³⁶

The relationship between gender equality and quality excellence is not made as such. However, within the evaluation process of public research institutions, gender is considered in terms of the share of women and gender in research and innovation culture.

The **external evaluation report of the Luxembourg Institute of Health – LIH** (Technopolis group, 2019)¹³⁷ notes that:

- *Human resources: The staff distribution reflects a good gender balance across most career stages; the share of 35% female employees at the senior executive level could be seen satisfactory when compared to other institutions internationally, although the objective of 50% should be actively pursued.*
- *LIH adopts the principles of Responsible Research and Innovation by involving society in science and innovation 'very upstream' in the process of research and innovation to align its outcomes with the values of society. This involves multiple aspects, including public engagement, open access, gender equality, science education, ethics, and governance.*

The link between excellence and gender equality is also mentioned in the **external evaluation of the University of Luxembourg** which notes that:

*There is widespread recognition in European higher education and research of the importance of ensuring equal opportunities for students and staff at all stages of the student lifecycle and the staff career path. It would be in the university's own interests, in the pursuit of excellent and quality enhancement, to ensure these opportunities are available to the best candidates, **irrespective of gender, ethnicity, socio-economic circumstances, disability, or other such distinguishing factors**".*

A gender mainstreaming committee has existed for a number of years at UL, with membership from the central administration HR office and some of the Faculties, but appears to be missing representatives from several key UL internal structures and stakeholders, in particular from students. The current four-year agreement with the Ministry states that UL should pay particular attention to the proportion and number of female professors, but this does not yet appear to have been

¹³⁶ National Research and Innovation Strategy for Luxembourg, pg 10, accessible at http://www.mesr.public.lu/presse/communiqués/2020/FEVRIER-2020/Presentation-de-la-strategie-nationale-de-la-recherche-et-de-l-innovation/09711_MESR_SnRI_Broch_en_WEB-002_.pdf

¹³⁷ accessible at http://www.mesr.public.lu/publications/rapports-évaluations/Mars2019/Eval_Lxb_CRP_LIH_Institute_20190219.pdf



transformed into a performance indicator. Nor does there appear to be information at the level of the university regarding gender profiles in recruitment panels, or specific actions at Faculty level to address this issue. (Purser Lewis (team coordinator), December 2016)

There is no indication of the types of [concrete measures](#) except the adoption of a gender equality plan and the objective of ensuring equal representation of men and women in decision-making bodies and in senior and top management functions. As mentioned in the evaluation report of the University of Luxembourg, the proportion of male and female professors has not been translated into a performance indicator.

Regarding the [link between gender equality and funding](#), as stated supra, the law on the organisation of Public Research Centres (Law of 29 December 2014) contains a provision requiring a gender balanced representation of members of their boards (at least 40 % of the underrepresented sex). This is the case in all Public Research Centres and can be considered as a condition of being financed. The link exists also through the signed subsidy contracts between the MESR and research institutions which provides that a Public Research Centre shall ensure gender representation within its human resource management notably across the functions of senior and top management.

Introduction to the CAS in Luxembourg

There are not really any relevant schemes in Luxembourg.

Regarding CAs related to research, a number of awards are given annually by FNR for the outstanding scientific publication, outstanding research-driven innovation, outstanding promotion of science to the public and outstanding PhD thesis. The aim of these awards is to encourage communication between researchers and to promote science-related activities aimed at the general public and the young. They can be allocated to an individual person or to a research team. Each call has its own guidelines and award criteria. Nothing related to gender equality or gender in research is noted.

In Luxembourg, a number of **charters** are used to promote diversity or gender equality but this does not represent a process of certification of awards. They use the **European Charter for Equality of Women and Men in Local Life** intended for local and regional authorities in Europe and launched by the **Council of European Municipalities and Regions (CEMR)** in 2006.

There is also a diversity charter¹³⁸ which is a national commitment text proposed for signature to any organisation in Luxembourg wishing to commit itself to diversity promotion and management through concrete actions going beyond the legal obligations. This charter is part of the **EU Platform of Diversity Charters** maintained on behalf of DG JUST of the European Commission.

Finally, the only programme worth some attention is the **positive action programme** run by the **Ministry of Equality between Women and Men (MEGA)**. It will be presented under CAs related to the business sector as every year an award is given to a number of enterprises¹³⁹. Research organisations in Luxembourg seem not to participate in this programme. As mentioned before, they are supposed, under the supervision of FNR, to develop their equality plan.

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¹³⁸ <https://chartediversite.lu>

¹³⁹ See for 2019, <https://mega.public.lu/dam-assets/fr/actualites/2019/11/label/Label-AP-Brochure-laureats-2019-v05.pdf>



| | |
|---|--|
| Actions positives | 2006 |
| Award | National |
| https://mega.public.lu/fr/travail/programme-actions-positives.html | // |
| Awarding body: | Ministry of Equality between Women and Men (MEGA) |
| Target Audience: | Business/others |

Overall description:

Since 2006, the Ministry of Equality between Women and Men (MEGA) has been implementing a programme to support enterprises to develop actions for gender equality. This programme was extended to the public sector in 2010 and to municipalities in 2013. The ministry wants to promote more gender diversity in human resources and is therefore using its financial capacity (subsidies). It provides support for the design of action plans as well as financial resources.

Validity

2 years, renewable

Eligibility and requirements:**Eligibility**

Enterprises, public administration and municipalities

Requirements

Send in application

Other information

“To date, nearly 80 companies from various sectors comprising from 30 employees to 4000 employees successfully participated in the program. Thus, more than 51,000 employees have benefited from targeted measures for a better gender balance in their business.”

Business model:

The programme is supported by the Ministry of Equality between Women and Men

Certification process, assessment, and support:

to participate in the program, a request is submitted to the Minister for Equality. Next, an office of external experts is responsible for carrying out a quantitative and qualitative survey of all staff. The information collected is used to establish an action plan. The program allows participants to carry out their project according to identified needs and to develop targeted measures. Once the positive action project having been finalized, the company sends the State a written request for ministerial approval and a possible subsidy. The State, after having heard from the committee of positive actions, decides on the project. If approved, the State sends the ministerial approval of the positive action project to the company concerned, and informs it of the amounts allocated to it under the state subsidy.

The programme is divided into four steps: 1) Analysis: with the support of a consultancy firm, a scientific analysis of data collected from the management and the personnel 2) Designing a plan for positive actions 3) Implementing the plan: certification by the public authorities and allocation of a subvention 4) Monitoring and evaluation leading to an evaluation report.

Criteria and Indicators used:

Three themes are covered:

Equal treatment of men and women (recruitment, training, pay, organisation culture etc.)

Equality between women and men in decision-making (promotion, life-long learning, decision-making etc.)

Equality between women and men in work-life balance (work organisation, reinstatement, conciliation, services, childcare etc.)

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MALTA

[Link to references](#)

| | |
|----------------------------------|---|
| National CAS: | <ul style="list-style-type: none"> • The Equality Mark • Malta Business Woman of the Year - Company Award |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 0 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Malta is the smallest country in the European Union, with a population of less than half a million, and an even smaller research community (894 Full Time Equivalent researchers in Malta recorded in 2017 according to the National R&I Monitoring Report, 2018). There are two higher education institutions in Malta, the **University of Malta (UM)** and the **Malta College for Arts, Science and Technology (MCAST)**, however, only the former institution offers PhD and postdoctoral education. At present, there are **no national mechanisms for evaluating research quality, unless the research being carried out is funded through national funding programmes.**

To further develop the Government's strategic objectives for higher and tertiary education the Education Act established the **National Commission for Further and Higher Education (NCFHE)**. The setting up of the Commission was aimed at proposing a clear vision with sustainable targets and objectives for higher education. As specified through the Act, the Commission is responsible for:

- Promoting structured dialogue between all Further and Higher education institutions;
- Supporting all stakeholders with research, data and information about the sector;
- Maintaining a register of authorised and accredited institutions and programmes available in Malta;
- Developing a National Strategy for Further and Higher education;
- Preparing key performance indicators and benchmarking the sector against international developments.

The **Commission provides the accreditation of educational entities** providing accredited or recognised further and/or higher courses pegged at MQF levels. There is no information in the literature on the stakeholders involved in the process, if any, or that the mechanism takes into account gender and diversity areas.

Gender in research and higher education

There are **no specific national policies** on Gender in Higher Education, however, **gender is tackled horizontally** in various national strategies.

For example, in the **Higher Education Strategy for Malta**, one of the goals is to reduce gender differences in higher education. The strategy states that in this regard, particular efforts are needed to reduce the considerable gender differences with regard to early school leaving and higher education attainment. The share of male Early School Leavers (23.2% in 2013) not only exceeds by far the corresponding share of females (18.4% in 2013), males also report lower shares of Higher



Education Attainment (22.6% in 2013) compared to females (29.5% in 2013). On the other hand, once enrolled in higher education programmes, particular differences in student enrolment are notable in the field of education and science, mathematics and computing, with the difference in the number of females and males enrolled in these fields of study being particularly striking. While females are more often enrolled in study programmes in education, males are more often following studies in science, mathematics and engineering.

The strategy suggests that action to reduce gender differences has to be twofold. On the one hand gender differences have to be addressed in terms of higher education attainment. This refers specifically to the lower share of males achieving higher education qualifications. Given the majority of males in vocationally oriented higher education, its further expansion could clearly contribute to increasing male higher education attainment. On the other hand, further research is needed in order to better understand the factors influencing the apparent gender differences in the subject choices. Such research may provide a more solid basis for action on how to overcome low levels of higher education attainment among males or the differences in subject choices between males and females.

The strategy does not highlight any further [concrete measures or provisions](#), such as awards or certification. Moreover, gender in research and innovation content is not addressed.

Malta touches on gender equality in research and innovation in the **National European Research Area Roadmap, 2015-2020**, developed by the **Malta Council for Science and Technology (MCST)**. In the Roadmap, Malta aims to translate equality legislation into effective action to address gender imbalances in research institutions and decision making bodies and integrate the gender dimension better into R&D policies, programmes and projects. One of the actions was for MCST to work with the higher education institutions to develop their internal policies related to gender in research and innovation. MCST partnered with the **University of Malta (UM)** in an H2020 project GENDER equality in the ERA Community To Innovate policy implementation (**GENDERACTION**), and will now be assisting the UM to develop their **Gender Equality Plan**. Currently, the UM has a **Gender Ethics Committee** that acts as a focal point on gender issues but does not focus on gender in research and innovation.

Another action in the Roadmap was to improve [gender equality in the National R&I Funding Programme, FUSION](#). This programme funds research that is in line with the National R&I Strategy (2014 - 2020), and evaluates based on excellence, collaboration efforts between academia and industry, and commercialisation potential. Similarly, to Horizon 2020, when projects are awarded equal points, the gender dimension in the research and gender balance in research teams is now taken into consideration.



Introduction to the CAS in Malta

In Malta there is currently one certification and one award that fit within the research context of this project. They are both related to gender equality in businesses and organisations, and not with respect to research or higher education. The two CAs are the **Equality Mark** (certification) and the **Malta Business Woman of the Year Award** (Company award). In the researcher's opinion, whilst both are successful, these CAs are not revolutionary and various similar CAS can be found in several countries around Europe. However, they are sustainable and if countries do not currently have such CAS, very easily replicable.

Since there are no CAS for research or higher education, some additional research was carried out to understand the future plans of the country, and whether the government or institutions are at least planning on establishing future CAs for research and/or higher education. Whilst these are not official, these initiatives are being planned:

- **PRIMA Awards.** Malta participates in the Article 185 Partnership for R&I in the Mediterranean Area (PRIMA), partly funded through H2020 and through national funds of 19 Euro-Mediterranean countries. The Malta partner, MCST, is planning to set up an annual event called PRIMA Awards, kicking off in 2021, to celebrate the successful R&I projects. There will be awards directed to gender balance.
- **Horizon 2020 Awards.** MCST as the National Contact Point, will be giving awards for the most successful Maltese R&I projects within the European R&I Framework Programme. One of the categories will be the Gender, Culture, Equality or Citizen Science Award. This award will be given to the entity with the best approach to gender, culture, equality or citizen science issues within their research. The project must demonstrate how its implementation and/or research has contributed to gender, culture, equality and citizen science dimensions.
- **STEM Awards.** The National Science Interactive Centre, Esplora, is also currently planning an awards session for STEM engagement, since STEM engagement in Malta is one of their core principles. They are currently still discussing the award categories, however they will be looking to award institutions and individuals for gender equality in STEM.

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| | |
|---|--|
| The Equality Mark | 2010 |
| Certification | National |
| https://ncpe.gov.mt/en/Pages/The_Equality_Mark/The_Equality_Mark.aspx | equality@gov.mt |
| Awarding body: | National Commission for Promoting Equality (NCPE) |
| Target Audience: | Business/Others (also government entities) |

Overall description:

The Equality Mark certification is based on the concept of gender equality where the rights, responsibilities and opportunities offered to men and women are not determined by sex. This implies equal access to opportunities by focusing on individuals' capabilities irrespective of their gender, marital status, pregnancy or potential pregnancy, or because of caring responsibilities. The Equality Mark certification is being targeted towards places of work, with the aim of incentivizing and supporting employers to make the most of all the human resource potential available. The Equality Mark also extends on the goods and services offered by the organisation with the aim of ensuring that the service users of that organisation may benefit from the same rights given to employees.

Validity

2 years, renewable

Eligibility and requirements:**Eligibility**

Any business or entity

Requirements

Employers will need to demonstrate a commitment towards gender equality and this may entail: - Assessing and reporting on the current practices within the organisation, - planning and initiating a series of processes to implement the Equality Mark standards required for the certification according to principles, and - challenging the organisational culture if resistant to change and/or equality issues.

Other information

92 successful applicants since 2010. Full list available [online](#).

Business model:

The main source of funding seems to be the governmental sponsorship.

Certification process, assessment, and support:

The NCPE guides organisations to carry out the necessary assessments and identify the best way forward for their specific organisation. More specifically, NCPE is committed to:

- Providing guidance to organisations in implementing the necessary measures, such as in the drafting of relevant policies or conducting needs assessment surveys in equality;
- Provide the training required within the organisation on gender equality related issues, in order to increase the knowledge base of key individuals within the organisation. Training provided shall aim to motivate the participants to train other employees within the organization;
- Support the organisation in discussions with unions and other employee intermediaries/representatives over issues related to the implementation of the Equality Mark;
- Promote the equality certified organisation as a best-practice example in NCPE's public relations and publications (with prior consent from the organisation).



Criteria and Indicators used:

Principles that need to be in place:

- Policies and Initiatives
- Recruitment and employment
- Employee Equality Representatives and Equality Committee
- Equality in career and personal development opportunities
- Family friendly measures for men and women with caring responsibilities
- Gender Equality in the access to and supply of goods and services

Malta Business Woman of the Year Award - Company Award for excellence in the promotion of women in business

2018

Award

National

<https://mbwya.com.mt/>

astridsaliba@hsbc.com

Awarding body:

Malta Business Woman of the Year Award

Target Audience:

Business/Others

Overall description:

The “Malta Businesswoman of the Year Awards” are designed to help promote and recognise women who have achieved significant success in business and serve as an inspiration and encouragement for other women. The Awards also aim to accelerate the journey towards gender equality within the private sector.

Two awards are presented in this category:

- one to a company with up to 50 full time employees
- the other to a larger organisation with more than 50 full time employees.

The winners will be companies which can demonstrate tangible support and commitment in the promotion of women in business. The winning companies will be expected to have implemented measures to promote women, giving them equal opportunities and providing the right environment for them to flourish and achieve their full potential. The winning companies will be expected to demonstrate progress towards achieving gender balance in their senior management and decision making functions.

The winners of this category will serve as an inspiration to other companies that are serious in providing women with career and growth opportunities.

Validity

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Eligibility and requirements:

Eligibility

Any business

Requirements

demonstrate tangible support and commitment in the promotion of women in business.

Business model:

The initiative was launched by the private sector led by HSBC. The initiative is also supported by The Farsons Group and Nestle through funding.

Certification process, assessment, and support:

Not available

Criteria and Indicators used:

Not available

Gender, diversity, and excellence:

There is an explicit link to EU's gender equality index in the Award rationale: "despite signs of improvement in the EU's gender equality index, Maltese women are still in a very small minority on the boards of directors of both public and private entities. According to statistics, only 8.5% of directors of companies listed on the MSE are female."

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NETHERLANDS

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| | |
|----------------------------------|--|
| National CAS: | <ul style="list-style-type: none"> • Talent naar de Top (Talent to the Top) • Diversiteit in Bedrijf (Diversity at Work) |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 13 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

The **Standard Evaluation Protocol (SEP)** is the main mechanism for the national evaluation of research quality in the Netherlands (VSNU, 2016). The SEP has been established in the 1990s by The **Association of Universities in the Netherlands (VSNU)**, The **Royal Netherlands Academy of Arts and Sciences (KNAW)**, and the **Dutch Research Council (NWO)**.

Evaluations focus on three standards, namely research quality, relevance to society, and viability.

The quantitative scores for each standard range from 1 (world leading/excellent) to 4 (unsatisfactory) and are supplemented by qualitative arguments. Three additional aspects, PhD programmes, research integrity and diversity, are evaluated qualitatively only. The protocol is updated every six years with the current protocol being used for the period 2015-2021. All research institutes and research groups are evaluated once during this period by an external evaluation commission.

The actual evaluation consists of a **self-report** written by members of the research institute or research group as well as an **on-site visit** by the external commission. During the on-site visit, the commission conducts a number of interviews with delegates from all functions within the research unit. Based on all of the previously mentioned input, the commission writes an evaluation report and provides the research unit with recommendations and feedback.

The national evaluation of Higher Education quality and accreditation is facilitated by The **Accreditation Organisation of the Netherlands and Flanders (NVAO)**. The stakeholders involved in the accreditation process are “governments, universities, university colleges, and representatives of student and umbrella organisations in the Netherlands, Flanders, Europe, and beyond” (NVAO, 2020). As an external institution, the NVAO is involved in evaluations on the educational as well as on the institutional level. On the educational level, all programmes are divided into “assessment clusters” (NVAO, 2018), allowing the NVAO to evaluate similar programmes comparatively

In order to ensure that programmes are evaluated once every six years, the NVAO appoints panels of independent experts that evaluate the self-reports handed in by assessment clusters. All self-reports need to be approved of and reviewed by the participation council consisting of e.g. student representatives. If necessary, the council will provide additional advice.

In combination with the self-report, two on-site visits form the basis for the verdict of the panel. There are three possible outcomes for the evaluation procedure: positive, conditionally positive and negative. The panel also provides recommendations for each standard. Once an existing programme has passed the first accreditation, a limited assessment protocol will be used for the next evaluation.

On the institutional level, assessment is based on the **Instellingstoets Kwaliteitszorg (ITK)** which is an audit protocol that monitors four standards: vision and strategy, execution, evaluation and monitoring, and development. These standards are meant to promote and safeguard the internal



quality assurance of HE institutions. The ITK refers to the overall institutional culture as well as the structural mechanisms installed by institutions. Therefore, it does not directly assess the quality of educational programmes but rather focuses on the framework in which the programmes are implemented. In terms of procedure, the ITK closely resembles the accreditation process.

Additionally, the **Basis Kwalificatie Onderwijs (BKO)** is a quality mark established by Dutch universities via the VSNU to demonstrate and prove the didactic skills of teaching personnel. Pursuing the BKO is not mandatory but achieving it is encouraged by university administrations. Each university follows its own procedures while the teacher profile used as a nation-wide benchmark remains the same (VSNU, 2008).

Since 2016, the **SEP requires members of a research unit to also answer questions referring to the internal diversity of their unit**. This is part of the self-evaluation report and answers are discussed during the on-site visit of the external commission. Diversity is operationalised as “gender, age, and ethnic background” (VSNU, 2016:9) with an inclusive research environment being one “in which researchers feel at home, regardless of their gender, age or ethnic background” (2016:24). The SEP sees diversity as a tool that can enhance research quality. Diversity is not measured in quantitative terms.

The Assessment Framework for the Higher Education Accreditation System of the Netherlands (NVAO, 2018) refers to “the **diversity of the students** admitted” as a relevant factor for the evaluation of the “Teaching-learning environment” (p. 21).

There are no further relevant mentions of gender or diversity.

Gender in research and higher education

There are **no specific national policies on Gender in Higher Education and/or Scientific Research & Innovation** (EIGE, 2015). One possible reason for this lack of a structural approach is the fact that Dutch HE institutions enjoy a **high degree of autonomy** in terms of governance (Enders et al., 2013). In recent years, the government has decreased control over HE administrations, especially concerning human resource management because this is believed to foster productivity. Therefore, universities are direct employers of staff and can make autonomous decisions for e.g. recruitment and selection. At the same time, universities are bound to national collective labor agreements and remain public entities that are largely financed by The Ministry of Education, Culture and Science. As a result, the Ministry issues recommendations and allocates funds, but there are few overarching policies as the high degree of autonomy of HE institutions poses a challenge for implementation.

However, this does not mean that nothing is done to promote gender equality. The **Ministry has developed a number of initiatives** over the years to incentivize the recruitment and retention of female talent. Most efforts focus on excellent individuals whose hiring and/or promotion rewards both candidates and HE institutions with additional funding. One example for this is the Aspasia program which was later turned into the “**Innovational Research Incentives Scheme**” by the NWO (Van den Brink, 2009).



The goal of the program was to stimulate universities to promote female assistant professors to associate professors by providing a grant for an additional PhD or Postdoc who would work on their project. Another illustration of the Dutch approach are e.g. the **Westerdijk Professors** (Westerdijk-hoogleraren).

As part of the ad hoc **Westerdijk “talent impulse”** (NWO, 2018), the Ministry has provided HE institutions with five million euros for the appointment of 100 new female professors in 2018.

Additionally, **HE institutions themselves have developed a wide array of efforts** ranging from mentoring and coaching to also offering financial bonuses to departments that promote eligible female academics to full professors. Other measures aim to tackle non-inclusive working environments which pose a more subtle obstacle to gender equality. However, internal efforts often lack comprehensive monitoring which makes it unclear as to what extent they are actually fruitful. Furthermore, internal quality standards that are used as benchmarks for eligibility may also vary. Another impediment is that implementation can be dependent on a few willing individuals which complicates the creation of sustainable practices (Van den Brink, 2009).

It is worth mentioning that as of April 2020, the Ministry is working on a **new action plan** concerning gender and diversity which means national policies might be issued in the future. Additionally, the Dutch Economic and Social Council (SER) has published an advice in 2019 calling for stricter and more integral measures to promote underrepresented talent to top positions (SER, 2019).

Introduction to the CAS in The Netherlands

In the Dutch context, the majority of CAs focus on individuals and are therefore not relevant for this project. This trend is visible in all four sectors that are described in the matrix ranging from high to low priority. Examples are the aforementioned grants for female academics (Aspasia grant, see also Minerva prize and Athena prize), awards for both male and female outstanding entrepreneurs and managers with diverse backgrounds (The Other Businessman, Etnische Zakenvrouwen, see also ECHO award) and networks for highly qualified female leaders in the private and public sector (Topvrouwen, LNVH).

Two relevant schemes for this project were identified, namely **Talent to the Top** and **Diversity at Work**.

Neither qualifies as high priority per se, because Talent to the Top caters to a mixed target group and Diversity at Work focuses on diversity and inclusion. **Both schemes work with Charters** that grant signatories access to resources, advice and networking opportunities. Signing the respective Charters remains voluntary and requires a high degree of willingness on the part of institutions. At the same time, the risk involved is low if goals are not met.

Membership is incentivized by emphasizing that female/diverse talent should be fully exploited if institutions wish to be productive and efficient. Additionally, **both schemes have also set up their own awards** with Talent to the Top mostly focusing on gender equality (Diamant Award, Executive Search Award) and Diversity at Work focusing on diversity and inclusion (Diversity at Work Award). The annual awards are meant to praise the efforts of outstanding institutions and to set good examples which results in positive PR as well. In terms of monitoring, Talent to the Top has a more comprehensive approach which might be due to the fact that it has been active for longer than Diversity at Work. It is unclear if this approach also results in a more committed and “successful” target group.



The Charters are both easily replicable and do not require a lot of resources. Both Talent to the Top and Diversity at Work are easily accessible because commitment is voluntary and, as far as we know, no extensive (pre-)selection takes place. Organizations come up with their own specific goals and intentions which means personal (organizational) responsibility is highly emphasized: if organizations themselves are not willing to tackle inequalities on the work floor, no one else can do it for them or pressure them into taking action. Related to this, one repercussion organizations face for not meeting their own goals is receiving a negative rating in the annual monitoring which can potentially affect their business by discouraging clients and employees.

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| | |
|---|--|
| Talent to the Top (Talent naar de Top) | 2007 |
| Other https://talentnaardetop.nl/ | National info@talentnaardetop.nl |
| Awarding body: | Monitoring Commission; Supervisory Board/jury of Talent to the Top Foundation |
| Target Audience: | Business/others + Research and HE |

Overall description:

Talent to the Top is a foundation whose aim it is to stimulate organizations to promote diverse talent. Engagement with the foundation involves the signing of a Charter and a Code. The foundation provides organizations with information, training and advice. The foundation has developed a number of 'smart practices' that it shares with signatories. Signatories form a community. The foundation has its own awards, the Diamant Award (since 2012) and the Executive Search Award. The target group is unspecified and any type of organization appears to be eligible for participation. Most participating organizations come from the private sector, followed by government and public sector agencies (16.1%), research and education (8.1%).

Validity

1 year, charter commitment can be renewed

Eligibility and requirements:**Eligibility**

Any type of organization

Requirements

Make a voluntary commitment to nine principles established by Talent to the Top in the form of the Charter. Organizations formulate their own quantitative targets and focus/strategy in the six months after signing the Charter. Annual monitoring is conducted by a Monitoring Commission that uses six dimensions to evaluate strategies. Based on the outcome, organizations receive tailored feedback and advice. Since 2015, Executive Search bureaus also commit to nine principles (=the Code) which is monitored in a similar manner to the Charter since 2017.

Other information

signatories → 260 since 2008; Code → 34 in 2018; Charter → 5 award holders per year; rest unclear

Business model:

Initially, the foundation received subsidies from the Ministry of Education, Culture and Science and the Ministry of Economic Affairs. In 2012, the foundation started to invite signatories to pay a voluntary financial contribution as government subsidies were decreasing. As of 2018, this membership fee depends on the fees of organizations. The resources are spent on trainings, networking events and research (Monitor). The governmental subsidies/voluntary contributions proportion is unclear.

Certification process, assessment, and support:

Annual monitoring is conducted by a Monitoring Commission that uses six dimensions to evaluate policies of organizations:

1. leadership,
2. strategy and management,
3. HR management,
4. communication,
5. knowledge and skills,
6. organisational climate.

Organizations need to hand in a self-report each year in which they report on key (quantitative) performance indicators: recruitment, promotion and retention in the second and third echelon and the Supervisory and Executive Boards. Based on the outcome of the evaluation, organizations receive tailored feedback and advice which refers to both quantitative performance indicators and qualitative instruments. Since 2015, Executive Search bureaus also commit to nine principles (=the Code) which is monitored in a similar manner to the



Charter since 2017. In 2018, 34 search bureaus were contacted for the annual monitoring and 85% filled in the monitoring survey.

Support is provided by sharing best practices, providing tailored advice, feedback, knowledge/research

Criteria and Indicators used:

Six dimensions of monitoring used to evaluate policies:

1. leadership,
2. strategy and management,
3. HR management,
4. communication,
5. knowledge and skills,
6. organisational climate;

Self-report on key (quantitative) performance indicators:

1. recruitment, promotion and retention in the second and third echelon
2. Supervisory board
3. Executive Board.

Gender, diversity, and excellence:

In 2018, a pilot for the monitoring of cultural diversity has been conducted. It refers to employees with a 'non-Western background' and their trajectories within organizations (quantitative indicators). This is conducted parallel to the gender equality-monitor, so technically, it is not an intersectional approach but might become one in the future.

Diversity at Work (Diversiteit in Bedrijf) 2014

Other

<https://diversiteitinbedrijf.nl/en/>

NATIONAL (centralized)/ NETHERLANDS (part of European Platform of Diversity Charters)

DIB@stvda.nl

Awarding body:

Target Audience:

Supervisory Board/jury of Diversity at Work

Business/Others

Overall description:

The task of Diversity at Work is to stimulate diversity and inclusion at the workplace. Diversity at Work has two main branches: the Charter and the knowledge platform. Signatories of the Charter make a voluntary commitment to fostering inclusion on the work-floor. They formulate their own goals with regards to creating an inclusive working environment. They gain access to the knowledge platform which is part of an international network of signatories that share practices, advice and training. The information shared via the platform is based on an intersectional understanding of diversity. Annual events promote networking and knowledge exchange among signatories. In 2018, the 'Diversiteit in Bedrijf Award' was established to reward organizations that make outstanding efforts to meet their goals with regards to creating an inclusive working environment.

Validity

1 year, charter commitment can be renewed

Interlinkages with other certification schemes

Other international Diversity Charters

Eligibility and requirements:

Eligibility

A company, although it technically includes all private and public sector entities as eligible employers.

Requirements



Need to take part in event for potential signatories. Signing the Charter requires companies to formulate specific goals and intentions concerning the creation of an inclusive working environment. This is a voluntary commitment which is evaluated every year by the project.

Other information

signatories → around 200 in NL (between 180 and 205); rest unclear

Business model:

The Ministry of Social Affairs and Employment is the main sponsor of Diversity at Work with subsidies running until 2020. Diversity at Work is defined as a 'project' that has been brought into existence by the Dutch Economic and Social Council and the Stichting van de Arbeid (Foundation for Work) which is in turn partially financed by the Council. Diversity at Work also receives resources from the international coalition of Diversity Charters and maintains the quality and scope of resources in a mutual exchange. Its national office is run by a team of policy officials that receive advice from an advisory board, consisting of experts from various sectors. Resources are spent on providing companies with advice, feedback and knowledge as well as on the organization of networking events.

Certification process, assessment, and support:

First round of assessment took place in 2018. Organizations were asked to hand in self-reports, 79 of the 85 members complied. There is no mention of performance indicators or quantitative assessment of strategies. Rather, companies were asked to point out on which of the five dimensions they were focusing (multiple mentions possible, 'inclusion' as unspecific focus also possible), what they were doing and what they perceived as successful. A common theme was the short period of time/lack of sufficient time so future assessments might provide more in-depth information. Support is provided through meetings/networking to provide and exchange information, newsletter, (online) knowledge platform, helpdesk to provide internal advice but this is rarely used (Eindrapport Monitor, 2018:36)

Criteria and Indicators used:

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NORWAY

[Link to references](#)

National CAS:

- Gender Equality Award
- NTNU's Gender Equality Award

Number of HRS4R awardees:

- 11 (as of 30/06/20)

National context for Quality Assurance and Accreditation

The research quality in Norway is evaluated through primary two mechanisms, one qualitative and one quantitative. The **qualitative evaluation** consists of a process where a large part of Norwegian research and publications within a specific field is reviewed by **international academic peers**. The peers then write reports about the quality and present their suggestions for improvement.

The **quantitative evaluation** of research quality consists of two interdependent components. The first is the so-called **Norwegian Publication Indicator**. This system rewards points to the researcher based on where the research is published, i.e. research published in high-ranking authorized journals and publishing companies will receive the highest points. More points indicate more funding, and the purpose is to make the research results measurable (Norwegian Publication Indicator (NPI) n.d.). The second component of the evaluation is how the **Norwegian funding model for research reallocates** a small part of the total funding to the institutions with the best results from the Publication Indicator. In this way the research evaluation is linked to research funding, and through the Publication Indicator, it is based on a result-based redistribution (NPI n.d.).

Another aspect of the national evaluation of research quality in Norway is evaluations conducted by the **Research Council of Norway (RCN)**. The Council is the Norwegian government funded agency that funds research and innovation processes. As part of its mandate The Council evaluates both specific and thematic areas, research institutes and funding instruments and centres.

The **Ministry of Education and Research** has overall responsibility for higher education in Norway. All public and private higher education in Norway is subject to the **Act Relating to Universities and University Colleges** (Act 2005-04-01 nr 15). The **allocation letter and instructions**¹⁴⁰ are the central instrument of governance from The Ministry of Education and Research to the main bodies working on higher education in Norway.

Notably, section 6-2 of the act is about Gender equality: "Universities and university colleges must make active, targeted and systematic efforts to ensure gender equality in all categories of employment at the institution."(University and University Colleges Act, 2019, 6-2).

¹⁴⁰ The allocation letter is about financial frameworks and priorities, performance targets and reporting requirements for their work. In DIKU's (the Norwegian Agency for International Cooperation and Quality Enhancement in Higher Education) and NOKUT's (the Norwegian Agency for Quality Assurance in Education) general allocation letter in 2020, gender equality is mentioned in the last part.



The Ministry of Education and Research has appointed **The Committee for Gender Balance and Diversity in Research (KIF)**. The KIF Committee provides support and recommendations on measures contributing to gender balance and diversity in the Norwegian research sector. Actors and institutions in the higher education sector and research institute sector, as well as the ministries and the Research Council of Norway, may request assistance and advice from the Committee. The board of the Norwegian Association of Higher Education Institutions (UHR) has organizational responsibility for the Committee and its secretariat.¹⁴¹

The Norwegian Agency for Quality Assurance in Education (NOKUT) is an independent expert body and administrative agency with expertise in the field of Norwegian and foreign higher education and tertiary vocational education. NOKUT 1) Supervises, provides information about and contributes to developing the quality of Norwegian study programmes and institutions. 2) Recognises and provides information about foreign education and about the procedures for having foreign qualifications recognised in Norway (NOKUT, 2020).

The **University and University Colleges Act** and the **Tertiary Vocational Education Act** provide legal authority for NOKUT to **grant accreditation of study programmes** and recognition of tertiary vocational education and to grant **the institutions authorisation to accredit or recognise programmes themselves**.

Norwegian universities and university colleges are responsible for ensuring that the study programmes they offer are of high quality. **NOKUT supervises the institutions' quality assurance practices**.¹⁴² NOKUT is responsible for a periodic supervision of the institutions' systematic work on assuring and enhancing the quality of the education they offer. This practice follows 5 steps: 1) Collection of information 2) Expert assessment 3) Decision 4) Rectification 5) Final decision (NOKUT, Quality assurance).

The Norwegian Agency for International Cooperation and Quality Enhancement in Higher Education (DIKU) aims to strengthen the quality of Norwegian education. DIKU administers programmes for the Norwegian Ministry of Foreign Affairs, the European Commission, and the Nordic Council of Ministers (DIKU, 2020). DIKU manages a number of national and international incentive schemes to promote quality in universities, colleges, and vocational schools. DIKU is the administer of The **Norwegian 'Centres for Excellence in Education' (SFU)** is a prestigious national initiative to stimulate excellence in higher education. The ambition of the initiative is to contribute to the development of excellent quality in higher education.¹⁴³

¹⁴¹ More about the Committee and their work here: www.kifinfo.no

¹⁴² Lists of all accredited institutions, as well as of all accredited study programmes at the university colleges without institutional accreditation are available on www.nokut.no³

¹⁴³ More information here: <https://diku.no/en/programmes/centres-for-excellence-in-education-sfu>



Gender in research and higher education

In Norway **all employers with more than 50 employees and all public authorities must work actively and systematically to ensure gender equality and prevent discrimination**. This is called the Activity and Reporting Duty, and it also applies to higher education institutions and research institutions. The higher education sector and the research institute sector must submit annual reports on gender equality in keeping with the Activity and Reporting Duty stated in the **Equality and Anti-Discrimination Act**. In addition, all higher education institutions (HEI) should have an active, up-to-date **action plan for gender balance and gender equality** (kifinfo, n.d).

Gender points

The goal of the so-called gender points scheme is to improve gender balance within specific study programmes. The scheme is funded on the idea that a more balanced representation of both sexes contributes to broader perspectives in academia (Gjengedal, 2019). With a legal basis in the **Regulation governing admission to higher education**, the Ministry of Education and Research may decide that for certain study programmes one or two additional points will be granted to applicants of the gender that is clearly underrepresented among students and professionals in the field in question. After changes in the Equality and Anti-Discrimination Act took effect in 2018 it became possible to apply to use gender points for both sexes.

This scheme assumes that persistent gender imbalance within a study programme could contribute to strengthen stereotypical perceptions of what is seen as typically “women’s studies” and “men’s studies”. These mechanisms affect the higher education system's ability to recruit from the whole population and attract the best qualified candidates. The scheme has defined gender segregation in higher education and in the labour market as the main problem with regards to gender inequality.

Research Council of Norway’s policy

In its general research funding RCN has an overarching ambition that the gender balance shall not be more skewed than 40/60. However, they state that there are significant variations between disciplines and sectors, and that the measures and initiatives must be adjusted for different challenges. Also, RCN has signalled that in the funding to the Norwegian centres of excellence gender balance will be emphasised. RCN has stated that they expect institutions submitting more than five applications for funding to establish centres of excellence, must have at least 40 percent leaders that are women.

Also, the Research Council of Norway has prepared a policy; **"Policy for Gender Balance and Gender Perspectives in Research and Innovation"**. This policy highlights 5 focus areas: *Excellence in research initiatives, Trade and industry, Career policies tailored to phase of life, Gender perspectives, Competence and quality internal in the Norwegian Research Council* (RCN, n.d). The policy states that the work for advancing gender balance and gender perspectives is linked to gender equality between the sexes, and to contribute to research of the highest quality, to facilitate research talents and to contribute to well-functioning scientific communities. Also, the width of perspectives is seen to enhance the explanatory power and innovative solutions. Another aspect is the linkage between Norwegian research policy and the participation in the European collaboration Horizon 2020, and how this system defines gender balance and gender perspectives as a goal (RCN, n.d).



RCN defines that both horizontal and vertical gender segregation is seen as overarching challenges regarding gender equality in research and higher education. They emphasize that temporary positions and extreme competitive pressure inhibit creativity and productivity and that talents choose a different career path. This is something that is non-beneficial for both men and women.

RCN presents different measures for each focus area in the policy. For example, RCN will demand reports on gender balance, consider defining a measure for gender balance at centres for excellence, encourage interdisciplinary collaborations to integrate the gender dimension and identify areas whereas gender perspectives are much needed, such as technology, health and environment, and more.

BALANSE - Programme

The Programme on Gender Balance in Senior Positions and Research Management BALANSE is a project organised under the Research Council of Norway. The programme supports RPO's work to improve the gender balance in Norwegian research. Its primary objective is to support cultural and structural renewal in the research system to promote gender equality and sustainable research systems. This may entail, for example, changing organisational structures and practices. In the *BALANSE Work Programme (2017 – 2022)* it is stated that the gender imbalance for senior and higher positions in research in itself is identified as the problem. Recognising that the problem does not lie with the women but with the system, the programme focuses its activities on achieving organisational change and renewal at the structural level in research institutions (RCN n.d.). The BALANSE programme is expected to have several provisions that will be summarised in reports and publications.

Experiences from the BALANSE projects has been collected in a "digital toolbox". The toolbox was presented in 2019 and provides six recommendations and six measures which have proven to have an effect for the gender balance at Norwegian RPOs. The toolbox is intended for everyone in the sector and is supported by a set of reports and publications which substantiate the recommendations and measures.

Regarding intersectionality, most of the national policies in Norway are focused on the gender dimension of equality and inclusion. However, the Activity and Reporting Duty mentioned earlier states that employers shall work actively and systematically to prevent discrimination on all grounds that are listed in the Equality and Anti-Discrimination Act. Also, many the action plans provided by the HEIs includes information of the institution's strategic work to enhance both gender balance and diversity.

Originally, only gender balance was included in the mandate of the KIF Committee, but in 2014 the mandate was expanded to include diversity (kifinfo, n.d). Following the current KIF Committee's strategy 2018-2021 the term diversity within this periode is defined as ethnic diversity.

None of the national polices were found to have any references to awarding, certification or accreditation of Research organisations or HEIs.



Introduction to the CAS in Norway

There is only one award in Norway, and that is NTNU's gender equality award that is given every second year. Until 2014 there also was a yearly Gender Equality Award of two million Norwegian kroner that was established by the Ministry of Education and Research in Norway to reward the research communities' gender equality efforts. The award was established in 2007 and has been given out seven times, in 2007, 2008, 2009, 2010, 2011, 2012 and 2013.

The prize money was intended to serve as a supplement to the resources that the institutions themselves set aside for their gender equality activities. In 2014, the Solberg Government decided to discontinue the Gender Equality Award. Nonetheless, this award is interesting and is worth further analysis.

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Gender Equality Award (Ministry of Research and Higher Education) 2007 (not active since 2015)

| | |
|--|---|
| Award | National |
| http://kifinfo.no/en/content/gender-equality-award no official website | // |
| Awarding body: | Ministry of Education and Research / The KIF Committee |
| Target Audience: | Research and HE |

Overall description:

The Gender Equality Award was awarded by the Norwegian Ministry of Research and Higher Education. The award was established in 2007 to premier the best Action Plans for gender equality in the Research and Higher Education sector, and to stimulate to strategic and determined gender equality work. The Price had a specific objective to increase the number of women within scientific positions and stimulate to more gender balance within the sector. The award was a donation of 2 million Norwegian kroner. The institutions could nominate themselves to the award, and the applications needed to include the Action plan for gender equality. The Action plan needed to be accepted by the board of the institution and must be operative when the application was submitted. Also, applications must contain a budget on how the funds following the award was going to be distrusted on gender equality measures.

Validity

1 year, renewable

Interlinkages with national quality assurance mechanisms

The award was linked to the activity and reporting duty stated in the Equality and Anti-discrimination Act. All higher education institutions should have an active, up-to-date action plan for gender balance and gender equality – with annual reports on target figures, instruments and results achieved. The action plans should be concrete and well justified.

Eligibility and requirements:

Eligibility

Universities, University Colleges or Research Institutes.

Requirements

The institution needed an action plan for gender equality in research. The action plan needed to be adopted by the board and operational at the time of application. The sector of research institutes, in which did not have the same requirements regarding action plan, needed to document their work with gender equality in other ways. Also, the application needed to explain how much resources the institutions already had allocated in their budgets on gender equality work, and a plan on how the possible award-money would be spent.

Other information

the award was distributed in total of 7 times. The UiT Arctic University of Norway was awarded two times (2007 and 2011). Only one time did a research institute win the price (2013 to Simula Research Laboratory).

Business model:

FUNDING > GOVERNMENTAL INSTITUTION SPONSORSHIP

Winners of the price was awarded 2 million Norwegian kroner (approximately 88 200 EURO). It was the Ministry of Education that decided to adopt the award-scheme and the financial support was allocated over the national budget. However, The Committee for Gender Balance in Research (KIF) was responsible for announcing the award, evaluating the nominees and making a recommendation to the ministry.

Certification process, assessment, and support:

The assessment process was based on the following: ambitious and realistic goals. The ambitions were seen in connection with an expected development based on the institution's preconditions. Seniority was not a criteria, but the institution's ability to show former concrete measures and follow-up on its ambitions emphasized. Progression and goal achievement needed to be highlighted. The applicant also needed to



elaborate on the allocated resources, and this was seen in light of the size of the institution (economy, staff, with more.) Another assessment was how the gender equality work, or the gender dimension was integrated in ordinary processes at the institution, and if these processes were anchored in the organisation and management. It was also considered if the institutions demonstrated new ways of thinking and creativity in its designing of strategies and recruitment measures. It was required that the application was signed by the top management at the institution. After the KIF Committee considered the scope and quality of applications, the Committee would decide if the price was going to be awarded to one or more institutions, and the size of the allocation. By opportunity the Minister of Education and Research formally handed out the award.

Criteria and Indicators used:

SEE "CERTIFICATION PROCESS, ASSESSMENT, SUPPORT" DESCRIPTION ABOVE.

Ambitious and realistic goals, the institutions ability to show to former concrete measures and follow-ups, progression and goal achievement, allocated resources in light of size of the institution (economy, staff, with more.), how the gender equality work or the gender dimension was integrated in ordinary processes, and if these processes was anchored in the organisation and management, new ways of thinking and creativity in its designing of strategies and recruitment measures.

Gender, diversity, and excellence:

- EXPLICIT REFERENCE TO NATIONAL POLICIES/Framework > The award refers to the The Gender Equality Act § 1a that states that the employer is responsible for set down goals and plans to achieve gender equality for all employees (The activity and reporting duty).

News article: *Over and out for the Gender Equality Award:* <http://kifinfo.no/en/2016/05/over-and-out-gender-equality-award>

News article: *Bergen leads the field in gender equality efforts* <http://kifinfo.no/en/2016/05/bergen-leads-field-gender-equality-efforts>

NTNU's Gender Equality Award 1997

Award

Subnational

//

svandis.benediktsdottir@ntnu.no

Awarding body:

Pro-rector and university vice-president

Target Audience:

Research and HE

Overall description:

In connection with the adoption of NTNU's Action plan for gender equality in 1997 it was decided to also introduce a Gender Equality Award. The board/college awards the faculty, department or academic community or person that has made the most progress with regards to the objectives in the Action plan or have initiated action and made efforts to bringing the process of enhancing gender equality forward. All employees and students can nominate. Since the adoption, the award has been assigned 18 times, of which 7 has been to non-individuals. See indicators document.

Validity

2 years

Interlinkages with national quality assurance mechanisms

Equality and Anti-discriminations Act

Eligibility and requirements:



Eligibility

All faculties, departments, academic communities, groups and/or persons can be nominated. Staff and students can nominate.

Requirements

ONLY LIMITED INFO. The University website states that the purpose of the award and the criteria is: "The prize for equality goes to the faculty, institute, academic community, group or person who has initiated creative or innovative initiatives or activities that brings the us closer to a more equal university, often in a new or non-traditional way". The University wants to highlight the positive aspects of gender equality work and praise the units doing successful work.

Business model:

FUNDING > CERTIFYING INSTITUTION

NTNU funds and manage the Gender Equality Award. The winners are assigned a price of 25 000 Norwegian kroner (approximately 2000 EURO) and an artwork.

Certification process, assessment, and support:

All faculties, departments, academic communities, groups and/or persons can be nominated. Staff and students can nominate. After the nomination the university vice-president selects a committee consisting of three members to evaluate the nominations. The gender equality advisor functions as a secretariat for the committee.

Criteria and Indicators used:

The price is awarded to the faculty, institute, academic community, group or person who has initiated creative or innovative initiatives or activities that brings the University closer to a more equality, often in a new or non-traditional way. This is the information available. In an attempt to describe the assessment criteria, we have gone through the justifications for every award which is available online. We have focused on the award given to institutions, in other words non-individual award winners. This review leads us to the conclusion that over the years the committees has emphasized achieved results regarding the gender equality efforts, and especially recruitment initiatives which has concrete and measurable results with regard to gender balance.

Gender, diversity, and excellence:

Only general information on gender equality at NTNU available in English.
https://www.ntnu.edu/studies/gender_equality

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POLAND

National CAS:

- **Best Quality Employer**
- **University Leaders**
- **Equal Opportunities Company**
- **Trustworthy Employer**
- **Good Climate for a Family**
- **Family-friendly Employer**
- **Excellence in Education Certificate**

Number of HRS4R awardees:

- **86 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

According to the **Act of 20 July 2018** on the Law on Higher Education and Science **evaluation of scientific institutions** in Poland is carried out within disciplines and is based on formal measures of scientists' performance within organization.

However, only university-type organizations, as well as Polish Academy of Science and its institutes, international scientific institutes operating in Poland and scientific federations are subject to mandatory evaluation, while non-university-type organizations, research institutes and other units conducting scientific activities in independent and continuous manner (like research and development centres) are subject to optional evaluation. This results from different functions attributed to those organizations. While former are believed to conduct mainly scientific activity, later are believed to educate qualified specialists, or are responsible for implementation activities and technology transfer.

Mandatory evaluation of university-type organizations is carried out by **Science Evaluation Committee** every 4 years. Every university-type organization that employs minimum 12 people (in terms of full-time contract in a given discipline) will be evaluated. The assessment is based on three criteria:

1. scientific and artistic level of organization's scientific activity¹⁴⁴;
2. financial effects of scientific research and development activities¹⁴⁵;
3. impact of organization's scientific activity on society and economy¹⁴⁶

(Ordinance of Ministry of Science and Higher Education on evaluation of quality of scientific activity, 2019).

¹⁴⁴ measured by (a) scientific articles, (b) scientific monographs, and (c) patents for inventions, protection rights for utility models and exclusive rights of breeders to plants varieties.

¹⁴⁵ measured by (a) competitive projects financed by foreign institutions, international organizations, by the Ministry of Science and Higher Education under the National Program for the Development of Humanities and by the National Science Center and the National Center for Research and Development, (b) commercialization of research results or development activities, (c) research services provided to entities not belonging to higher education and science system.

¹⁴⁶ measured by description of an impact of the most important manifestations of scientific activity on economy, health care, culture and art, protection of natural environment, national security or other factors that affect development of society.



The **Ministry of Science and Higher Education**, on the basis of Committee proposal, awards the evaluated entity for a period of 4 years with a scientific category: A+, A, B+, B and C, within evaluated disciplines. Category A+ is the highest category in ranking, while C is the lowest. Under this law only university-type and research organizations having category A+, A or B+ are able to organize PhD education.

Quality assurance of higher education is governed by the Act of 20 July 2018, The **Law on Higher Education and Science** that regulates general framework for the evaluation body, the **Polish Accreditation Committee (PAC)**, and its activities for program evaluation, comprehensive evaluation and evaluation of the quality of third-cycle programs.¹⁴⁷

Although **no single official document defines overall aims of quality assurance system** in Poland and those aims are available only as part of statutes and documents on responsibilities of institutions concerned, **there are four mandatory processes of external quality assurance** of first-, second- and long-cycle programs in higher education system currently in place:

- ex-ante or initial institutional evaluation/ accreditation
- ex-post institutional evaluation/ accreditation
- ex-ante or initial program evaluation/ accreditation
- ex-post or periodic program evaluation/ accreditation

The 2018 Law on Higher Education and Science also introduces a comprehensive evaluation that aims at assessment of the effectiveness of quality assurance in all disciplines in which given institution educate students, and assessment of the quality of education at PhD schools.

Evaluations of HEIs are also carried out by so-called **peer accreditation commissions**¹⁴⁸. HEIs apply voluntarily, however accreditation decision does not entail any legal consequences.

Polish law also imposes on HEIs an obligation to guarantee high quality of education, yet **does not provide arrangements for internal quality assurance**. Exceptions are general principles for study programs and teacher appraisal. Nevertheless, HEIs establish their own detailed arrangements in their internal regulations.

Furthermore, Polish Accreditation Committee can award HEIs with a [Certificate for outstanding quality of education](#), while the Minister of Science and Higher Education can award HEIs with additional funding as part of three competitive programs that are directly or indirectly connected with quality assurance – ‘The Teaching Excellence Initiative’, ‘The Excellence Initiative: Research Institution’, and ‘The Regional Excellence Initiative’.

¹⁴⁷ Moreover, the Ordinance of the Minister of Science and Higher Education of 12 September 2018 on the criteria for program evaluation sets general criteria for evaluation carried out by PAC, while the Ordinance of the Minister of Science and Higher Education of 27 September 2018 on degree programs regulates, among others, general requirements for a first-, second- and long-cycle study programs; requirements to establish a program; equivalent degrees; conditions for distance learning; prerequisite for documentation on student progression and a higher education diploma.

¹⁴⁸ The commissions are the Foundation for the Promotion and Accreditation of Economic Education; Accreditation Commission of Universities of Technology; Accreditation Commission of Agricultural Universities.



Finally, although **National Science Centre** and the **National Centre for Research and Development** are not formally part of the quality assurance architecture both institutions define selection criteria for funding and conduct ex-ante assessment of competitive projects and thus play an important role in the quality assurance of research system in Poland.

Regarding gender equality provisions, the 2018 Law on Higher Education and Science guarantees students of first-, second-, long- and third-cycle programs to extend their study periods on the basis of **child-care leaves**. It allows taking (parental) leaves by students and doctoral candidates at their request. Moreover, it also states that child-care leaves extend the time of employees internal evaluation process, and that in case of young researchers is not included in the calculation of time of holding the doctoral title while applying for stipend of the Minister.

Gender in research and higher education

There is **no official document on Gender in HE and Gender in Scientific Research & Innovation** in Poland. Nonetheless, the Polish legal system has documents referring to the principle of equality between women and men, and those are: the Constitution of the Republic of Poland (1997) (Article 32 and 33) which guarantees equal rights of women and men and their equal treatment in all areas of life, and the Labour Code (1974) (Article 183a) which except the above according to the labour market, guarantees additional protection for pregnant women and those on maternity leave.

Furthermore, although Poland introduced on 3rd December 2010 the Act on the implementation of some regulations of European Union regarding equal treatment it **does not prohibit discrimination based on gender in higher education**. Nevertheless, in 2014 the Ministry of Labour and Social Policy have launched projects [‘Toddler in the Academia’ \(2014-2015\)](#) and [‘Toddler +’ \(2016 – ongoing\)](#) providing funds to, among others, universities to set up nurseries or care centres for children under the age of 3, in order to fulfil the needs of scientists-parents.

Gender is a matter of concern only in the **Strategy for Responsible Development up to 2020 (2017)** where is stated that development of Polish economy should be based, among others, on support for employment of women by promotion of flexible work arrangement (pp. 16, 156-157), development of child- and dependent-persons-care systems and incentives to work part-time (pp. 28, 153-154, 160).

Although there is no official law on gender in research and higher education, **universities set up their own internal regulations that prevent discrimination** (including this based on sex) and/or refer to equality between women and men in their statutes and strategies for development (Sierpowski, 2020) to meet requirements set by the European Charter & Code for Researchers and the Code of Conduct for the Recruitment of Researchers and in order to obtain very prestigious **HR Excellence in Research** logo. Some of research performing organizations has also established body responsible for equal treatment, like at the University of Warsaw and the Jagiellonian University in Krakow (Krzaklewska, Sekuła, Struzik & Ciaputa, 2019). Although some Polish universities work on developing gender equality plans, as for March 2020 only Institute of Physics at the Jagiellonian University in Krakow has been implementing one.

Considering the main identified problems for gender equality, **underrepresentation of women** in research performing and research funding institutions goes hand in hand with the ‘leaky pipeline’ phenomenon. While on a doctoral degree level gender proportions are almost even, men holding habilitations outnumber women more than twice, and among professor - more than three times.



Women are also underrepresented at higher levels of management in scientific and higher education institutions, managerial boards, decision-making bodies, and among leaders of research and development projects. Similarly, such gender inequalities also apply to specific disciplines.

Whereas in some of them differences between number of women and men are smaller, like agriculture, in others gender ratio are very uneven, like in STEM disciplines (Młodożeniec & Knapińska, 2013, 48-50; European Commission, 2018). Difficulty in reconciling professional and family life by female scientists is one of the main causes of leaking in the pipeline, but gender bias, chilly climate and microaggressions are also important when deciding about pursuing a career in science/ higher education institutions (Krzaklewska et al., 2019; Sekuła, Struzik, Krzaklewska & Ciaputa, 2018).

Regarding gender inequalities in STEM disciplines, Polish female researchers can benefit from different concrete measures such as programs and competitions, which offer professional support, financial assistance and internships. These programs include 'New Technologies for Girls'; 'Women and Science', 'Girls go start-up!'; 'Girls on technical universities'. Most of them are launched by non-governmental organizations and aims to promote technical and engineering studies among women as well as to support them in the technology industry (Gulda, Walendowski, Markianidou & Otte, 2017, 65).

Unfortunately, in Poland intersectional approach to issues within science and higher education sectors is not prevalent. Even though it is taken into account in teaching content and in scientific analysis, it is not perceived as important approach in case of HEIs and gender problems within.

In Poland there is a strong uptake of the HRS4R, as far as awarding and certifications go. Research performing and research funding organizations in Poland, such as research centers, research institutes, higher education institutions, as well as those organizations operating within business sector introduce rules set by the European Charter & Code for Researchers and the Code of Conduct for the Recruitment of Researchers to their internal recruitment regulations. As a result they are awarded with the HR Excellence in Research logo by the European Commission.

Linking funding with gender equality provisions, **European Union funds** have a significant role on gender equality mainstreaming in Poland (EIGE, 2020) and using EU funds requires having gender impact assessment. Moreover, "gender mainstreaming has itself been the focus of a number of projects funded by the ESF, demonstrating its importance as a source of funding for activities aimed to improve gender equality and equal opportunities for women and men in Poland" (EIGE, 2020). Also **Horizon 2020** framing program for research and innovation has fostered gender equality change at Polish universities and research centres. Since its establishment, many Polish research and HE institutions have been implementing projects focusing on development of gender equality policies, measures or/and plans (for example GENERA and ACT project implemented at the Jagiellonian University in Krakow).



Introduction to the CAS in Poland

There are several certification schemes in Poland, which relate either specifically to higher education and research organizations or to business sector, or both at the same time. While the former are mostly connected with national accreditation process of study programs or particular field of study, are either mandatory or voluntary, and are carried out by (peer) accreditation commissions, those one dedicated for a business are much more diversified in terms of their scope, use of indicators, awarding body types, and values they are based on. As they are strictly related to the accreditation process and do not deal with gender equality nor diversity, some of the former are not included in the following sheets.

Only one mapped certification scheme – which applies to both HEI and business/other - **is focused on gender equality**. Other two worth mentioning, and described in more detail below, are schemes referring to **work-life balance** solutions as criterion for excellent management of companies.

Unfortunately, their basing principle is quite narrow and sustainability uncertain as one is not active anymore and the other one has subnational scope. But, even though the certification scheme with focus on gender equality in higher education and business titled **‘Equal Opportunities Company’** is not active anymore due to completion of the research project within which it was implemented, given the number of applications and broad spectrum of indicators used to measure ‘equality’ in a given company it is arguable that it was the most successful and suitable for replication certification scheme in Poland.

Given the HRS4R popularity among Polish Universities, are there any signs that HRS4R plans also tend not to refer to Gender Equality (which is actually the case in several countries) and include work-life balance measures only? Could embedding new GE provisions in the European HRS4R be more strategic than creating a new gender equality CAS?

According to POL-on registry (<https://polon.nauka.gov.pl/zasoby>, in Polish only) there is 380 higher education institutions in Poland, of which 232 are non-public entities. Moreover, of 190 scientific units operating in Poland, 111 are research institutes, 77 are scientific entities of Polish Academy of Sciences and 2 are international scientific units. Despite great diversity of the science and research system in Poland there is no official document on gender in HE and R&I sectors, and the Act of 3rd December 2010 on the implementation of some regulations of European Union regarding equal treatment does not prohibit discrimination based on gender in higher education and research institutions. Nevertheless, Polish legal system recognizes the principle of equality between women and men. Equal treatment is guaranteed by the Constitution of the Republic of Poland (1997) (Article 32 and 33) and the Labor Code (1974) (Article 183a).

Similarly, certification and awarding systems in Poland are also diversified in terms of their sector applicability (HEIs and R&I and/or business), subject (for instance quality of education or management system), scope, use of indicators, awarding body types, and underlying values. Despite that, only one certification system in Poland – ‘Equal Opportunities Company’ (*Firma Równych Szans*), run as part of the Gender Index project, was fully focused on gender equality issues and addressed both sectors – business and HE & research. However, solutions for work-life balance at workplace as criterion for excellent management of companies has been gaining more and more attention in the last years (they were/are the main or leading criterion in ‘Good climate for a family’ Contest, ‘Best Quality Employer’ and ‘Family-friendly Employer’ Awards). Unfortunately, most HE&RIs are not interested in those kind of initiatives. The main reasons for this would be their low prestige among HEIs and general focus rather on private companies than research organizations. Narrowly focused approach to management system (work-life balance or diversity management solutions), basically not adapted to realities of science and research sector may also play a role in low applicability of HE&RIs.



Even though there is no gender equality certification or awarding system active in Poland and no official law regarding gender-based discrimination in HE and research some universities and research entities as a response to requirements set by the European Union in its funding programs and as an effect of EU funded projects implementation set up their own internal regulations that prevent gender-based discrimination and/or refer to equality between women and men in their internal documents – codes of ethics, work regulations, management policies, statutes (cf. Krzaklewska, Sekuła, Struzik & Ciaputa, 2019; Sierpowski, 2020). Gender equality measures already in place in Polish scientific organizations include also: flexible work arrangements (paid sabbatical leave, flexible working hours, part-time, tele- and task-oriented work), anti-harassment, -mobbing, and/or –discrimination policies and bodies; programs dedicated for parents coming back to work after parental leaves; policies taking into account gaps in employment resulting from maternal, paternal or parental leaves. Nonetheless, considering fragmentation of the Polish science system – described above, and low levels of spending for both personnel and organizations (Statistics Poland, 2019) that limit its potential, research performing and research funding organizations wanting to attract outstanding scientists (national and foreigners), and to increase their chances of external research funding adopt additional measures and solutions in line with the European Charter & Code for Researchers and the Code of Conduct for the Recruitment of Researchers in order to obtain very prestigious HR Excellence in Research Logo. As of June 2020, 86 RPOs and RFOs in Poland have received this award. Analysis of applications published online by granted institutions shows that while majority of them focus more broadly on establishment of non-discrimination policies/bodies/trainings/guidebooks/leaflets, promotion of information on already existing procedures/solutions and bodies, and/or a diagnosis of the situation at the given institution (i.e. conducting a study on sexual harassment, gender pay gap etc.) others set up gender equality measures in their HR strategies. Mainly those ones include: strategies to ensure gender balance (i.e. gender balance mainstreaming by trainings, workshops, promotional materials and/or introducing internal regulations; encouraging women to be part of decision-making bodies and of expert and evaluation boards etc.) and flexible work arrangements (i.e. granting paid sabbatical leaves; allowing teaching load to be reduced to increase research efficiency; mainstreaming of possibility to combine child-rearing and part-time work; introducing tele-work; introducing internal regulations concerning flexible work schedules). Less popular solutions implemented by institutions are as follows: establishment of gender equality body (i.e. equal treatment commission, expert board, coordinator, counsellor, plenipotentiary or equivalent); introduction of gender equal recruitment and rules (mainly included in OTM-R policy); actions promoting and supporting women at every level of career development; gender equality trainings; creation of rooms for breastfeeding and for rest of pregnant women; launching the equality university website; providing managers with diversity trainings. Only few institutions have declared to create and implement Gender Equality Plan.

Given the slow pace of introduction of gender equality measures and extension of time needed to implement them by Polish research institutions - mainly due to introduction of the Act of 20 July 2018 on the Law on Higher Education and Science and due to giving more attention to other elements of HR strategy than gender equality, in my opinion it would be more strategic in Polish context to include gender equality measures to HR Excellence in Research CAS than creating a new one. Adjusting already existing CAS to realities of Polish science seems more reasonable than creating complex system to which institutional rules and procedures has to be adapted again from the very beginning.

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| | |
|---|---|
| Excellence in Education Certificate/ Certyfikat Doskonałości Kształcenia | 2018 |
| Certification https://www.pka.edu.pl/wp-content/uploads/2019/11/statut_tekst_ujednolicony-EN.pdf | National pka@pka.edu.pl |
| Awarding body: | Polska Komisja Akredytacyjna/ Polish Accreditation Committee |
| Target Audience: | Research and HE |

Overall description:

The certificate attests an outstanding level of education provided as part of a degree programme at a given level and with a given profile in one of the following categories:

- 1) Excellent degree programme - excellence in providing education as part of a degree programme;
- 2) Student-centred - excellence in supporting the development of students;
- 3) Open to the world - excellence in international cooperation;
- 4) Partner for development - excellence in cooperation with social and economic stakeholders.

Certificate is awarded to Higher Education Institutions by Polish Accreditation Committee.

Validity

6 years with possibility to renew

Interlinkages with national quality assurance mechanisms

Excellence in Education Certificate can be awarded to a higher education institution running a degree programme, which has been awarded a positive rating under mandatory programme assessment (carried out by Polish Accreditation Committee) valid for six years.

Eligibility and requirements:**Eligibility**

University and non-university type institutions (*uczelnia akademicka and uczelnia zawodowa*)

Requirements

Education Excellence Certificate in a given category can be awarded to a higher education institution running a degree programme, which has been awarded a positive rating under programme assessment valid for six years and which has been supported by good practices in education quality or by documented, regular achievements of students and graduates (up to 5 years after graduation). Also a recommendation to award the certificate and justification included in a report of an assessment team is required.

Business model:

The PKA Office is a unit financed from state funds. It is managed by a director appointed and dismissed by the PKA chairman (nominated by the minister). The director is appointed after the competition is carried out. The remaining employees are employed by the director after conducting an open and competitive recruitment. Activities of the PKA Office and its organization are specified in the organizational regulations issued by the PKA chairman. Funds from Ministry Of Science and Higher Education are allocated to finance the activities of PKA, the PKA Office, remuneration for PKA members, and for experts participating in the work of PKA.

Certification process, assessment, and support:

To be qualified for Excellence in Education Certificate the HEI has to firstly undergo a programme assessment in a given degree programme, which include following steps:

- 1) preparation of a self-evaluation report by HEI following guidelines and a template defined by the Presidium of PKA;
- 2) on-site visit by the evaluation panel;
- 3) drafting of the report by the evaluation panel;
- 4) submitting the report of the evaluation panel to the HEI;
- 5) the institution's response to the report indicating its position;
- 6) preparation of a draft opinion by the PKA on the basis of the report of the evaluation panel and the institution's position presented in response to the report;
- 7) decision – resolution of the Presidium of the Polish Accreditation Committee;



8) publication of the report and the decision of the Presidium containing all comments, recommendations or other formal outcomes, as well as higher education institution's response which should be additionally supported with good practices examples confirming quality of provided education or with documentation of students' and graduates' achievements. Additionally, a recommendation to award the certificate and justification included in a report of an assessment team is required.

The HEI during assessment process has an opportunity to read the report and recommendations, and give its response to it in order to justify the quality of provided education.

Criteria and Indicators used:

- 1) Structure of the study programme: concept of education, learning objectives and outcomes;
- 2) Implementation of the study programme: programme contents, timetable for the implementation of the study programme, norms and organisation of classes, methods of education, student placements, organisation of the teaching and learning process;
- 3) Admission to studies, verification of learning outcomes achievement by students, giving credit for individual semesters and years and awarding diplomas;
- 4) Competence, experience, qualifications and the number of staff providing education. Staff development and in-service training;
- 5) Education infrastructure and resources used in the implementation of the study programme and their improvement;
- 6) Cooperation with social and economic stakeholders on the development, implementation and improvement of the study programme and its impact on the development of the degree programme;
- 7) Conditions for and methods of improving the internationalisation of education provided as part of the degree programme;
- 8) Supporting learning, social, academic or professional development of students and their entry on the labour market. Development and improvement of such support;
- 9) Public access to information about the study programme, conditions for its implementation and achieved results;
- 10) Quality assurance policy, designing, approving, monitoring, reviewing and improving the study programme.

Gender, diversity, and excellence:

Official documents on Excellence in Education Certificate refer to the Act of 20 July 2018 on Higher Education and Science as a basic document where criteria for programme evaluation are set. They also state that the activity of the Committee is subject to external review in order to demonstrate that its operations are consistent with standards and guidelines specified for quality assurance agencies working within the European Higher Education Area and that detailed criteria for programme assessment take into account the provisions of the Standards and Guidelines for Quality Assurance in the European Higher Education Area.

Excellence refers to outstanding results (outputs) of education provided by the HEIs supported by good practices examples and/or proof of students' and graduates' achievements. Good practices must be: effective, universal, innovative, exemplary, ethical, sustainable.



| | |
|---|--|
| Best Quality Employer | 2016 |
| Award | National biuro@certyfikacjakrajowa.org.pl |
| http://certyfikacjakrajowa.org.pl/best-quality-employer/ | |
| Awarding body: | Centralne Biuro Certyfikacji Krajowej/ Central National Certification Bureau |
| Target Audience: | Business/others+Research and HE all employers operating within business + research and HE sectors |

Overall description:

Award is given to employers who, in general, follow good practices in employment policy, effectively manage human resources, ensure stable employment, support the development, exchange of knowledge and further training of employees, enable the implementation of interesting projects and acquiring new competences, care about the balance between work and personal life of employees and cultivate organizational culture and a good atmosphere at work.

Validity

no time limit

Eligibility and requirements:**Eligibility**

An employer who, in general, follow good practices in employment policy, effectively manage human resources, ensure stable employment, support the development, exchange of knowledge and further training of employees, enable the implementation of interesting projects and acquiring new competences, care about the balance between work and personal life of employees and cultivate organizational culture and a good atmosphere at work

Requirements

send an application to HR department of the certifying institution

Other information

in 2016 10 institutions awarded; in 2017 12 awarded; in 2018 10 awarded and in 2019 9 awarded.

Business model:

The main source of funding seems to be the certifying institution (not confirmed).

Certification process, assessment, and support:

- 1) application form send by the employer to HR department of awarding institution;
- 2) media monitoring carried out by awarding institution.

One year of promotional and communicational support provided for the awarded institution

Criteria and Indicators used:

1. Employment quality;
2. Rotation of employees;
3. Forms of employment;
4. Development of employees' professional qualifications and trainings;
5. Career and promotion paths;
6. Recruitment conditions;
7. Competence management.



| | |
|---|---|
| University Leaders/ Uczelnia liderów | 2011 |
| Certification http://www.uczelnia-liderow.pl/strona-3 | National biuro@fundacja-edukacja.org.pl |
| Awarding body: | Fundacja Rozwoju Edukacji i Szkolnictwa Wyższego/ Foundation for Development of Education and Higher Education |
| Target Audience: | Research and HE |

Overall description:

Certificates are awarded to universities whose graduates are well prepared to perform professional roles, consistent with their education profile. It means that certificates are given to universities and their basic organizational units (faculties, units), that can be characterized by innovative activities focused on practical education of students, creation of leadership attitudes and active cooperation with labor market entities. There are different levels available: Leaders University certificate, silver certificate, gold certificate, platinum certificate, 'Primus' Special Award and 'Best Quality Education' Special Award

Validity

One year, renewable

Interlinkages with other certification schemes

Requirement of provision of information on certifications awarded

Interlinkages with national quality assurance mechanisms

Requirement of provision of information on national accreditation awarded

Eligibility and requirements:**Eligibility**

University- and non-university type institutions (uczelnia akademicka and uczelnia zawodowa)

Requirements

Send an application form and self-evaluation report

Other information

in 2015 56 institutions awarded; in 2016 – 47 awarded; in 2017 – 35 awarded; in 2018 – 36 awarded and in 2019 – 35 awarded

Business model:

The Foundation for the Development of Education and Higher Education was founded in 2010 from the initiative of academic staff of the Silesian Voivodeship universities and the teaching environment of the region. It gathers funds from research projects, publishing house, organizing trainings and workshops, issuing opinions.

The main source of funding is the applicants' fees.

Certification process, assessment, and support:

The HEI sends the application and self-assessment to the awarding institution. Then the application is evaluated on formal (if it is filled correctly, if it is sent by an eligible subject and if it is complete) and content basis. Applications accepted by the awarding institutions are forwarded to the evaluation panel who award points and decides on the result. HEIs undergo independent evaluation by external experts, which allows them to obtain feedback on the quality of university management and helps to improve the effectiveness of university activities in the field of teaching and cooperation with the environment.

Criteria and Indicators used:

- 1) educational offer of the HEI;
- 2) solutions implemented at the HEI or its organizational unit aimed at shaping students' creativity, ingenuity and pro-innovative attitudes;
- 3) didactic solutions ensuring practical education of students;
- 4) forms and scope of HEI's cooperation with entrepreneurs and other entities of the external environment;



- 5) solutions for ensuring the quality of education;
- 6) activities of the academic career office;
- 7) opinions on universities formulated by students, graduates and employers.

| | |
|---|--|
| Equal Opportunities Company/ Firma Równych Szans | 2006 - Last edition in 2007, competition organized within Gender Index project financed with UE funds so it stopped when project ended |
| Ranking http://ekonomiaspoleczna.info/media/biblioteka/wb/przewodnik-dobrych-praktyk-firma-rownych-szans.pdf | National mlelinska@konfederacjalewiatan.pl |
| Awarding body: | Competition Jury (Rector of the SGH Warsaw School of Economics, Director of the UNDP Poland, President of the Lewiatan Confederation, Professors from the Economic University in Wrocław) Business/others+Research and HE (small, medium and big companies, public and private ones, including higher education institutions) |
| Target Audience: | |

Overall description:

The goal of the Equal Opportunities Company competition was to select Polish business leaders (incl. HEIs), introducing the most effective management solutions in the field of equality between women and men in the workplace. The Equal Opportunities Company competition was a proposal to prevent discrimination in the workplace and optimal use of the company's human resources.

There were two different levels: award for small and medium companies, award for big companies.

Validity

No time limit

Eligibility and requirements:**Eligibility**

small, medium or big companies, public or private (incl. HEIs) employing at least 10 people of different genders and operating within Polish labour market for at least 3 years

Requirements

send an application

Other information

in 2006 56 applicants and 10 companies awarded, in 2007 130 applicants and 10 companies awarded

Business model:

Competition was organized as part of the research project titled Gender Index focused on creating tool for gender equality management in companies. Project was funded by EU and human resources were provided by its members - people involved in project realization.

Certification process, assessment, and support:

First 100 companies that sent application were selected for assessment. Assessment process was based on narrative statements of companies' employers (which, where needed, were supported with quantitative reports). Assessment was based on gender index criteria. Basing on narrative statements and quantitative



data the order of evaluated companies was determined according to each criterion (question). First place was assigned to companies having the most favourable intensity of examined criteria. If a company did not provide information or replied that do not collect relevant data then it was classified at the last place according to the criteria considered. Total ranks, assigned to each company in a given area of evaluation, designated its place in the overall ranking. Partial rankings, built for specific areas of human resource management, formed the basis for determining the overall value of the equal treatment ratio for men and women in the workplace. This indicator was determined as a weighted average of the places occupied by surveyed enterprises in partial rankings, with the weights determined on the basis of employee opinions regarding the importance of particular areas for equal treatment. One of the project outputs was toolbox with examples of good practices identified in companies taking part in the competition.

Criteria and Indicators used:

1. Recruitment process
2. Access to promotions
3. Protection against firing
4. Access to training
5. Salaries
6. Work-life balance
7. Protection against sexual harassment and mobbing

Gender, diversity, and excellence:

Except for gender, age of employees and feminization of the workplace were taken into consideration when analysing results from the conducted questionnaires.

There was a strong link to European law on gender equality and equal treatment.

| | |
|---|--|
| Trustworthy Employer/ Pracodawca Godny Zaufania | 2009 |
| Award | National |
| https://pracodawcagodnyzaufania.pl | biuro@pracodawcagodnyzaufania.pl |
| Awarding body: | Jury of the Competition |
| Target Audience: | Business/Others (companies hiring over 50 people and operating in Poland) |

Overall description:

The main goal of the Trustworthy Employer Competition is to promote responsible human resources and social policy, compliant with European standards. This title is awarded to companies and institutions that in the field of human resources policy reach for interesting and effective solutions - taking into account the professional development of employees and protection of their rights.

Categories: internship programme, volunteering, motivation, education, health, safety, disabled-friendly company

Validity

Not available

Eligibility and requirements:

Eligibility

companies hiring over 50 people and operating in Poland

Other information

every year the awarding institution gives this title to 3 companies

Business model:

The main source of funding seems to be the awarding institution (not confirmed).



Certification process, assessment, and support:

Not available

Criteria and Indicators used:

Not available

Good Climate for a Family/ Dobry klimat dla rodziny**Award**

<https://www.prezydent.pl/archiwum-bronislawa-komorowskiego/dla-rodziny/konkurs-pracodawcy/>

2014 (only one edition because the president and policy on family changed)

National

dlarodziny@pl.pwc.com

Awarding body:

Presidential Couple of Republic of Poland/ Para Prezydencka RP

Target Audience:

Business/Others [companies (private and public), NGOs]

Overall description:

The competition aims to disseminate best practices in family-friendly employment by highlighting successful employers in this area, in particular aims to: presentation of employers creating family-friendly working conditions, free of discrimination on grounds of parenthood and the resulting family responsibilities; dissemination of best practices in shaping relations at the employer - employee level, by showing employers' solutions for reconciling work and parenthood; promoting the image of the employer as a socially responsible entity.

Different categories:

- 1) companies employing up to 49 people;
- 2) companies hiring from 50 and up to 249 employees;
- 3) companies hiring more than 250 employees.

Validity

No time limit

Eligibility and requirements:**Eligibility**

companies (private and public), NGOs, operating in Poland for at least one year before applying in competition and hiring people on employment contracts

Requirements

submit application consisting of two parts: application form and employer questionnaire. Second document consists detailed questions on work/life balance solution provided by a company

Other information

more than 100 applications, and 4 award holders in 2014

Business model:

Competition had its organizer, coordinator, partners and supporting institutions. While organizer (the office of the President) provided funding for the competition and was responsible for preparing and publishing of promotional materials, partners and supporting institution were responsible for substantive support of the organizer and for promotion of the competition in the media. The main source of funding is the governmental Institution sponsorship

Certification process, assessment, and support:

On the basis of received employers questionnaires, the Organizer and the Coordinator of the Competition selected at least eight companies in each competition category, which received the highest rating, but not more than 60 companies in total, in all categories. The Competition Coordinator sent to the companies selected in the 1st stage of the Competition another application form containing open questions that deepen the information gathered during the 1st stage of the Competition. Each application was evaluated by at least two experts: a representative of the Competition Organizer or a person designated by the Competition Organizer, and a representative of the Competition Coordinator. The Competition Coordinator asked each of the company selected in the 2nd stage of the Competition to provide contact database of employees providing care to children under 14 years of age. The Organizer and the Coordinator of the Competition selected a group of employees to whom the employee's survey was sent - to be completed. Basing on the results of the employee's survey, the application containing open questions and the employer's questionnaire, the Competition Coordinator prepared an assessment report of the given company. After reviewing the reports submitted by the Competition Coordinator, the Competition Jury selected at least three companies in each of the competition categories and recommended them to the Presidential Couple. The Couple selected Winners of the Competition. Best practices were provided to all award seekers.

Criteria and Indicators used:

- 1) Company's approach to reconcile life and work by employees;
- 2) Flexible work arrangements, solutions for working time and holidays, used to reconcile work and family life by employees;
- 3) Solutions supporting employees used during breaks related to parenthood;
- 4) Solutions for reconciliation of work and family life related to leisure, free time, health and education;
- 5) Solutions materially supporting employees-parents;
- 6) Solutions that help employees look after children.

Gender, diversity, and excellence:

There is an explicit reference to national family policy; companies providing solutions to work/life balance are considered as excellent in management.



| | |
|---|--|
| Family-friendly Employer/ Pracodawca Przyjazny Rodzinie | 2015 |
| Award http://www.rops.krakow.pl/lewa/dziecko-i-rodzina-10/konkurs-malopolski-pracodawca-przyjazny-rodzinie-95.html | Subnational biuro@rops.krakow.pl |
| Awarding body: | Regionalny Ośrodek Pomocy Społecznej w Krakowie and Małopolski Urząd Pracy/ Regional Center of Social Policy in Kraków and the Małopolska Labor Office |
| Target Audience: | Business/Others [companies (private and public), NGOs] |

Overall description:

Family Friendly Employer Competition is aimed to employers who, go beyond the obligations set out in general labour law, also apply other solutions aimed at supporting employees in reconciling work and family life.

Different categories:

- 1) companies employing up to 25 people;
- 2) companies hiring from 25 and up to 245 employees;
- 3) companies hiring more than 250 employees.

Validity

No time limit

Eligibility and requirements:**Eligibility**

employers who operate in the Małopolska region at least for 12 months and provide solutions for work-life balance

Requirements

fill out application form

Other information

24 award holders

Business model:

The organizers of the competition provide resources, both monetary and effort-wise. As both of the institutions are public entities money come from state budget (voivodeship budget)

Certification process, assessment, and support:

After receiving applications from employers applications are reviewed by Jury who assigned points to indicators in specific areas (criteria). Employers having the highest notes are the winners. Best practices are provided.

Criteria and Indicators used:

1. Employment, and work organization
2. Organization of child-care for employees
3. Material support for parents-employees
4. Health, leisure and free time of employees
5. Other solutions introduced by the employer to help employees reconcile work and family life

Gender, diversity, and excellence:

Excellence is linked with provision of solutions for work-life balance



PORTUGAL

[Link to references](#)

National CAS:

- Prémio Igualdade é Qualidade
- Prémio Viver em Igualdade
- Norma Portuguesa 4552:2016 - Sistema de Gestão da Conciliação entre a Vida Profissional, Familiar e Pessoal

Number of HRS4R awardees:

- 1 (as of 30/06/20)

National context for Quality Assurance and Accreditation

In Portugal the mechanisms for national evaluation of research quality are defined and promoted by State – the **Science, Technology and Higher Education Ministry (MCTES)** and **Foundation for Science and Technology (FCT)**.

Quality **evaluation is closely linked to the funding of research** and may consist of: evaluation of the research units, their production and teams; project evaluation, evaluation of advanced training programs, the activities developed and the quality of scientific production.

On the other hand, evaluating quality of the research through the funding and grants conceded to research projects is an **ex-ante evaluation**, so we cannot say that it *certifies* the quality of the research produced.

An assessment of the National System of R&I (FCT, 2014) pointed out the “scarce activity of policies and programs evaluation as a major problem of the system”. The only mechanism for research quality is the conduction of an **assessment of the activity and working conditions of the R&I units**.

In the activity assessment, the quality of the research is evaluated through the scientific merit of the team of integrated Phd researchers, and in the cases of PhD grants the attribution of the grade by the university acts as a guarantee of the quality of the research. It is impossible to say that the quality of the research projects is clearly stated and easy to access.

Summarizing, **the evaluation of research in Portugal is currently not participative**, based on reports, self-assessments, and a single visit, with all the limitations and obstacles this kind of evaluation faces. (Remenyi and Sherwood-Smith, 1999)

The mechanisms for the national evaluation of Higher Education quality and accreditation in Portugal currently are established by the **Agency for Assessment and Accreditation of Higher Education (A3ES)**¹⁴⁹. This agency is a private law foundation whose goal is to assure the quality of higher education in Portugal, through the evaluation and accreditation of higher education institutions and their study cycles.

¹⁴⁹ Created by Decree-Law 369/2007 after the “new Juridical Regime for the Assessment of Higher Education Law 38/2007.



The evaluation process consists in the analysis of a self-assessment of the study cycle produced by the institution and submitted to the agency, plus a visit of two days of the evaluation panel.

An evaluation report is produced at the end of these two phases; following that, the accreditation can be fully conceded for a 6 years period or it can also be conceded conditionally for 1 or 2 years with request of changes or not conceded at all to the course¹⁵⁰. The institution can always ask for revision. The consequences of this evaluation and accreditation process is that “only degrees that are accredited can run” (article 61 Law 38/2007). However, **quality assurance is a responsibility of the rector**, in the case of a university, or the president in the case of other higher education institutions (article 92 Law 38/2007).

In general, ‘quality improvement’ rests with the institutions, within their autonomous sphere, and the ‘accountability’ side of quality assessment is assured by the state, via A3ES, which evaluates and accredits degrees (Magalhães 2019; Sarrico et al, 2013).

Trying to make a balance of these years of A3ES work, Sarrico, Veiga, & Amaral claim that “external evaluation processes conducted under the framework of A3ES have impacted on the reorganisation of structures and processes at institutional level. While identifying ‘agencification’ (Gornitzka and Maassen 2000) as a tendency taking place, the influence exercised by A3ES triggers specific adaptations to meet external evaluation requirements.”. It is important to recall that evaluators of internationally recognized merit and competence, coming from national and foreign institutions, take part in the evaluation panels. (Sarrico, Veiga, & Amaral, 2013)

In their regulations and procedures, **none of these mechanisms considers gender and diversity** as criteria of evaluation and/or accreditation. They do not consider gender or diversity in terms of the research team’s composition, departments and faculties team’s composition nor research or teaching areas.

While the FCT peer review guidelines for research projects and PhD grants state that evaluation jury ought to be gender balanced and geographically and institutionally distributed, an analysis of the last years evaluation panels of research projects (which are published in FCT site) shows that although the geographic and institutional representation is always present, the gender representation does not.

Gender in research and higher education

In what concerns specific national policies on Gender in Higher Education and/or Scientific Research & Innovation in Portugal, **gender mainstreaming** started to gain a legal background in 2007, based on four council of ministers’ resolutions and one piece of legislation¹⁵¹. This legislation mainly targets the economic and political participation of women and their access to decision-making positions.

It was only in the last few years that concern about gender mainstreaming in research and higher education in Portugal began to emerge. While other sectors developed gender equality plans (for example, local entities and public companies), which have been imposed as an obligatory measure, education had not been taken into consideration until recently.

¹⁵⁰ Intermediate processes of conditional accreditation of one year subject of organizational changes according to the recommendations of the panel can also occur.

¹⁵¹ Council of ministers’ Resolution No. 19/2012 of 8 March; No. 161/2008 of 22 October; No. 70/2008 and 49/2007 of 28 March; and Law No. 133/2013 of 3 October.



Universities have not always been considered by the National Equality Plans, in part due to their representation as neutral institutions. (Sales Oliveira and Augusto, 2017)

“In 2009, when the University of Beira Interior started working towards the development of a gender equality plan whose design and implementation some of us were responsible for, it represented a pioneering initiative at the national level. Up until then, no other Portuguese university had any organisational intervention in this area, unlike their European counterparts, namely in neighbouring Spain (Sales Oliveira and Villas-Boas 2012). However, it is important to say that in Portugal, differently from the majority of the countries that implemented this measure, implementing gender equality plans at universities and research centres is not mandatory by law which is to say that University of Beira Interior’s initiative was completely voluntary.” (Augusto et al 2018)

Stating the relationship between gender equality and quality/excellence in research and/or in education, in the **4th National Plan for Equality, Gender, Citizenship and Non-discrimination (2011-2013)** research is signalled as a strategic area.

In the period of **2011-2013** the topics addressed were data collection, monitorization of critical policy areas; the continuation of a **protocol** signed between the Commission for Citizenship and Gender Equality and the Foundation for Science and Technology to finance research projects that deepen scientific knowledge on Gender Social Relations; monitor the number of researchers broken down by sex and scientific areas (measure 47).

In this period three universities were selected to receive financial support to set up gender equality plans but it is important to highlight that the funding they used was not specifically targeted at funding universities and research institutions (EIGE, 2019). These HEI took advantage of the creation of National Strategic Reference Framework (QREN) - that was institutionalised in Portugal to regulate the application of EU’s economic and social cohesion policies - using Potential Thematic Operational Programme (POPH) intervention typology 7.2, which focussed on funding Plans for Equality.

These examples (especially UBI, the first Portuguese public university with a GEP as early as 2011 and maintaining a strong investment in gender equality until now) called the attention to the importance of considering HEI and Research institutions when promoting gender equality, and opened the door to the current situation of investment in the area of research and high education. Despite the fact that no more national funding programmes were available for universities, the current projects of gender equality plans are all funded directly by European programmes such as Horizon 2020 most of them in consortium with other European Institutions.

In the period **2014-2017** all the measures from the previous plan were discontinued and in the new plan there was the introduction a Gender Studies category into the funding programme of the Foundation for Science and Technology (FCT) , in order to support research in Portugal.

In the beginning of 2018, the **National Strategy for Equality and non-Discrimination 2018-2030 - Portugal + Equal (ENIND)** was adopted. The Strategy follows previous national plans and focuses on three main domains: 1) equality between women and men; 2) prevention and combat of violence against women and domestic violence; and 3) combat discrimination based on sexual orientation, gender identity and expression and sexual characteristics.

For the first time, the National Strategy focuses on **gender equality in Higher Education and in R&I as a strategic axis.**



Defining the relationship between gender equality and quality/excellence in research and/or in education, ENIND states it as so important as one of the 4 strategic lines of action, namely “inclusive and future-oriented scientific and technologic development”. The elimination of gender stereotypes is one of the fundamental concerns of ENIND. The ENIND also sets, for the first time, [intersectionality](#) as one of its core transversal lines. For example, the strategy aims to involve almost all ministries being transversal to government action.

The ENIND concrete measures in the field of research and high education encompass mainly:

- a) **renewal of the protocol** between the Commission for Citizenship and Gender Equality and the Foundation for science and technology (FCT) in order to promote calls addressing the national scientific community for R&D projects in Gender, Social Relations and Policies for Gender Equality;
- b) **integrating Gender Equality Perspective in Higher Education**, mainly through promoting studies and specific criteria integration, evaluation and accreditation of HE institutions;
- c) **integrating Gender Equality approach in Curricula** and extra Curricula programmes of HE, and
- d) supporting the implementation of effective **Gender Action Plans** in RPOs. (EU, 2019)

In the Action Plan for Equality between Women and Men (PAIMH) 2018-2021 we find two references to [awarding, certification](#), and accreditation of Research organizations and HEI:

the Award for Young Women in Technology, and the development of **specific gender criteria for the integration, evaluation and accreditation** of HEI institutions.. For this purpose the project **GE-HEI - Gender Equality in High Education Institutions** is running aiming to build concrete tools to analyse current practises, and promote women representation and ultimately to create recommendations that facilitate the inclusion of equality criteria in A3E evaluation and accreditation grids (Torres, 2019).

Also worth of mention is the existence of a [GE index for municipalities](#) and a research project of creating of a GE index in UBI. (Aires and Sales Oliveira, forthcoming)

Introduction to the CAS in Portugal

It was possible to collect several examples of Portuguese CAS, though the most part of Awards and Certifications for Academia, while gender-related, are awarded to individuals.

While they are not included among the relevant CAS sheets, Portugal presents numerous CAS awarding research on gender equality, such as the [Premio Maria Lamas](#), the [Maria de Lourdes Pintasilgo Award](#) and the [Teresa Rosmaninho Award](#). Interestingly, there is also an individual prize which focuses on research on gender-based-violence, the [APAV Award](#).

The CAS **Igualdade é Qualidade** also has a category for Prevention of Gender violence in organizational Policies. In what concerns business and others medium priority awards and certifications, the latter is possibly the most interesting because it is very broad-band oriented, with very well structured quality mechanisms and aiming to give opportunity for all kinds of organizations to show their good practices and therefore role-modelling society.

The **Prémio Viver em Igualdade** is a biennial initiative, promoted by CIG (Commission for Citizenship and Gender Equality) within the framework of the National Strategy for Equality and No Discrimination (ENIND). The Award intends to distinguish municipalities with good practices in integrating the gender



equality dimension, citizenship and non-Discrimination at the internal level or within the scope of the territory

The **NP 4452** is also a very interesting case study as it is a Standard that focuses specifically on Gender Equality. Until now no university in Portugal has the certification in this standard but it is perfectly adequate to universities or research centres and could inspire a specific standard for these types of organizations, characterised by specific modes of organizing work.

Is civil society and feminist/women civil society in particular playing a role in the policy development dynamics described in the Report or other type of bottom-up initiatives? What type of organizations/networks are they and how are they active?

[Editor's note: the following answer does not relate strictly to policies regarding Research and Higher Education. In general, it was found that, in the mapped countries, civil society rarely engages with these policy areas specifically, which are rather felt as grounds for advocacy only by engaged academics.]

Understanding "the production of policies as a process" (Dormagen and Mouchard, 2007 in Monteiro, 2012: 207), the relationship between the State and the women's/feminist movements in Portugal has a long history made of consensus and continuity but also disruptions.

We can say that all through 20th century the Portuguese feminist movement was weak, although there were some very active feminists (Tavares, 2008). In face of this fragility, State feminism¹⁵² emerged in the 70s (Monteiro, 2011) and was decisive for the affirmation of feminism and for the women's movements' gain of agency .

CIG (Commission for Citizenship and Gender Equality) the nowadays governmental body for the promotion of gender equality is the descendant of the then created CCF (Commission for Feminine Condition). For this reason, we can say the Commission has an Advisory Board with a NGO section since its beginning. "This advisory board constituted an important space for political institutionalization and articulation for the fragile women's movements and for the women's departments of political parties that have had little or no power within party structures." (Monteiro, 2012: 604). "The relationship between the Commission and the NGOs, which we can describe as having evolved from a symbiotic relationship, in the phase of emerging state feminism, synergistic, in the phase of enhanced state feminism, then fusional in the phase of formal state feminism, changed" (Monteiro, 2011: 434-437). In the beginning of the decade of 2010, the section was dealing with the redefinition of a new profile and with a conflictual cooperation relationship. "In 2007, in line with the new agenda regarding the fight against multiple inequalities suffered by women and against discrimination on grounds of sexual orientation, [CIG] advisory board has welcome organizations related to ethnicity, disabilities, age, religion, sexual orientation and intersectional identities. These changes were widely criticized and protested by women's associations, and were even denounced in the VI-VII^o Shadow Report of CEDAW (PPDM, 2008)" (Monteiro, 2011: 438)". But some years later in a research involving exploratory interviews to these organizations, the action of CIG NGO Section was overall assessed as positive (Alonso, 2012). They consider it an adequate mean of making contacts with other organizations, of managing divergences and, with regard to intersectionality, of raising awareness of multiple inequalities. Even the existence of a certain tension between organizations (...) is considered to be not only expected but also desired" (Alonso, 2012: 598). According to this author, the "Portuguese case offers the possibility to explore the presence of certain aspects that have been considered as facilitators, if not requirements, from an intersectional perspective. Such is the case of the involvement of civil society in the policy-making process. The inclusion of civil society in these bodies appears as an adequate way to pipeline underlying

¹⁵² This concept means that at some point the state, previously seen by most feminist movements, as an opponent and patriarchal rival, will itself become an ally of women's causes, including them in its political agendas.



tensions [meaning a certain level of competition between organizations and institutions that represent different inequalities]" (Alonso, 2012: 599).

Although the economic and social crisis (2008/2013) has strongly affected all Portuguese NGOs (Santos, Veiga, Cruz, Lopes, & Ferreira, 2015) their role supporting vulnerable population groups like women and the LGBTQ+ community was fundamental in this period. It was of particular importance the report made by NGOs of Rights of Portuguese Women to CEDAW highlight the impacts of austerity measures in women (UN, 2015).

Trying to characterize the current situation of women/feminist movements in Portugal we can say, using Peça 2010 words that are still accurate that there are a "variety of voices and demands (...) [of] a significant number of actors, even though power distribution is quite unequal between the associations which constitute it" (2010: 7). In the last years, the cooperation between NGOs and CIG continued to fructify. Two interesting examples are the public consultancy for creating National Strategy for Equality and Non Discrimination (ENIND) in 2018 and the leadership of NGOs in some of the Protocols of Territorialisation of the National Support Network of Domestic Violence Victims established in 2019.

1) Civil society engagement for the development of National Strategy for Equality and Non Discrimination (ENIND) 2016-18

The contribution of civil society for developing ENIND was far more complex and deep than a regular public consultancy. It involved a strongly participated needs assessment and a deep discussion. It was created a partnership between the Equality State Secretariat and Animar, a NGO focused in Local Development. Their two years project promoted civil discussion on equality and citizenship. The discussion, based in street actions, happened in 202 councils (Portugal has 308 councils) and was able to involve 26 000 direct participants. The results were compiled in a publication, the first book by a Portuguese government edited also in braille and audio.

After this stage, working groups were created with the purpose of generating participative discussion around ten axes considered priorities and Gender Equality was one of them. Each group invited 20 institutions representing national and local authorities or civil society to analyze what existed in each area, and what was important to change. In the end 200 concrete proposals were presented to Equality State Secretariat and ENIND was created incorporating a great part of these proposals.

2) Territorialisation Protocol for Local Support Network of Domestic Violence Victims of Cova da Beira

Portugal has currently a strategy of territorialisation of gender equality public policies. The case of Cova da Beira Protocol is of especial interest because not only was one of the first to be signed, but it was also based in an already existent network. As soon as 2009 the Rede Violência Zero (Zero Violence Network) was created. It was an integrated, territorialized and multidisciplinary approach to preventing and combating domestic and gender-based violence. The partners were NGOs, public organizations (such as schools, the university, health centers, council administrations, the court, the hospital, police) and the local victim attendance cabinets. The long time cooperation among these organizations and the peculiar fact of being coordinated by a NGO – Coolabora, (a social intervention cooperative) created unique conditions for its development. Over the years, the results of the local domestic violence processes improved considerably with ever-shorter referrals, responses and resolutions. The current direct partnership with the State Secretariat for Equality and CIG created the ideal conditions to spread the action of the network and share its good practices at national level.

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| | |
|---|--|
| Prémio Igualdade é Qualidade | 2000 |
| Certification http://cite.gov.pt/pt/premioigualdade/index.html | National geral@cite.pt |
| Awarding body: Target Audience: | CITE and CIG Business/Others (Private companies, public companies and NGOs with at least 3 years of activity previous to the application) |

Overall description:

The Equality is Quality Award aims the public recognition of companies and other employers entities that - in addition to complying with the legal provisions relating to gender equality and non-discrimination – go further in the promotion of equality between women and men at work, employment and training professional, through the adoption of effective, positive, preventive or innovative principles and measures. After its 11th edition it has added a new category that addresses the promotion of practices aimed at preventing and combating domestic and gender-based violence, with a view to correcting existing situations of inequality. It is an annual award but an analysis of the editions shows that it has sometimes been biannual. Initially promoted only by CITE (Commission for Equality in Work and Employment) since 2009 has been promoted jointly by CIG (Commission for Citizenship and Gender Equality) and CITE. The award doesn't have a monetary prize it concedes a symbolic object (medal or trophy), a certificate and a label. There are different categories: a) Private sector b) Public sector and c) Social economy sector. A very interesting aspect is the modality of "Good company practices in gender-based violence" which can be attributed to each or none of the winners of the 3 categories.

Validity:

2 years, renewable

Interlinkages with other certification schemes // No

Interlinkages with national quality assurance mechanisms // No

Eligibility and requirements:**Eligibility**

Private companies, public companies and NGOs with at least 3 years of activity previous to the application. Moreover, "compliance with the legal provisions relating to gender equality and combating discrimination, provided for in the Labor Code and the General Labor Law in Public Functions, as well as in other relevant national or international instruments, namely in collective labor agreements, international labor conventions gender equality work and conventions is a prerequisite for submitting an application to PIQ".

Requirements

To send an application to CITE composed by the form and the required documents in physical and digital support.

Other information

41 organizations distinguished until the moment

Business model:

The award involves a large group of public organizations. It has 3 phases of evaluation: the initial is administrative and is developed buy CIG and CITE. The second is technical and it is also conducted by CIG and CITE, and the final appreciation of the applications is made in a meeting of the evaluation committee. The Award Evaluation Committee is composed by numerous public bodies and organisations. The Evaluation Committee deliberates on the admission or exclusion of applications, attribution or non-attribution of the PIQ or the revocation of any distinction previously by a simple majority of the votes of the members present. The main sources of funding are the participant public bodies (mainly CIG and CITE).



Certification process, assessment, and support:

Phase 1 comprises the following steps:

- a) Receipt and registration of applications;
- b) Verification of all the documentation required in the Application Form and analysis of the data presented in the form;
- c) Request to companies and other employers who are candidates for additional information, within a period not exceeding ten working days, if the elements presented have not been clarifying;
- d) Request to the members of the Evaluation Committee for specific measures
- e) Organization of all the information as well as the specific assessments referred to in point (d);
- f) Preparation, on a reasoned basis, of proposals for acceptance and / or exclusion of applications submitted, for analysis and deliberation of the Evaluation Committee, without prejudice to the provisions of the following article.

Phase 2 encompasses

- a) visits to companies and other candidate employers;
- b) Completion of evaluation grids, attached, as applicable;
- c) Preparation of a reasoned final report, establishing a comparative ranking, for each indicator / criterion, among all companies and other candidate employers;
- d) Preparation of reasoned proposals for deliberations and / or measures to be taken in relation to each application, to be submitted to the Evaluation Committee in relation to each application, to be submitted to the Evaluation Committee.

Phase 3 consists in the final meeting of the Evaluation committee.

Criteria and Indicators used:

Existence of the following policies and practices:

- a) Implementation of human resources management that promotes equality gender and reconciling professional, family and personal life;
- b) Promotion of gender equality translated, namely, in a plan for equality, with a view to eliminating situations of inequality and progression equality in the company or entity;
- c) Promotion of a systematic way of hiring men and women to areas where they are underrepresented;
- d) Promotion of a more balanced representation of men and women in various professional categories, especially in the leadership and management positions, formalizing a policy that fits it;
- e) Promotion of internal training actions and awareness raising actions in gender equality that cover the largest number of workers and workers of different levels and professional categories of the entity, including for managerial positions;
- f) Promotion of reconciliation between professional, family and personal life, namely through: flexible forms of organization (flexibility of schedule, compressed schedule on a reduced number of days per week, mobile office, telework, continuous journey); leave periods extended; career break periods; flexible mechanisms for monitoring of ascendants and / or descendants and specific measures that favour integration into the working life of male and female workers who have interrupted their career for family reasons;
- g) Use of inclusive language and images in all documents of the company or entity and institutional website, as well as in the processes of internal and external communication;
- h) Adoption of business measures and practices to prevent and combat violence domestic and gender;
- i) Inclusion in the satisfaction assessment instruments (social climate and organizational) issues related to gender equality, reconciliation between professional, family and personal life and with prevention and combating domestic and gender-based violence;
- j) Carrying out a quantitative and qualitative analysis of the situation of employees of the company or entity, broken down by gender, and monitoring their evolution;
- k) Adoption of positive discrimination measures in favour of sex underrepresented in the recruitment and selection of new workers and new female workers;
- l) Adoption of rules that ensure respect for the dignity of men and women in the workplace and to protect them in the event of unwanted behaviour, manifested in verbal, physical, sexual or other nature, also creating remedial measures;
- m) Adoption of measures to reduce the gender pay gap;



n) Adoption of direct benefits to male and female workers and family members.

Gender, diversity, and excellence:

There is no intersectional approach: the documentation available there is reference or evidence of that approach it is most focused in a binary and "traditional" gender equality approach. There are references to the national plans for GE and to the national legislation promoter of gender equality in work.

Linking gender and excellence, In the regulation preamble it is argued that management excellence is strongly connected with gender equality practices and the need to create in the final consumer the demand for a total quality performance of the companies.

| | |
|---|---|
| Prémio Viver em Igualdade | 2012 |
| Certification https://www.cig.gov.pt/acoes-no-terreno/premios-e-concursos/premio-viver-em-igualdade/ | Regional premio.viver.igualdade@cig.gov.pt |
| Awarding body: | CIG |
| Target Audience: | BUSINESS/OTHERS (Local municipalities, parishes, intermunicipal communities) |

Overall description:

The Award Living in Equality is a biennial initiative, promoted by CIG (Commission for Citizenship and Gender Equality) within the framework of the National Strategy for Equality and No Discrimination (ENIND) - Portugal + Equal - specifically registered in the three National Action Plans that define strategic objectives and specific in matters of equality between women and men (HMI), prevention and combat of violence against women and domestic violence (VMVD) and discrimination based on sexual orientation, gender identity and sexual characteristics (PAOIEC). Although currently the award is inscribed in the ENIND its creation was previous to it and associated to the 4th National Plan for Gender Equality. The Award intends to distinguish municipalities with good practices in integrating the gender equality dimension, citizenship and non-discrimination at their internal level or within the scope of the territory. It can be based in the structure and operation of the organization; in the planning, implementation, monitoring and evaluation of the concretization of measures and/or in the accomplishment of actions. The award consists in a Certificate of Merit, for use in the communication of the Autarchy, which stats that the municipality is recognized as one of the local best places to live in equality in Portugal.

It admits several winners (a maximum of 7 until now) and several honourable mention (a max of 12 until now).

Validity

Two years

Eligibility and requirements:

Eligibility

Local municipalities, parish councils, intermunicipal communities

Requirements

To submit an application in digital format including, without omission, all documentation listed below:



- Registration Form correctly completed, signed and authenticated, in accordance with the template made available for that purpose in the opening notice;
- Application Document, according to the following instructions: document delivered in pdf format, with the integration of the Autarchy logo, with a number of pages not exceeding 20 (not including the Annexes), 1.5 line spacing, font size 12, Arial font, 2.5cm margins, not to exceed 4.5 MB and all pages must be numbered.

The information contained in the Application Document must be evidenced through documents or other types of support to prove them (examples: videos, photos, posters, among others).

The Application Document must include the following topics:

- 1) Index
- 2) History of the work carried out by the Municipality in the area of equality, citizenship and non-discrimination;
- 3) Explanation of the means and processes used to pursue the objectives set, identification of the target audience, the process of implementation, monitoring and evaluation incremented, of the measures implemented and actions taken and of the results achieved, in view of the proposed objectives;
- 4) Brief presentation of local public policy instruments for equality existing, such as:
 - Local Gender Diagnosis;
 - Municipal Plan for Equality
 - Report on the execution, monitoring and / or evaluation of the Municipal Plan for Equality, with data disaggregated by sex; Appointments for the appointment of Councilors / Local Equality and Equity Teams work, namely Teams for Equality in Local Life;
 - Practices that reveal the integration of the perspective of gender equality, citizenship and non-discrimination: a) in the structure and functioning of the organization; b) In planning, implementing, monitoring and evaluating the achievement of development measures and actions, both internally and externally.

Other information

24 municipalities certificated. Honorable mentions: 31 municipalities and 1 intermunicipal community

Business model:

The decision on the awarding is of the responsibility of a Selection Jury, based on the prior evaluation, carried out by a Technical Evaluation Committee, created for this purpose. The Selection Jury consists of three elements: the President of CIG, who chairs and has the casting vote; a person from the Consultative Council of the CIG NGO Section, working in the area of promotion of Equality and Non-Discrimination at the municipal level; a personality linked to a study center that works in the area of Plans Municipalities for Equality. The Jury will be assisted by two people from CIG, appointed by the President of CIG who will provide technical follow-up to the work of the Jury. One of these people is connected to the municipality's work accompanied by the headquarters in Lisbon and another by the North Delegation. The main source of funding is the certifying Institution

Certification process, assessment, and support:

Applications submitted are evaluated according to their consistency with the objectives of the competition. In the evaluation of applications, account will be taken of practices that demonstrate the pursuing the objectives of ENIND and the National Plans in different domains, such as for example the production of information disaggregated by sex or the conciliation of professional, family and personal life.

Criteria and Indicators used:

The scoring grid for applications is structured according to the following criteria:

- Relevance and consistency of the documentation presented in relation to the objectives of the contest;
- Means and processes used to achieve the objectives;



- Nature of the target audience: extension and diversity;
- Type and scope of measures implemented and actions taken;
- Results achieved in relation to the proposed objectives;
- Sustainability of the actions developed.

Gender, diversity, and excellence:

An intersectional approach is mentioned in the regulation.

| | |
|---|---|
| Norma Portuguesa 4552:2016 - Sistema de Gestão da Conciliação entre a Vida Profissional, Familiar e Pessoal | 2016 |
| Certification | National |
| http://www1.ipq.pt/PT/site/clientes/pages/documentViewer.aspx?ctx=&local=Internet&documentId=IPQINTER-380-163528&tipoSubscricao=1 | ipq@ipq.pt |
| Awarding body: | Bureau Veritas; APCER; SGS ICS - Serviços Internacionais de Certificação, Lda. |
| Target Audience: | Business/Others |

Overall description:

The NP 455:2016 is a certificated quality standard that settles the rules for Portuguese organizations to implement, maintain and manage a System of Management of Conciliation, with the possibility of obtaining the certification of its policies and Conciliation practices. It is suitable to companies, municipalities, public organizations or NGOs. It goes beyond the formerly created NP 4522: Family Responsible Organizations as it encompasses not only the perspective of the professional and family life, but also the personal life, enabling the certification of organizations in all these matters.

Validity

3 years, renewable

Interlinkages with other certification schemes :

In February 2014, NP 4522: 2014 - Standard for Family Responsible Organizations was published, which is a guiding instrument for family responsible policies and practices for organizations. Following this instrument, this Standard aims to respond to the need felt by organizations to have a management system that allows the certification of said policies and practices in matters of Conciliation between Professional, Family and Personal Life.

Interlinkages with national quality assurance mechanisms:

This Standard was developed by the Technical Commission for Standardization CT 179 “Organizations Family Responsible”, whose coordination is ensured by the Sectorial Standardization Body, Portuguese Association of Business Ethics (ONS / APEE)

Interlinkages with Research Funding regulations/processes

Specific funding lines were created to support the certification in these norms.

Eligibility and requirements:

Eligibility

organizations from private or public sector or an NGO

Requirements



You need to implement the norm, and then ask for the certification

Other information

9 companies certified and a total of 58 applicants, all funded by the support financial line

Business model:

The main source of funding are the applicants' fees

Certification process, assessment, and support:

The applicant must implement the standard and then proceed to an internal audit. Afterward the applicant must ask for an external audit to obtain the certification.

Criteria and Indicators used:

1. Generic measures
 - Declaration at the highest level of recognition of the importance of a family and personal responsibility policy;
 - Incorporation in the formal policies of the organization of respect for family and personal life;
 - Self-assessment of the organization's needs in the context of reconciling professional, family and personal life;
 - Evaluation by the organization itself, and in particular by workers and stakeholders, of the policies and practices adopted and integration of the results of this evaluation, taking into account the organizational culture;
 - Incorporation of inclusive language and forms of communication that respect the principles of equality;
 - Promotion of these themes in collective bargaining and internal regulations;
 - Budget forecasting, as far as possible, for the implementation of family-friendly policies and measures.
2. Ways of organizing working time
 - Working hours in terms of flexibility or adaptability;
 - Working hours on a continuous day basis;
 - Part-time work on the initiative of the male and female worker and reversibly;
 - Concentrated time for conciliation purposes;
 - Working on an hourly basis, for the purposes of conciliation;
 - Organization of shifts and / or rotating schedules, according to the needs of conciliation;
 - Work at home;
 - Mobile office;
 - Telework;
 - Conducting meetings through videoconference;
 - Implementation of time limit for scheduling meetings;
 - Policy of the lights off;
 - Reduction of the weekly working period (Friday afternoon, bridges).
3. Protection of parenting and family assistance
 - Provision of information on parenting (rights and duties of both parties);
 - Allocation of monetary and / or in-kind benefits (birth, childcare kits, scholarships and study grants, baskets with food products, insurance, etc.);
 - Assignment of incentives for the enjoyment of parental leave with a duration equal to or longer than that provided for by law, as a positive action measure, in relation to workers;
 - Concession of licenses with a longer duration than those foreseen in the law to male and female workers, to accompany younger or disabled sons and daughters;
 - Hiring, systematically, employees to replace male and female workers on parental leave;
 - Monitoring of male and female workers, in a systematic way, which may involve, namely, training and updating knowledge, after a period of prolonged leave.
4. Exemptions, absences and leave to reconcile family and personal life



- Use of leave without pay, for reasons of reconciling family and personal life; •Assignment of exemptions, for reasons of conciliation;
 - Facilitating the booking of vacations;
 - Granting additional vacation days;
 - Facilitating the justification of absences motivated by reasons of conciliation and / or assistance to the family;
 - Granting sabbatical leave;
 - Exemptions for volunteer activities.
5. Social benefits and financial support for male and female workers and their families
- Own social equipment, to support dependents (eg day care, kindergarten, summer camps and nursing homes);
 - Protocols with entities outside the organization and / or financial support for the payment of reception services, education and health and well-being (eg subsidies for the reception of the elderly, children and people with disabilities, home support, day centers, health insurance, scholarships, payment for books, child ticket, playroom and gym);
 - Babysitter service during travel or overtime;
 - Protocols with companies that guarantee the transport of children;
 - Disclosure of existing resources in the geographic area of the organization and / or the residence that facilitate reconciliation (eg daycare centers, nursing homes);
 - Health and life insurance, extended to family members;
 - Supplements to social security benefits (eg sickness, disability and death benefits);
 - Plan for retirement supplements;
 - Internal transport service or payment of a transport allowance to male and female workers;
 - Supply of equipment: mobile phone and laptop for professional and personal use; •Assignment of company car for professional and personal use;
 - Free or affordable parking;
 - Access to health services in facilities

Gender, diversity, and excellence:

It is argued that better conciliating professional, personal and family life favours the decreased absenteeism, increased productivity and retention of talent also contributing to demographic sustainability. This is a cultural change that requires calling on the whole of society and assume a collective commitment with short, medium and long term impact.

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ROMANIA

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| | |
|---------------------------|----------------------|
| National CAS: | None |
| Number of HRS4R awardees: | • 4 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

The Quality assurance methodology is correlated with the European Standards and Guidelines for Quality Assurance in HE. The national accreditation and evaluation of Higher Education quality is implemented according to these standards by the **Romanian Agency for Quality Assurance in Higher Education (ARACIS)**, member of the European Association for Quality Assurance in Higher Education. The Agency is an autonomous public institution that also supports the **Ministry of Education and Scientific Research (MECS)** by proposing strategies and policies for the improvement of HE quality. It designs methodology and standards for accreditation in the various scientific fields, it formulates and reviews the national standards of reference and the performance indicators for quality evaluation and assurance in higher education. In order to establish the priorities of quality assurance, **ARACIS consults with HEIs**. The quality assurance, detailed in the Methodology, covers three key fields:

- institutional capacity
- educational efficacy
- quality management

Each field features associated criteria, standards and performance indicators. The quality evaluation carried out by the Agency is an independent, external service that involves contracted evaluators. The accreditation process consists in the verification of the managerial activity, the financial activity, the internal procedures for quality assurance and the general institutional quality, defined according to the Methodology.

The funding mechanism of public HEIs includes a **competitive funding mechanism** for institutional development, that allows universities to apply for any of seven fields of intervention, among which social inclusion and the facilitation of access to higher education. This and the other two funding mechanisms – basic funding and supplementary funding – are administered by the **National Council for Higher Education Funding (CNFIS)**. The Council acts as a consultative organism to the Ministry of Education and Scientific Research and, in that quality, it conceives principles and mechanisms for the distribution of public funds to the public HEIs in Romania, based on the aim to secure equal opportunities for accessing higher education for all citizens.

Other institutions whose attributions have some implications in the quality assurance in HE are the **National Council for the Validation of Titles, Diplomas and University Certificates (CNATDCU)**, founded in 2016, **The Council of Ethics and University Management (CEMU)**, founded in 2017. Both function as consultative organisms to the Ministry of Education and Scientific Research.

The national system of research, development and innovation in Romania includes public organisations (public universities, national R&D institutes) and enterprises. It is governed by a National Strategy for research, development and innovation, and implemented through a National Plan. The



organisations from the national system are accredited, upon request, by the National Authority. The accreditation is granted for a period of maximum 5 years. The criteria for evaluation include aspects pertaining to:

- institutional management
- institutional capacity
- institutional performance
- economic-financial performance
- institutional strategic plan
- human resources

The latter criteria takes into consideration indicators such as researchers' seniority and level of studies. Gender equality indicators are not included. The **Consultative College for Research, Development and Innovation (CCCDI)** is in charge of the accreditation and re-accreditation of national institutes for research and development. Additionally, the **National Council for Scientific Research (CNCS)** has attributions in the elaboration of evaluation procedures for the national research competitions; it establishes standards, criteria and indicators of quality for the scientific research of RPOs; it audits scientific research. They are both consultative entities supporting the Ministry of Education and Scientific Research.

Although Romania is one of the five EU member states where the share of female researchers among total researchers exceeded 45% in 2018 (Eurostat 2018) and the country has scored twice the level of Member States overall in the inclusion of gender dimension in research content across the 2014-2017 interval (European Commission 2019), **none of the national evaluation mechanisms include explicit, actionable provisions to support gender equality and diversity, nor do they systematically collect data on gender equality and inclusion.** The standards, criteria and indicators for the accreditation and the quality assurance of both RPOs and HEIs include no reference to gender. In order to conform to the accreditation and quality assurance methodology, the HEIs must prove that they ensure equity and student access, as well as adequate recruitment and development of the teaching staff (among the criteria for institutional efficacy).

Gender in research and higher education

The issue of gender inequality is **not addressed in the national policies** regarding higher education or scientific research. In the field of **research**, the **National Strategy for Research, Development and Innovation (2014-2020)** and the **National Plan (2015-2020)** provide the framework for the national policies. The Strategy features some intermediary and final targets that include, for example, increases in the number of PhD graduates and researchers in the public and private sector. Gender is not mentioned at all in either document.

The laws that govern research and education (such as the Law of national education and the Law regarding proper conduct in research) forbid discrimination based on sex. The **Law of national education** postulates several principles that apply to all levels of education, which include the equity principle for **non-discriminatory access** to learning, the equal opportunities principle and the social inclusion principle.



The most recent related development¹⁵³ (June 2020) is the Romanian Parliament's passing of **an amendment to the Law of national education which drastically forbids any mention of theories or opinions that refer to gender identity at any level of education**. For the purpose of the amendment, gender identity is defined as the theory or opinion that gender and biological sex are different concepts. The amendment is yet to be promulgated by the President. Most of the large public universities have issued critical public positions.

The **National Strategy for Tertiary Education** (2015-2020) describes the existing gender balance among university graduates as high overall, but includes no further actions of support measures.

At the moment no provision [linking GE with funding programs](#) is in place. The research-financing body, the **Executive Unit for Higher Education, Research, Development and Innovation Funding (UEFISCDI)** lists equal opportunities regardless of applicant's sex among its governing principles applicable both in the case of implemented and financed research projects. According to the RFO, this principle is addressed through transparency and open competitions.

One recent development is the participation, since January 2020, of the UEFISCDI in the **Horizon 2020 project CALIPER: Linking research and innovation for gender equality (H2020-SwafS-2018-2020)**. The twelve applicant partners, including the UEFISCDI, seek to implement a plan for the stimulation of gender equality in RFOs and RPOs. The project will address the following objectives: increasing the number of female researchers in STEM fields and improving the career prospects and introducing gender mainstreaming in research. It is expected to encourage the implementation of **Gender Equality Plans (GEPs)** by using internal audit methodologies, internal evaluation and gender equality plans with external actions. It is projected to have an inter-sectorial and intersectional approach. Its implementation is envisaged to ensure capacity-building for creating and consolidating gender equality awareness and gender expertise at organisation level. It is not clear whether the Romanian partner plans to extend the applicability of the project to the RPOs from the national systems.

Outside the framework of national policies, there are some developments connecting gender to the field of higher education. Two of the largest HEIs have centres which support gender equality in science and higher education:

- the **Centre for Gender Equality in Science** at the Alexandru Ioan Cuza University of Iasi
- the **Centre for Gender Equality Policies** at the University of Bucharest

The Centre at the University of Iasi, created in 2013 as part of the FP7 European project "Structural transformations to achieve gender equality in science"- **STAGES**, aims to research, monitor and document gender equality opportunities in HE and research inside the University of Iasi, together with a **Network of Women in Higher Education and Research** working for the University of Iasi and a Research Group on Gender Equality. Under the framework of the project, several organisational practices have been institutionalised (e.g. gender analysis, data collecting and mapping the dynamics of gender equality). The practices and initiatives in the field of gender equality are only documented up to 2016, when the project likely ended. The Centre for Gender Equality Policies at the University of Bucharest, created in 2012, acts mainly as an academic research centre in the field of gender studies,

¹⁵³ An article in English reporting on the amendment and the human rights groups and universities reaction is available online ([Reuters, 2020](#))



while consolidating the expertise in the field of gender equality, which could contribute to targeted public policies.

Universities typically have the non-discrimination principle stated in the **University Charter**.

If we are to regard gender equality as an issue of human resources, it is worth examining the four Romanian universities that have received the European Commission's "**HR Excellence in Research**" award:

- Babes-Bolyai University of Cluj (in 2018)
- Alexandru Ioan Cuza University of Iasi (in 2014)
- Ovidius University of Constanta (in 2019)
- Spiru Haret University (in 2013).

Of the four, **Babes-Bolyai University of Cluj seems to be** the most committed to gender issues. It has correlated its HR Policy to respond to the Charter&Code by affirming work-life balance as part of the institution's target to improve work conditions and provisions pertaining to equal opportunities and gender representation at all levels. The University has additionally devised an **Action Plan** where it admits that it has no formal policy yet regarding gender-based equal opportunities during recruitment and during all career stages but commits to elaborate a gender-informed strategy in regard to recruitment and work conditions.

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SLOVAKIA

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| | |
|----------------------------------|--|
| National CAS: | <ul style="list-style-type: none">• Via Bona Employer friendly to family, gender equality and equal opportunities |
| Number of HRS4R awardees: | <ul style="list-style-type: none">• 1 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Three different evaluation systems of research quality exist in Slovakia depending on the type of research institution:

- **Slovak Academy of Sciences** has its own internal evaluation process;
- Higher education is subjected to the accreditation process led by the **Slovak Accreditation Agency for Higher Education**;
- Certification process for other public or private research institutions is governed by the **Ministry of Education, Science, Research and Sport** (hereinafter Ministry of Education).

Slovak Academy of Sciences - the internal evaluation process is governed by the Act n. 133/2002 Coll. on Slovak Academy of Sciences. According to Article 9, the Scientific Council of the Academy is responsible for the evaluation of research activities of Academy's organizations. The procedural tasks are performed by the Presidium of the Academy (Article 10) that also submits conditions and criteria for regular evaluation for the approval of the Assembly of the Academy. Currently, the Principles for regular evaluation of scientific organizations of the Slovak Academy of Sciences for the Years 2016 - 2021 are valid. The document **does not contain any reference to gender equality**.

Higher education - the **accreditation system of higher education is currently under the process of reorganization**. In 2018, the Act n. 269/2018 Coll. on Quality Assurance of Higher Education was adopted that has established the new institution the Slovak Accreditation Agency for Higher Education. The mission of the Agency is to improve the quality of higher education in accordance with the European Standards of Higher Education Quality and to provide accreditations to higher education institutions and programs. The agency started to operate in 2019. In September 2019, the draft of the Quality Standards was published. The commenting process lasted till December 2019. The **final version of the Quality Standards is supposed to be published till the end of March 2020**. The law and the Quality Standards' **draft does not specify any criteria related to gender equality**. Considering the overall gender blindness of research and higher education documents and strategies, it is reasonable to expect that higher education criteria will not take gender equality into account.

Certification process for research institutions - the process of certification of public and private research institutions is governed by the Act n. 172/2005 Coll. on Organization of State Support to Research and Development that stipulates that any research institution applying for state funding should be certified by the Ministry of Education. The law constitutes the Evaluation Committee consisting of 15 members out of which 10 are representatives of applied research, development and



industry. The Evaluation Committee evaluates the quality of research and development and conditions under which it is conducted. The criteria of evaluation **do not contain any reference to gender equality**.

Gender in research and higher education

There are **no specific national policies** on Gender in Higher Education or Scientific Research and Innovation. The current strategy for research and innovation titled **Research and Innovation Strategy for Smart Specialization of the Slovak Republic** was adopted in 2013.¹⁵⁴ The document **does not contain any reference to gender equality** and is completely gender neutral. The only reference to gender appears in the demographic chapter describing the sex distribution of the population. The gender distribution is not further mentioned at all even when describing profiles of students' population in various academic areas and sciences.

The strategic objective of improving the human resources for innovative Slovakia does not deal at all with gender equality, it focuses on the following 6 measures:

- Improving the quality of secondary education - mainly harmonization of education with market demands;
- Improving the quality of higher education - similar focus on employability of graduates;
- Improving business involvement in education - in order to improve linkages between education and practice;
- Improving the quality of life-long education - in order to elaborate a system of quality verification;
- Increasing emphasis on education in fields of RIS3 priority areas - mainly in the area of financing and motivational tools;
- Supporting the mobility of highly skilled workers - focus on the return of highly skilled Slovak workers from abroad.

The sole relation of gender equality and research and higher education can be found in the **Action Plan for Gender Equality for the Years 2014 - 2019**. The Action Plan has among its priorities implementation of gender equality in science, research and higher education with the following measures:

- support universities, science and research institutions in adopting and implementing gender equality strategies including work-life balance;
- support of gender balance in decision making and management of universities, science and research institutions.

The Action Plan for Gender Equality is not periodically evaluated, the report on its fulfilment is published after the validity of the plan is over. So far, no report has been published by the Ministry of Labour, Social Affairs and Family.

¹⁵⁴ Available in English [online](#)



Introduction to the CAS in Slovakia

The only gender equality related certification and award system identified in Slovakia is the business award **Employer friendly to family, gender equality and equal opportunities**. This award is part of the awarding system of a private foundation titled Via Bona. Via Bona awards businesses in various categories of corporate social responsibility.

The Employer friendly to family, gender equality and equal opportunities category is organized in cooperation of the **Pontis Foundation** and the **Ministry of Labour, Social Affairs and Family** and it awards businesses for their work-life balance, gender equality and equal opportunity policies.

The award has been established by the Ministry of Labour, Social Affairs and Family in 2000 and since 2017 it was transferred to the Pontis Foundation. In view of the long history of the award, it can be considered as sustainable, nevertheless, the involvement of the Ministry seems to be the key to its sustainability. It is questionable whether the private foundation will continue the category without the ministerial support.

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| | |
|---|--|
| VIA BONA Employer friendly to family, gender equality and equal opportunity award | Date :// |
| Award https://www.nadaciapontis.sk/projekty/via-bona-slovakia/zamestnavatel-ustretovy-k-rodine-k-rodovej-rovnosti-a-rovnosti-prilezitosti-via-bona-slovakia/ | National zuzana.kovacova@nadaciapontis.sk |
| Awarding body: Target Audience: | The Pontis Foundation Business/Others |

Overall description:

Employer friendly to family, gender equality and equal opportunity award was first organized by the Ministry of Labour, Social Affairs and Family starting in 2000. Since 2017 it is organized by the Pontis Foundation that is a private foundation focusing on corporate social responsibility. The Pontis Foundation has awarded Via Bona prizes in various categories to companies registered in Slovakia. In 2017, the Employer friendly to family, gender equality and equal opportunity award was added as a sub-category of the Great employer category. The Employer friendly to family, gender equality and equal opportunities is awarded in cooperation with the Ministry of Labour, Social Affairs and Family. The measures that are awarded varies from work-life balance, antidiscrimination, gender equality and diversity.

Validity

Unlimited

Interlinkages with other certification schemes: The Employer friendly to family, gender equality and equal opportunity award is a part of a broader award scheme that annually awards businesses in various categories of corporate social responsibility such as Green business, Social innovation or Community partner.

Eligibility and requirements:**Eligibility**

Private businesses registered in Slovakia

Requirements

Being private business officially registered in Slovakia with no related law suits in past three years. The business can electronically nominate itself or it can be nominated by the third party. The application should be filled and submitted by the set deadline.

Other information

numbers are available only for the whole set of Via Bona awards not by respective categories.

Business model:

The Via bona awards are funded by private sources and organized by the private Pontis Foundation. Two of the categories - the employer friendly to family, gender equality and equal opportunities and the green company are co-funded by public sources, in case of the family friendly employer it is the Ministry of labour, Social Affairs and Family. The amount was not specified. The administration of this category is carried out by the private foundation, but the representatives of the MLSAF take part in the selection committee.

Certification process, assessment, and support:

The nomination takes place on-line, the Foundation controls the information in the nomination and the compliance with basic criteria (business, registration, no law suits, etc.). Each category has an evaluation committee that is created by the Foundation. The Committee first evaluates the nominations individually and then collectively creates the short-list of finalists. The finalists present their nominations in front of the Committee that then selects the winner. The selection process is evaluated by an independent organization. The organizer draws up meetings' minutes presented to an independent organization that attests the selection process.

Criteria and Indicators used:

The following are the thematic areas in which applicant is assessed: support to inclusion and diversity (projects of employment of disadvantaged groups and creation of mixed teams); gender equality in pay and its transparency; innovative approaches to education and personal development of employees; support of



work-life balance; improvement of work health and safety; projects of support to employees in crisis situations; support and initiation of employees' pro bono activities; support to expert pro bono activities. Other criteria taken into consideration are: business size, regional aspect, in case of multinational business - what has been local input to the multinational program/project, short term or long term impact, innovation and potential to inspire other businesses.

Gender, diversity, and excellence:

The award combines gender equality with other antidiscrimination strands as it can be seen in the list of policies and measures it awards described above.

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SLOVENIA

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| | |
|----------------------------------|--|
| National CAS: | <ul style="list-style-type: none"> • GEMA Certificate • Include.All Award • LGBT-Friendly Certificate • Older-Friendly Company Award • Disabled-Friendly Company Award • Horus Award |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • 2 (as of 30/06/20) |

National context for Quality Assurance and Accreditation

Mechanisms for the national evaluation of research quality

The **Council for Science and Technology** is a professional advisory body to the Government of the Republic of Slovenia. The Council consists of 22 members, with the chairperson and the members appointed for a period of four years. The Council reports to the Government at least once a year.

- It monitors and evaluates the current state of research activity, its position and development in terms of international comparability, quality and social development efficiency,
- It proposes activities and priorities of the National Research and Development Programme,
- It monitors and evaluates the implementation of the National Research and Development Programme,
- It monitors the quality of work programmes of public research organizations and assesses the adequacy of work programmes of public research organizations,
- It provides opinion on the methodology and criteria for assessing research performing organisations.

Based on the Research and Development Activity Act (2002) (Article 15 and 47) and in line with the Public Agencies Act (2002) the Slovenian Government established the **Public Research Agency of the Republic of Slovenia (ARRS)** in 2003¹⁵⁵.

The Agency is an independent public funding organisation, which performs tasks related to the **Resolution on the Research and Innovation Strategy of Slovenia 2011-2020** and in order to create an European Research Area. The bodies of the Agency are the Management Board and the Director; it has a scientific council in the field of research activity and a professional council in the field of technological development.

The Agency provides the framework for scientific research within the national budget and other sources; promotes high quality scientific research in Slovenia and its application; fosters

¹⁵⁵ Its establishment has been put into force with the document Decision establishing the Public Research Agency of the Republic of Slovenia 2003.



internationally comparable evaluation standards in Slovenia; provides the transparency of organising research community in Slovenia; promotes international research cooperation; analyses R&D activities and provides science policy expertise.

In the document **Strategy of work and development of ARRS 2016-2020** the Agency lists different indicators to evaluate its activity and impact on research. One of the fields to monitor is also human resources and **gender balance**, more explicitly the number of women working on research projects and number of women among project leaders. Some gender-disaggregated statistics are also available in the Agency's reports (for example Report on Public Call for co-financing research projects 2018). Gender balance in decision-making and the enhancement of women's participation in research are regulated by the **Rules on the Procedures of the (co)financing and Assessment of Research Activities and on Monitoring the Implementation of Research Activities**: Article 35 (in the case of absence of the researcher due to parental leave in the duration of at least six months, this should be taken into account at project applications and also prolongs the period until PhD defence); and Article 172i (all permanent and temporary bodies of the Agency should be gender balanced).

Mechanisms for the national evaluation of Higher Education quality and accreditation

The **Slovenian Quality Assurance Agency for Higher Education** was established in 2010 as a non-governmental direct budget user and public authorisation holder by a Resolution on the Founding of the Slovenian Quality Assurance Agency for Higher Education. The director of the Agency is appointed by the Council in accordance with the conditions and criteria, laid down in the Higher Education Act 1993.

As stated on the Agency's website, the main tasks of the Agency are to determine whether the institutions of higher education comply with the Criteria for the accreditation and external evaluation of higher education institutions and study programmes and whether they achieve the quality standards, determined with statutory provisions and other regulations of the Agency.

The Slovenian Quality Assurance Agency for Higher Education considers **diversity** in the Measures for accreditation and external evaluation of Higher Education institutions and study programmes; article 14 states, that one of the standards, that has to be met by HE institution is also to guard students' rights, more explicitly it has to be considered, whether HE institution possesses mechanisms for recognition and prevention of discrimination of vulnerable groups of students as well as discrimination based on personal circumstances and beliefs of students.

Gender in research and higher education

The area of Research and Innovation is regulated by the **Resolution on Research and Innovation strategy 2011-2020**. Measure 34 foresees an **Action Plan for Improving Career Opportunities for Researchers in all Career Periods and for Ensuring the Gender Equality Principle**. The Action Plan should be put into force by 2012, but according to the Report on Implementation 2015-2017 it has not been implemented yet.



The area of Higher Education is regulated by Higher Education Act (1993) and Resolution on National Higher Education Programme 2011-2020. However, none of these documents explicitly addresses gender equality.

The main legal document for addressing gender equality in general is **Equal Opportunities for Women and Men Act (2002)**. The **Resolution on the National Programme for Equal Opportunities for Women and Men 2015-2020** and **Periodical Plans for Implementation of the Resolution on the National Programme for Equal Opportunities for Women and Men** for years 2016-2017 and 2018-2019 thoroughly address areas of work and measures to be taken accordingly to accomplish gender equality in different public and private spheres. According to this document the relation between gender equality and science/education is currently not balanced and different types of gender inequalities have been recognised. Different objectives have been identified and **concrete measures** foreseen accordingly, among them being:

- Increasing the share of girls and boys in educational programmes and fields of study where they are significantly underrepresented (measure: promotion of guidance, activities and projects aimed at informing pupils and secondary school students about educational programmes and curricular and extra-curricular activities strongly dominated by one of the sexes, with a special emphasis on encouraging girls to enrol in science and technology studies);
- Increasing the participation of women in science and higher education and to improve their status (measures: adopting policies and strategies to eliminate obstacles for women having academic careers; and supporting programmes and projects that promote women in science);
- Increasing the number of scientific research studies and analyses regarding gender equality (measures: promoting and supporting research and studies on gender equality; and gender mainstreaming in relevant analyses and research).

According to the Report on Realisation of Periodical Plan 2015-2017 the measures to obtain a gender-balanced number of students in educational programmes have been implemented. On the other hand, the objective of increasing the number of scientific research and analyses regarding GE has not been met. In order to increase the participation of women in science, for improving scientific excellence, connections with European Research Area (ERA) and its goals the Slovenian Strategy for Strengthening the European Research Area 2016-2020 (Slovenian ERA Roadmap 2016-2020) was put into force in 2016.

8 priorities have been recognised, one of them being gender equality and gender mainstreaming in research (priority area 4). 5 objectives have been listed that are to be met by 8 different measures. The implementation of these measures is evaluated in the Assessment of Slovenian ERA 2016-2020: Progress Report 2018:

Three measures are on track:

- support to the operation of the expert body Commission for equal opportunities in science and the inclusion of other stakeholders of the RDI system;
- balanced structure in all bodies appointed by the competent ministry in the field of science and
- promotion of UNESCO L'Oréal awards to women in science and encouragement of candidates and institutions to propose female candidates for other awards in science.

Three have been postponed:



- designing action plans to improve career opportunities for researchers in all stages of their career and to ensure the enforcement of the gender equality principle at public research institutes;
- support to research projects in the field of gender equality and dissemination of their results and
- establishment of an expert body at the competent ministry to coordinate and implement measures enforcing gender equality principle in science.

One is being implemented with delay:

- implementation of gender equality principle via public funding organisations in setting up evaluation committees and in the content of funded research programmes and projects.

One needs to be modified:

- establishment of an appropriate analytical system on national level to follow selected indicators in the field of gender equality in research based on gender.

None of these national policy/legal documents and its measures mentions [rewarding, certification](#) or accreditation system, that would explicitly consider gender equality in higher education or research institutions. The measures also do not consider discrimination [intersectionally](#).

The link between public [funding](#) programmes and gender equality is established (see the delayed on-going measure above). ARRS also considers gender equality when evaluating projects (Rules on the Procedures of the (co)financing and Assessment of Research Activities and on Monitoring the Implementation of Research Activities: Article 35).



[Introduction to the CAS in Slovenia¹⁵⁶](#)

There are no CAs in Slovenia that would be explicitly related to the area of research and/or higher education and gender equality. **All of the CAs that have been found are related to the area of business/other**, especially based on their actual implementation.

GEMA certificate is especially designed to be given to companies, which dedicate their activities and operations to implementing gender equality. It is a very new certificate, so far awarded only in 2019. Although all three companies, which received the certificate, are business-related, the certificate could have the potential to also award research and educational institutions, while all private and public organisations or companies can apply.

Include.All award is dedicated to diversity and inclusion in the business sector. It developed out of the Female-Manager Friendly Company award (between 2002-2016), which succeeded the Women Friendly Company award (established in 1991).

LGBT-friendly certificate was designed to raise awareness about LGBTIQ+ employees and customers/users and to encourage employers to create inclusive and discrimination-free work environment. It is not designed explicitly for research and educational institutions, however some of those have received the certificate (for example Faculty of Mathematics, different kindergartens, primary schools). The certificate exists since 2014.

Older-Friendly Company award is designed for economic and other organisations as well. It is being awarded in the context of the Golden Thread project since 2017. It gives special recognition to organisations that dedicate themselves to create more inclusive work environment for older employees.

Disabled-Friendly Company award is also designed for economic and other organisations. It has been established in 2017 and is awarded to organisations which dedicate themselves to create disabled-inclusive work environment.

Finally, the **HORUS award** can be awarded to all legal entities as well as to individuals, its scope is dedicated to social responsibility. It has been established in 2009.

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¹⁵⁶ See also [Research on good practices of managing diversity and promoting equality in small and medium-sized enterprises in Slovenia](#), prepared by Ponikvar and Zupančič for the Advocate of the Principle of Equality of Republic of Slovenia.



| | |
|--|---|
| GEMA certifikat (GEMA certificate) | 2018 |
| Certification www.gema-certificate.com | National info@ipes-si.org |
| Awarding body: | Inštitut za proučevanje enakosti spolov (Gender Equality Research Institute) |
| Target Audience: | BUSINESS/OTHERS |

Overall description:

The GEMA certificate was established in 2018 for companies, institutes and organizations for fostering gender equality internally. It comprehensively addresses the organizational structure, culture and work processes of each individual entity and has been developed in collaboration with five companies of different size and geographical positions. GEMA Certificate is supported and coordinated by a non-governmental think-tank, the Gender Equality Research Institute, which collaborates with different independent experts. It provides each holder with an individualized assessment of the existing situation, which is transformed into a set of tailor-made measures based on an in-depth analysis. The measures within companies or organizations are adjusted to the size and the industry in which the organization operates, and also to the current context of the labour market.

Different levels of the certificate are:

- **GOLD** - when a company or organisation successfully implements the proposed measures in its internal legal acts and completes further measurements of the pay gap;
- **DIAMOND** - only for companies/organisations, which prove at least 35% of gender balance at all levels of company/organisation. Gender balance is also monitored in all departments and units and should also be an important part in employment trends. The company/organisation must also show its effort to include the under-represented gender via special measures and actions. Only companies/organisations with at least 50 employees are eligible for diamond certificate.

Validity:

2 years, renewable

Eligibility and requirements:**Eligibility**

Public or private organisations or companies of any size/with at least 50 employees (diamond certificate).

Requirements

A company or organisation should apply on-line and state some general information (name, address, phone number, contact person and number of employees). After a few days the certifying team makes contact. Approximate timeline from the application to getting the certificate is 6 months.

Other information

So far 3 applications have been successful, therefore 3 companies got the certificate (out of 5 companies, which were involved in certificate development).

Business model:

The process of assessment and other activities, connected with acquiring the certificate are coordinated by the Gender Equality Research Institute (the assessment, involvement of external experts, communication with companies,...). The applying organizations pay a fee to get the certificate.

Certification process, assessment, and support:

Every company or organisation that wants to get certified should follow these steps:

1. **Assessment:** a comprehensive audit process of the organizational structure, organizational culture and work processes (employee surveys, in-depth interview with management and an inquiry about possible good practices, that are already established).
2. **Measures:** based on the information obtained, a comprehensive analysis of the situation and a tailor-made set of measures for gender equality is made.



Statistical and other differences among women and men are identified in the area of employment, performance management, promotion, education, training and enhancing knowledge. Based on observed differences specific measures are proposed:

1. impartial employment and promotion;
2. reconciliation of work and private life;
3. regulation of the pay gap between women and men;
4. mentoring system;
5. efficient mechanisms to prevent harassment and sexual harassment at a workplace;
6. strengthening inclusive organisational culture at all levels;
7. gender balance at all levels.

3. Education and training: based on the proposed measures, employee training and custom leadership trainings are prepared.

4. Implementation : when a company successfully implements the proposed measures in its internal legal acts, disseminates the information about new internal legal act to employees and completes further measurements of the pay gap, it receives a certificate.

After the certificate was awarded, companies stay actively engaged in the GEMA certificate holders network for two years, within which their staff are continuously trained. In this period the level of employee satisfaction and the pay gap between men and women employed by the companies are regularly measured and monitored. The companies are also included into a platform for sharing experiences about integrating gender-inclusive measures into their work.

Criteria and Indicators used:

- At the beginning of the process a thorough audit is made, considering::
 - organisational structure;
 - organisational culture;
 - work processes.
- Based on the audit a set of tailor-made measures is created to be implemented.
- This is followed by education for employees and management about proposed measures.
- The last step before getting the certificate is the actual implementation of the proposed measures:
 - formal implementation of measures (renewed or new internal legal act);
 - practical implementation of measures (education of employees about new internal legal act).

Gender, diversity, and excellence:

In the period between the acquisition and renewal of the certificate (every two years), continuous awareness-raising activities and education for employees and management on possible legislative changes in Slovenia and at EU level is ensured by the Gender Equality Research Institute.

Official documentation of GEMA Certificate recognises the link between gender equality and excellence. Gender equality in the workplace facilitates overall organisational flexibility, offering multiple profiles and different perspectives at all times. The absence of gender stereotypes and expectations results in well-being of employees, which consequently influences in better productivity and reducing sick leaves. Gender-diverse employees are also a source of greater innovation and creativity that can in a long-term result in opening up new markets. Diversity of working teams also affects the ability to progress and stimulates a better economic outcome.



| | |
|---|---|
| Priznanje Vključi.Vse (Include.All Award) | 1991 (2017) |
| Award https://www.zdruzenje-manager.si/sl/priznanja/priznanje-vkljuci-vse/ | National info@zdruzenje-manager.si |
| Awarding body: | Združenje manager, sekcija managerk (Managers' Association of Slovenia, Section of Women Managers) |
| Target Audience: | Business |

Overall description:

Include.All award is being awarded since 2017. It developed out of the Female-Manager Friendly Company Award (between 2002-2016), which succeeded the Women Friendly Company Award (since 1991). The objective of this award is to acknowledge and stimulate the balance at leading positions in the companies, while diverse managers accomplish more open organisational culture, can better understand their clients and their companies are more profitable. This award is oriented mainly towards private, economic business sector.

Validity

Lifelong

Eligibility and requirements:**Eligibility**

The applying business

- should employ at least 1/3 of each gender on management and leadership positions;
- should be a business employing at least 40 employees;
- can already show certain level of diversity;
- can show successful business results for the last 3 years;
- should not get its funds from national sources.

Requirements

The applying business should fill out a questionnaire with 28 questions to establish its attitude towards inclusion and diversity. Different analyses (satisfaction and motivation of employees,...) can also be submitted. The awarding commission also studies financial reports of the applying business and other publicly available data.

Other information

No data regarding the number of applicants per year and the ratio of successful applications is available. The award is presented annually and current number of award holders is 27. Between 1992 and 2002 eleven awards have been presented under the name Women Friendly Company Award. 14 awards have been awarded between 2003 and 2016 under the name Female-Manager Friendly Company Award. Under the name Include.All so far two awards have been presented (in 2017 and 2018).

Business model:

The process is free of charge for the applying company. The whole process of assessment and awarding the award is coordinated by the Section of Women Managers. The assessment is done by a commission, which is composed of various experts from different areas of work. The main monetary resources for the whole process are input by the Managers' Association.

Certification process, assessment, and support:

The Section of Women Managers publishes a call for interested businesses to apply for the award annually (every April). The call is published on-line and distributed by other means of communications and also sent to all members of the Managers' Association. Interested companies that meet the requirements fill out a questionnaire and submit relevant documentation. The awarding commission reviews all applications and also financial reports and other publicly available data. The commission 2017-2020 has 8 members of



different background, who come from different institutions. After reviewing all applications the commission chooses 3 the most suitable applicants. Their representatives (usually of management position) are interviewed and afterwards the commission makes its final decision on which business will be awarded. The awards are awarded at an annual Management Congress in September, which is a very important event with more than 450 businesses attending.

The justifications for the award are publicly available and can serve as good practices. The successful organisations are invited to various events to present good practices and are presented through Managers' Association communication channels.

Criteria and Indicators used:

Applicant is assessed regarding the level of inclusiveness and the implementation of the principle of diversity.

When applying an applicant fills out a questionnaire with following indicators:

- ownership structure,
- market share,
- motive for application,
- employees' satisfaction,
- satisfaction of customers and business partners,
- role in society,
- developmental strategy and innovativeness,
- politics of balance and equality (gender, age, education),
- politics of diversity,
- measures addressing diversity and encouraging equality,
- financial information.

The experts of the awarding institution review:

- relevant publicly available data/documents;
- financial reports;
- results of the company atmosphere analysis.

Final decision is made based on the interviews with management.

Gender, diversity, and excellence:

Different levels of equality/discrimination are addressed (based on gender, nationality, age), as can be evident from justifications for choosing the particular organisations to be awarded. The link between quality and diversity can also be seen in these publicly available justifications for the award. For example, it is stated that motivated work of employees and good management also reflects in successful business results.

The Diversity Charter of Slovenia invites the recipients of the award to the international event in the context of European Platform of European Diversity Charters.



| | |
|---|---|
| Certifikat LGBT prijazno (LGBT-friendly Certificate) | 2014 |
| Certification https://www.ljubljana.si/sl/moja-ljubljana/odprto-in-dostopno-mesto/lgbt/certifikat-lgbt-prijazno/ | National ozsv@ljubljana.si |
| Awarding body: Target Audience: | Mesto Ljubljana (The City of Ljubljana) Business/Others (EX. : public libraries, cinemas, community health centres, theatres, primary schools, kindergartens, faculties, museums...) |

Overall description:

The City of Ljubljana introduced the LGBT-Friendly Certificate, which was created in cooperation with non-governmental organisations in 2014. Its main aim is to raise awareness and it is awarded to organisations creating a positive atmosphere for everyone regardless of their sexual orientation and identity within the work environment and towards customers/users. The certificate is awarded annually by the Mayor of the City of Ljubljana.

Validity

Lifelong (if the organisation does not follow the main principles of the certificate, a complaint to the Commission for the LGBT Certificate can be made by organisation's users or employees. In cases of severe and on-going violations of main commitments the certificate can be withdrawn).

Eligibility and requirements:**Eligibility**

Public or private organisations.

Requirements

The interested organisation fills out a basic application form (contact information, number of employees and area of work).

Other information

No data on the number of applicants per year and the ratio of successful applications is available. The number of certificates per year differs: 2 in 2014, 12 in 2015, 6 in 2016, 7 in 2017, 9 in 2018 and 4 in 2019.

Business model:

A research about needs of LGBT-employees and LGBT-customers and users of different public and private services has been conducted before implementation of the LGBT certificate. Educational module has been designed based on this research as well as guidelines for tailoring the module according to individual organisations. Financial resources for research as well as design of educational module have been secured by the City of Ljubljana. The City of Ljubljana covers all costs of stickers, posters and certificate that are received by successful organisations.

The educational seminar is financed by the applying organisation (cost depends on the number of participants) and the resources go directly to the organisations which perform the seminar.

Certification process, assessment, and support:

When applying for the certificate the interested organisation contacts the Board for Health and Social Care of the City of Ljubljana and fills out a basic questionnaire. The Commission for the certificate (it has six members: one City of Ljubljana representative, three NGO representatives and two experts) informs itself with the applicant's line of work, the number of its employees and other specifics of the applicant and according to all these information the Commission suggests the number of employees and/or management that are obligated to participate in the educational seminar. On the request of organisation different documents can be reviewed, such as internal policies and changes can be suggested in the area of inclusiveness, equality, elimination of discrimination. These changes are in accordance with national policies and legislation.



The criteria that has to be met for the organisation to acquire the certificate is to participate in the educational seminar/debate and share knowledge among their co-workers/employees. The educational module has been created in a way that it can be adapted to organisation's specific line of work and has been approved by the Commission for the LGBT certificate. The educational seminar is tailored based on the questionnaire that is sent to the organisation prior to the seminar. The seminar lasts 4 hours and is led by 5 educators (representatives of different NGOs and legal expert). The second part of the educational module is structured debate among participants, that is based on real-life situations in the particular company.

The application of the organisation can be rejected on the proposal of the representatives of the institutions who perform the educational seminar and debate. In that case additional education and counselling is suggested to the applying organisation to become more inclusive and to eliminate discriminatory practices. Certificates are awarded annually at a special ceremony, which is always accompanied with round table and exhibition in order to raise awareness.

Criteria and Indicators used:

The first criteria that has to be met for the organisation to get the certificate is to participate in the educational seminar. Before the seminar the organising team sends a questionnaire to the applicant to inform itself about topics/areas that need special attention. The seminar addresses different topics (fundamental human rights; the impact of heteronormativity on the lives of those who differ from these norms; the specific needs of LGBT employees and service users, that arise from the still-prevailing homophobia; use of inclusive language that does not conflict with sexual orientation of employees or service users and use of gender-neutral language)..

A part of the seminar is also structured debate about real-life situations. This debate also provides the leaders of the seminar to assess the applying company's ability to implement main principles of the certificate.

The second criteria is that the organisation's leadership ensures that the ideas of an equal approach and respecting basic human rights are observed among its staff and towards external partners and customers/users..

The awarding institution can also review internal legal acts on the request of the applicant and makes suggestions for their renewal according to current legislation and other relevant guidelines.

Gender, diversity, and excellence:

The defeat of the Family Code in the referendum in 2012 was one of the reasons behind the establishment of LGBT friendly certificate.

The 5 educators who conduct the educational seminars for applying organisations are trained human rights coaches and participated in the educational programme for human rights coaches of European Council.



| | |
|--|---|
| Zlata nit – Priznanje Starejšim prijazno podjetje (SPP): Z leti še vedno ZAvzeti (Golden Thread - Older-Friendly Company: Still Eager with Age Award) | |
| Award | National |
| https://www.dnevnik.si/zlatanit/spp | natecaj.spp@dnevnik.si |
| Awarding body: | Dnevnik, družba medijskih vsebin, d.d. (media company) |
| Target Audience: | Business/Others (Economic Sector) |

Overall description:

The SPP award has been developed in 2017 in the context of a project Golden Thread (2007), which awards the best employers. SPP award is designed to award employers which implement measures for inclusion of older employees.

Companies of all sizes can apply but have to meet different criteria to do so. An expert commission then evaluates the applied companies (based on questionnaires and interviews with employees) and awards the most suitable and exemplary at a special conference and award ceremony annually.

There are two levels of the award:

- SPP is given to the companies who meet the criteria and are approved by the expert commission;
- Special recognition SPP is awarded to three companies every year (small, medium, large), that can serve as an example of managing older employees (they implement successful and innovative measures or show good results of implemented measures).

Validity

Lifelong

Eligibility and requirements:**Eligibility**

Two criteria have to be met:

- at least 15% of employees have to be older than 45 years;
- business successfulness of the applying company (measured with Bisnode index BSX).

Requirements

After applying for the award a company must fill out a questionnaire about measures for managing older employees (according, but not limited to Catalogue of measures for efficient management of older employees by Public Scholarship, Development, Disability and Maintenance Fund of the Republic of Slovenia). These answers are included as good practices for updating the Catalogue.

Other information

Three special recognition SPPs have been awarded in 2017 and in 2018 (six companies altogether). Basic SPP has been given to 11 companies in 2017 and to 13 companies in 2018. 25 companies applied in 2019. 20 companies got the SPP award, 3 got the special recognition SPP.

Business model:

The project is co-financed by the Ministry of Labour, Family, Social Affairs and Equal Opportunities and European Union (European Social Fund). It is organised and implemented by Dnevnik d.d. in cooperation with Public Scholarship, Development, Disability and Maintenance Fund of the Republic of Slovenia. The assessment process is done by the expert commission of 11 members from different institutions and organisations. The process of assessment and awarding is free of charge for interested organisations.



Certification process, assessment, and support:

For the application to be successful different criteria have to be met. Two main points are important for the company to be eligible to apply (see the above section about eligibility). A very important step when applying is to fill out a questionnaire about managing older employees, which has to be synchronised with the Catalogue of measures for efficient management of older employees. When applying the company also chooses a date for interviewing employees. This would be the main assessment point. Employees fill out a questionnaire, which is sent to the company and the interviewing is performed by the company itself. The focal point of the questionnaire is to investigate whether older employees still experience personal growth and involvement. Their self-assessment should not differ from that of younger colleagues for the application to be successful. The company can order a special and thorough report, which is based on the data acquired during the process of evaluation. The report includes statistics (gender, education, work place, duration of employment,..). It illuminates the quality of relationship between employees and the company. The Catalogue of measures for efficient management of older employees is also available online and offers a compilation of good practices for managing older employees, implemented by different companies. It also suggests different areas of work life that have to be addressed in order to improve management of older employees (for example promotion of health, adaptation of work and working hours, intergenerational cooperation and awareness-raising,..).

Criteria and Indicators used:

An audit (about work processes, organisational structure and culture and possible good practices that already exist) and survey among employees and management are made. This comprehensive audit process is made of:

Review by awarding institution:

- overview of existing work processes;
- overview of organisational structure;
- inquiry about possible good practices;
- in-depth interview with management.

Self-assessment:

- employee survey (questionnaire).

Gender, diversity, and excellence:

Companies that are eligible for SPP award have to implement measures for management of older employees from (but not limited to) the Catalogue of measures for efficient management of older employees. Different national policies are referred to in the Catalogue (for example Strategy of Longevity Society of Slovenia; Directions for Promotion of Health at a Workplace).

Quality and excellence are directly linked to inclusive and diverse work environment and numerous examples of benefits of including older employees are listed as reasons to apply for the award:

- According to research the talents of different age are not fully utilized;
- In 2030 there will be 175.000 less talents available in Slovenia;
- Young employees will not suffice for company growth;
- Success of companies will be dependent on activation of talents of all ages;
- The productiveness of the company grows with inclusion and commitment of older employees;
- Creativity and innovation are greater with diversity of employees;
- Knowledge and experience of older employees are a capital that needs to be activated.



Nagrada Invalidom prijazno podjetje 2017 (Disabled-Friendly Company Award)

Award

<http://www.reha-slo.org/invalidom-prijazno-podjetje/>

National

zizrs@siol.net

Awarding body:

Ministrstvo za delo, družino, socialne zadeve in enake možnosti and Združenje izvajalcev zaposlitvene rehabilitacije v Republiki Sloveniji (Ministry of Labour, Family, Social Affairs and Equal Opportunities and the Association of Vocational Rehabilitation Providers of the Republic of Slovenia)

Target Audience:

Business/Others

Overall description:

The Disabled-Friendly Company award is a special recognition award for companies with good practices in the context of employment of persons with disabilities in the Republic of Slovenia. It is defined with the Rules on Annual Awards for the Employment of Persons with Disabilities, which has been put into force in order to execute Article 76 of Vocational Rehabilitation and Employment of Persons with Disabilities Act. Every year the Ministry of Labour, Family, Social Affairs and Equal Opportunities publishes a public tender and the process of evaluating and awarding, administrative issues and statistical data are coordinated by the Association of Vocational Rehabilitation Providers of the Republic of Slovenia (ZIZRS). The relevant Minister also appoints a board, which evaluates applying companies and makes suggestions to the Minister about which companies are eligible to receive the award. The Minister makes his/her final decision based on the suggestion of the board. The companies receive their award at the Days of Professional and Employment Rehabilitation, or the REHA Days.

Validity

Lifelong

Eligibility and requirements:

Eligibility

Companies of any size and area of work can apply, except employers that have violated work legislation, health and security at work or tax legislation in the last three years prior to the public tender for reward. The candidates have to be registered in the Republic of Slovenia.

Requirements

The applying company has to fill out a form meeting the deadline for applications and send it to the ZIZRS. The form is available at the Ministry web-page and has to contain thorough and extensive justification of the eligibility for award according to the criteria (see the assessment criteria).

Other information

15 awards have been awarded so far (7 in 2017, 4 in 2018 and 4 in 2019).

Business model:

The award was developed by the Ministry of Labour, Family, Social Affairs and Equal Opportunities, which authorised the ZIZRS to coordinate all activities. Specific information about financial resources is not available. The applying companies can apply free of charge. The evaluation is carried out by the board, which is appointed by the Ministry for the period of 4 years and has 8 members, who come from different governmental and non-governmental institutions. The Minister makes the final decision about which company will receive the award.



Certification process, assessment, and support:

The applying company has to fill out a form with basic information (name of the company, address, responsible person, size, number of employees with disabilities, line of work ...). The company must also very thoroughly address how are the main criteria met. The board, which makes the assessment, can summon the applying company to provide additional information. It also acquires official records about possible legal violations (see the above section on eligibility). Based on all this the board chooses the most suitable companies and makes proposals to the Minister to make the final decision on the recipients of the award. The assessments of successful companies are made public and can serve as examples of good practices.

Criteria and Indicators used:

The applicant is assessed using following indicators:

1. number and percentage of employees with disabilities (Is the company dedicated to creating new jobs and preserving existing jobs of employees with disabilities; equal pay for employees with disabilities; equal opportunities for career development; investing in education and retraining,...?);
2. physical and psychosocial accessibility (architectural accessibility of workplace; adaptation of work place; providing adapted transport; flexibility of jobs; attitude towards co-workers with disabilities,...);
3. promotion of vocational and employment rehabilitation of persons with disabilities and programs for maintaining employment returning to work place of persons with disabilities;
4. broader social impact (cooperation with disability organisations; promotion of processes of inclusions of persons with disabilities into work environment; awareness-raising and promotion of employment possibilities of persons with disabilities and of equal integration into society);
5. innovation in providing equal employment opportunities, providing other relevant work and maintaining employment of people with disabilities (innovative adjustment of work process, projects with high added value in the field of employment of persons with disabilities,...).

Gender, diversity, and excellence:

The award is created based on the Vocational Rehabilitation and Employment of Persons with Disabilities Act (2004) and thoroughly addressed in the Rules on Annual Awards for the Employment of Persons with Disabilities (2017).



| | | |
|--|--|-------------|
| Slovenska nagrada za družbeno odgovornost Horus (Slovenian Social Responsibility Award Horus) | | 2009 |
| Award | National | |
| www.horus.si | nagrada.horus@irdo.si | |
| Awarding body: | IRDO – Inštitut za razvoj družbene odgovornosti (Institute for developing social responsibility) | |
| Target Audience: | Business/Others (All public and private legal entities as well as individual subjects as long as they are active in implementing social responsibility) | |

Overall description:

The mission of the Horus award is to encourage ethics of interdependence, holistic behaviour, active innovation and business responsibility in Slovenian organisations. It wants to strengthen awareness about social responsibility. The award was established in 2009 by the Institute for developing social responsibility and different partners and is awarded annually. All legal entities can apply, as well as individuals.

There are different levels:

- award for organisations: Legal entity strategic integrity award,
- award for projects: Recognition award for projects,
- award for individuals: Special recognition.

Validity

1 year, renewable

Eligibility and requirements:**Eligibility**

All public and private legal entities can apply, as well as individual subjects as long as they are active in implementing social responsibility. The attention from this point on will be dedicated to legal entities.

Legal entities, that are socially responsible in their activities - in relation to the environment, to their employees and other stakeholders of the organization, and to the development of products and services, and involve them in their strategic management and operations can apply. They must demonstrate at least one year of socially responsible activities, that is, they must carry out activities and projects that are geared towards the long-term well-being of employees, environment, community, customers. Applicants should exceed minimal, legally determined business standards. Companies can apply even if their efforts have not been recognised with certificates, awards, and recognitions. They must conform to Horus standards and must not be subject to legal proceedings, in court or by business authorities, because of their operations.

Requirements

Legal entities apply by filling out the application form and after paying the fee they receive a thorough questionnaire (the whole process is free of charge for individual applicants).

Other information

The number of rewards is different every year, app. 11 awards are awarded annually.

Business model:

The main source for the award is applicants' fees along with other resources (for example in 2019 it has been cofinanced by Ministry of Education, Science, Culture and Sport, Office for Youth). The organisation of the Slovenian Award for Social Responsibility Horus is professionally managed by experts and an organising Board of the award (SON). SON members are appointed for a period of one year by IRDO and its partners. The mandate of SON members expires at the end of the current year for which they were nominated.



Certification process, assessment, and support:

The applying organisation must fill out a questionnaire, which is aligned with the guidelines of the Corporate Social Responsibility Standard ISO 26000 and other CSR tools. By completing the questionnaire, the organisation can analyze the situation and formulate its CSR strategy for the future. Or, it can also order additional external assessment and receive additional certification from experienced experts in the field of social responsibility and sustainable development. The questionnaire is then reviewed by the two-stage commission (established professionals who work on the topic of social responsibility, and other representatives of partner organisations). Evaluation of submitted applications takes place at two levels in two separate rounds of evaluation. The 1st level commission has at least 7 members and the 2nd level commission has at least 3 members. Members of both commissions and their president are proposed by project partners and confirmed by the experts and organising board of the Horus award. The mandates of the commission president and members of both commissions last till the end of the current year for which they were nominated. The 1st level commission evaluates the applicants, which go to the second round, where they are assessed by the 2nd level commission (if they receive at least 51% of all points).

The existing recipients of the Horus awards and the organiser IRDO Institute created the Business Club Horus in 2015. Business Club Horus connects candidates for the Horus award; enables the exchange of knowledge, experience and best practice and also connects Slovenian socially responsible companies. The justifications for the award are also publicly available and can serve as good practices. In the process of application or/and when implementing measures 2 hours of individual counselling is available for legal entities (by phone, Skype, in person).

Criteria and Indicators used:

The applicant is assessed using following indicators:

1. projects and activities, that help reduce carbon footprint, environmental footprint, invest in renewable resources, etc.
2. projects and activities aimed at increasing employee satisfaction and employee involvement;
3. adherence to different standards and codes, projects and activities aimed at developing good standards toward customers and suppliers;
4. projects and activities with positive impact for community;
5. the integrity of managing the organisation - business reports;
6. successes in the effort to protect and promote human rights. This effort applies to stakeholders with whom the organization has business relationships; eg prevents any form of abuse, influence on any one;
7. Incorporating innovations in the context of corporate social responsibility into business practice...

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SPAIN

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National CAS:

- **The Verification, Monitoring, Modification and Accreditation Program of University Degrees (VMMA) of the Quality Assessment and Accreditation Agency of Cataluña (AQU).**
- **The ALCAEUS Program of the Quality Assessment and Accreditation Agency of Aragón (ACPUA).**
- **The Gender Equality Accreditation Distinctive awarded by the High Council of Scientific Investigations (CSIC).**
- **Emakunde Equality Awards granted by the Basque Women’s Institute-Emakunde.**
- **The Canary Institute for Equality Awards.**
- **The “Centre of Excellence Severo Ochoa” and “Unit of Excellence Maria de Maeztu” Awards.**
- **“Equality in Business” Distinctive granted by the Institute for Women and Equal Opportunities.**

Number of HRS4R awardees:

- **114 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

The current mechanisms for the national evaluation of the quality of both research and higher education in Spain were established in the early 2000s, as a result of the adoption of the National Universities Act in 2001¹⁵⁷, which introduced new objectives of institutional quality assurance and individual performance evaluation and provided for the creation of the **National Agency for Quality Assessment and Accreditation (ANECA)**, entrusted with the task of evaluating, certifying and accrediting official university degrees. The latter, together with homologous agencies created at regional level, are the main mechanism for the evaluation and accreditation of scientific research and higher education quality in Spain today.

The ANECA was later strengthened by **the Act for the Modification of the Universities Act of 2007**¹⁵⁸, the main aim of which was to adapt Spanish universities to the European Higher Education Area (EHEA), paying unprecedented attention to both quality and quality assurance. This resulted, first, in the strengthening of the ANECA’s tasks of evaluation, certification and accreditation of university degrees, being now also in charge of their monitoring and renewal as well as of establishing the protocols of verification and accreditation in accordance with international standards; and second, the expansion of such competences beyond university degrees to that of teaching staff and the internal systems of quality assurance, which became a compulsory element of all study plans.

The last steps in the institutionalization of the ANECA took place in 2014, when Law 15/2014 on the Rationalization of the Public Sector¹⁵⁹ established it as an autonomous body attached to the Ministry

¹⁵⁷ Ley Orgánica 6/2001, de 21 de diciembre, de Universidades.

¹⁵⁸ Ley Orgánica 4/2007, de 12 de abril, por la que se modifica la Ley Orgánica 6/ 2001, de 21 de diciembre, de Universidades

¹⁵⁹ Ley 15/2014, de 16 de septiembre, de racionalización del Sector Público y otras medidas de reforma administrativa.



of Education, thus substituting its previous status as a Foundation. In 2015, an additional competence was ascribed to the ANECA by Royal Decree 420/2015¹⁶⁰ which allows to substitute the evaluation, certification and accreditation of degrees with that of university centres. Today, then, the ANECA develops the evaluation, certification and accreditation of university degrees, staff and centres through the following schemes:

Table 1. Evaluation, certification and accreditation schemes of the ANECA.

| | | |
|--------------|----------------------------|---|
| Degrees | VERIFICA | Evaluates proposals for study plans in line with the EHEA. |
| | ACREDITA | Assesses the renewal of the accreditation of official degrees. |
| | SIC | Evaluates degrees to obtain International Quality Seals. |
| | MONITOR | Monitors degrees to verify their correct implementation and results. |
| Staff | PEP | Evaluates the CV of the applicants for access to the figures of hired university professor. |
| | ACADEMIA | Evaluates the CV for access to the bodies of university teaching officials. |
| | CENAI | Evaluates official research sections (sexenios). |
| Institutions | DOCENTIA | Help universities create evaluation systems for their teaching staff. |
| | AUDIT | Guides university centres in the design of internal quality guarantee systems |
| | ACREDITACIÓN INSTITUCIONAL | Evaluates applications for institutional accreditation from university centres. |

Crucially, the ANECA is not alone in developing its tasks, as it shares them with homologous agencies created at the regional level.

Today, 10 of the 17 Autonomous Communities of Spain have such agencies. Most of them have been granted competences covering all those entrusted to the ANECA with effect over their region. In practice, however, they do not all develop all of them. This, together with the fact that regional agencies have can develop their own criteria and indicators and have no mutual recognition gives way to a very complex and heterogeneous map of evaluation, certification and accreditation schemes.

In addition, the **2011 Law of Science, Technology and Innovation**¹⁶¹, which established quality as one of its guiding principles, created the **Spanish Research Agency (AEI)**, in charge the *ex-ante* evaluation of all the scientific-technical matters entrusted to it by the Government through the distribution of public funds for research activities. The AEI also carries out a form of institutional accreditation through the distinctive *Severo Ochoa Centre of Excellence/Maria de Maeztu Unit of Excellence*, accrediting public research entities that demonstrate high scientific impact. Lastly, worth mentioning is the **High Council of Scientific Investigations (CSIC)**, a state agency attached to the Ministry of Science and Innovation, which has the main aim of developing and promoting scientific research. Since 2010, the CSIC counts with a Quality Management Plan, with a focus on three main areas:

¹⁶⁰ Real Decreto 420/2015, de 29 de mayo, de creación, reconocimiento, autorización y acreditación de universidades y centros universitarios.

¹⁶¹ Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.



guaranteeing quality in research (CALIN), in management (CALGES) and in the relation with users and clients (CALUS).

As such, the main stakeholders involved in the national evaluation of higher education and research quality are governmental agencies and different actors within the higher education and research community, particularly staff and researchers on the one hand, and universities and research centres, on the other, both at a national and regional level.

At the national level, very few of these mechanisms consider gender equality and diversity. Crucially, none of the evaluation, certification and accreditation schemes of the ANECA do, despite the fact that the agency included gender equality among its guiding principles as from 2015¹⁶².

Neither does AEI in a systematic way, as the evaluation criteria are determined by the regulations established in each individual call. The only scheme in which the AEI does take gender equality into account are the Severo Ochoa' and 'María de Maeztu' programs, which, since 2013, require centres and units to have strategic equality plans that include actions aimed at correcting gender inequalities. In addition, the AEI has drafted a "guiding list of relevant aspects for the Integration of gender analysis in research", to be taken into account in the evaluation of the quality of project proposal and the impact of its results¹⁶³, but, as its name indicates, such list is merely a guidance, not compulsory. Lastly, none of the quality assurance schemes of the CSIC take gender equality or diversity into account. Since 2018, however, the CSIC awards the Gender Equality Accreditation Distinctive, recognizing advancements in gender equality within research institutions of the CSIC.

At the regional level, the situation is very heterogeneous, as some agencies do take gender equality and diversity into account more or less systematically, others do so for some programs while not for others and still others do not consider such issues at all.

Only three fit the latter scenario, that is, the total disregard of gender and diversity (Isles Baleares, Canarias and Madrid). Among the rest, some consider gender and diversity issues in the evaluation and accreditation of university degrees (Catalunya, Castilla y Leon, País Vasco); others of university centres (Galicia, Aragón) and others through the development of Gender Equality Units and Plans as mandated by national legislation (País Vasco and Valencia).

In addition, some regions, generally through their women's institutes, offer prizes that certify achievements in gender equality, some of which target research and higher education specifically (Canarias), or which have been granted to research and higher education institutions even if targeting society as a whole (País Vasco and Andalucía).

Crucially, variation exists not just between these groups but also within them, as the extent, rigour and compulsory nature of the way they take gender equality and diversity into account as quality criteria varies significantly. While many regional agencies take gender equality into account in relation to university degrees, for example, they do so through general clauses, with very few indicators actually addressing the matter. The exception in this regard is Cataluña, which has developed a

¹⁶² Real Decreto 1112/2015, de 11 de diciembre, por el que se aprueba el Estatuto del Organismo Autónomo Agencia Nacional de Evaluación de la Calidad y Acreditación.

¹⁶³ Information note on the evaluation of the Integration of Gender Analysis in Research in the calls of the State Research Agency, available at:

<http://www.ciencia.gob.es/portal/site/MICINN/menuitem.26172fcf4eb029fa6ec7da6901432ea0/?vgnnextoid=30c8d40864afe610VgnVCM1000001d04140aRCRD>.



framework for assessing the inclusion of a gender perspective within university degrees. The same can be said for the evaluation of University centres, being the exception in this regard Aragón, which has developed the ALCAEUS Program to certify their commitment to the Agenda 2030 Sustainable Development Goal.

Gender in research and higher education

There is **no specific national policy in Spain that addresses gender equality and/or diversity in higher education or scientific research**. Gender equality in relation to the latter, however, has been addressed in other laws, both national and regional, related on the one hand to gender equality and on the other to higher education and research. **Considerations of diversity beyond gender, to the contrary, are totally absent in the national domain**, being considered only in the Catalan Law 11/2014 on LGBTQ rights, which does address higher education and research.

The first laws addressing gender equality in higher education and research in the national domain were adopted in the realm of gender equality, particularly the **Law on Comprehensive Protection Measures against Gender Violence**, adopted in 2004¹⁶⁴ and the **Law for the effective equality of women and men of 2007**¹⁶⁵. Both include “the elimination of obstacles that hinder full equality between men and women” as a quality principle, explicitly relating gender equality to the quality and excellence of higher education and research and including it within the ‘general principles and values of the educational system’.

As such, gender equality in higher education and research is framed not just a matter of social justice but also as a matter affecting the performance and quality of teaching and research. The former law considers the **educational system as a key area for the eradication of violence against women**, stating in Art. 4 that all universities shall include and promote training in equality and non-discrimination in all academic fields. The latter law went further, establishing in Art. 25 that teaching and research on the meaning and scope of gender equality were to be promoted in the field of higher education, in particular through (i) the inclusion, in the curricula, of teaching on equality between women and men; (ii) the creation of specific postgraduate courses; and (iii) the carrying out of specialized studies and research.

This connection between gender equality, the social role of education and research and their quality was strengthened by laws adopted in the field of higher education/scientific research. The first to do so was the **2007 Modification Act**, which displays a sensitivity towards gender equality that was totally absent in the 2001 Universities Act. Indeed, its preamble extends to universities “the challenge facing society to become a tolerant and egalitarian one that respects fundamental rights and freedoms and equality between men and women”.

The second to do so was the **2011 Law of Science**, which foresees the inclusion of a gender perspective, as a “transversal category in all aspects of scientific activity”, to achieve effective gender equality; a mandate that has been developed in several policy instruments, including the Spanish **Strategy for Science, Technology and Innovation (EESTI)** which defines the general objectives and framework for the promotion and development of research, development and innovation on a

¹⁶⁴ Ley Orgánica 1/2004, de 28 de diciembre, de Medidas de Protección Integral contra la Violencia de Género.

¹⁶⁵ Ley Orgánica 3/2007, de 22 de marzo, para la igualdad efectiva de mujeres y hombres.



multiannual basis, and the **Spanish State Plan for Scientific and Technical Research and Innovation (PECTI)** which sets its priorities, program and coordination and funding mechanisms.

To achieve the objectives outlined above, both the higher education/scientific research and gender equality laws include similar **concrete measures** and provisions. We can identify **five main types**:

- General obligations for universities and research centres related to “the inclusion and promotion in all academic fields of training, teaching and research on gender equality and non-discrimination” (Art. 4.7 of the 2004 Gender Violence Law).
- Equal treatment clauses such as the one contained in Art. 24 of the 2007 Gender Equality Law, which states that “all educational administrations will guarantee an equal right to the education for women and men through the active integration, in educational objectives and actions, of the principle of equal treatment”.
- Parity objectives with regards to representative and governing bodies of universities and research centres as well as the objective of achieving greater participation of women in research groups and among the upper echelons of professors and research staff.
- Obligations regarding the development of research and programs promoting knowledge on gender equality and its dissemination among people in the educational community. For example, Art. 25 of the 2007 Gender Equality law states that “public administrations will promote teaching and research on the meaning and scope of equality” through the “inclusion, in the corresponding study plans, of teachings on gender equality; the creation of specific postgraduate degrees and the carrying out specialized studies and research on the subject”.
- The laws adopted in the field of higher education and scientific research in particular calls on universities and research centres to create gender equality units and plans in order "to carry out functions related to the principle of equality between women and men" (Additional Provision 12 of the 2007 Modification Act and Additional Provision of the 2011 Science Law).

At the regional level, all Autonomous Communities have adopted their own laws addressing both Violence Against Women and Gender Equality. The former tend to include references to the educational system particularly in relation to prevention. Such is the case of Andalucía, Aragón, Canarias and Castilla y León. Some go further, also mentioning the need to revise the curricula and to develop research on the matter, as does Cataluña, Madrid, Valencia and Galicia.

None, however, include gender equality as a quality principle as in the national domain. **Regional laws on gender equality also tend to fall short when compared to the national law**, only including references to equal treatment and to the mainstreaming of gender equality in the educational system among their general principals. Such is the case of Andalucía, Islas Baleares or Canarias. Others have gone further, replicating the national law, such as Cataluña and Galicia.

Interestingly, only the Gender Equality law of Cataluña includes gender equality among its quality principles, demanding universities the “transversal introduction of a gender perspective in all areas of study and including it among the criteria for the accreditation of official university degrees”. In addition, the Catalan Law 11/2014 on LGBTQ rights establishes the obligation of promoting “research for the visibility of LGBTI people and the adoption of non-discrimination and awareness measures”, making Cataluña de only place that considers diversity, and arguably some sort of **intersectionality**, in relation to higher education.



The regional laws on Universities and Science, Technology and Innovation, lastly, also tend to fall short in matters of gender equality. This is so because many were adopted before the national laws, as is the case of Aragón, Islas Baleares, Canarias and Madrid. Still, some laws do include a consideration of gender equality even when they were adopted before, as in Cataluña, while others lack such consideration even when adopted after, as in Valencia. Others adopted after do consider gender equality in line with the national laws as in Andalucía, Galicia and País Vasco.

Crucially, none of the laws mentioned above link gender equality to [funding or to the awarding](#), certification, and accreditation of higher education and research organisations. While Spain has a relatively good policy framework addressing gender equality in higher education and research, therefore, it has not materialised in concrete awarding accreditation or certification instruments.

Introduction to the CAS in Spain

Three programmes related to accreditation were found of high priority for this research, as they deal with gender equality and diversity. One is at the national level - the **Gender Equality Accreditation Distinctive awarded by the CSIC**, and two at the regional one - the **VMMA Program of AQU** and the **ALCAEUS Program of ACPUA**.

Pointedly, **none of the evaluation, certification and accreditation schemes of ANECA take gender equality or diversity into account.**

At regional level, Women's institutes have granted awards related to gender equality in higher education/research (e.g., the **Emakunde Equality Awards**), yet only some target such domains specifically (e.g., the **Canary Institute for Equality Awards**). While they are of high priority, they do not link gender equality explicitly to quality or excellence and they include very few and vague criteria. Of medium priority is the **Equality in Business Distinctive** granted by the National Women's Institute, which is the only one which was found addressing business. The last CAs, the **Centres/Units of Excellence Severo Ochoa/Maria de Maeztu** take gender equality into account incidentally. A common characteristic of all CAS, worth highlighting, is the fact that none have an accessible internal Quality Assurance scheme for the CAS itself.

The first three CAS mentioned above are arguably the most relevant. Despite their newness, each has important assets regarding results, sustainability and replicability. The VMMA Program of AQU holistically addresses the incorporation of a gender perspective in university degrees in a way that could easily be replicated. Its compulsory nature, moreover, means that it will very likely have positive results.

The ALCAEUS Program of ACPUA, in turn, while voluntary, is the only one to address diversity, given its connection to the Agenda 2030 SDGs, which, as an internationally recognised framework grants it legitimacy and replicability.

The Gender Equality Accreditation Distinctive of the CSIC, lastly, while being voluntary and more closely connected to the national legal framework of Spain, has already yielded important results and could be adapted to other contexts, given its consideration of very specific indicators, such as the promotion of non-sexist language or the inclusion of mentoring programs for women, which could be replicated.

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How do Universities prioritise between Regional and National level CAs? Are multiple and parallel applications frequent? Is the financial incentive of the Centres/Units of Excellence Severo Ochoa/Maria de Maeztu a strong trigger?

The complex decentralisation of competences over higher education and research in Spain between the national and regional levels, resulting from its sui generis territorial system, has led to an equally complex map of evaluation, certification and accreditation agencies and schemes. The certification and award schemes managed by regional Quality Assessment and Accreditation Agencies tend to follow a general pattern of competence distribution where the regional agencies take over the tasks of the national agency, the AECPA, for their specific region, making multiple and parallel applications impossible. Such is the case of the Verification, Monitoring, Modification and Accreditation Program for University Degrees of the AQU, which applies obligatorily and exclusively to Catalan Universities. The ALCAEUS Program of the ACPUA is different, because it does not undertake a national task yet at regional level. It is an additional, own-initiative program developed by the ACPUA to certify the alignment of universities and university centres with the goals of Agenda 2030. Indeed, such program is voluntary, and open not only to institutions of other regions but also to those outside Spain. In this case multiple and parallel applications are also impossible because no other program of the same kind exists in Spain. The same happens with the Gender Equality Accreditation Distinctive awarded by the CSIC, which is granted nationally, exclusively by the latter and only to the research centres ascribed to it; with the awards granted by regional women's institutes, which only apply to their region and with the Severo Ochoa and Maria de Maeztu Centres and Units of Excellence, as no similar CA exists at regional level. Universities prioritise between the national and regional domains, therefore, either because the choice is compulsory or because a particular CAs exists exclusively in one of them.

Do Universities use HRS4R to promote gender equality policies?

HRS4R is widespread among Spanish universities and research centres. Of the 513 organisations that currently have the HR Excellence in Research award, 110 of them are Spanish (21%). Not all of them, however, use the award explicitly to promote gender equality. Indeed, for many of them, gender equality does not feature prominently in the action plans that are adopted in order to implement the HRS4R Charter and thus to receive the award. Among those that do use the award as an opportunity to improve their gender equality standards, moreover, it actually implies little added value in comparison to the current national policy on gender equality in higher education and research in Spain. This is so fundamentally because the measures proposed to advance gender equality within the scope of the award tend to reproduce those already mandated by national legislation, that is, the implementation of Gender Equality Units and Plans. Only in the case of private research organisations, therefore, that voluntarily decide to improve their gender equality standards, does the HRS4R award imply any significant advancement in this regard.

How would an EU-level CAs on Gender in Research fit in the Spanish scenario without overlapping with existing national and regional schemes?

Given the scenario outlined above, we can conclude that there is currently no certification and/or award scheme that focuses exclusively on gender equality as a quality criteria in relation to higher education and research organisations and is homogeneously applicable in Spain. Instead, we find a plethora of different schemes that focus on various issues and are awarded by various organisations to different types of higher education and research institutions at different territorial levels. Indeed, we find European schemes that address gender equality among many other issues; a national scheme that does focus on gender equality yet for which only some institutions are eligible (those ascribed to the CSIC) and two regional schemes, one which focus exclusively on gender equality but is limited to the region of Catalunya and another which is not limited in its geographical scope but which does not focus exclusively on gender equality either.

It is precisely this disheveled landscape that renders an EU level certification and/or award scheme on gender equality in higher education and research and excellent mechanism of homogenisation, offering a single certification or award scheme applicable to all higher education and research institutions all across the country. While overlapping to some degree with the certification and/or award schemes that currently exist in Spain, it would be the only one of its kind capable of being applied in such a homogeneous manner. Moreover, it could be designed in a way that advances the initiatives undertaken so far to promote gender equality in higher education and research by moving beyond the creation of Gender Units and the adoption of Gender Plans, which is currently the main initiative of this sort actually being implemented in Spain. This would indeed be the main advantage of creating a new EU level CAs focusing explicitly and exclusively on gender equality, rather than including gender equality in already existing CAs, particularly if it compounds prestige and recognition with a financial incentive. An additional focus on diversity more broadly, rather than just gender equality, moreover, would render such CA unique in its kind, affording it with the added value that current EU level CAs lack.



| | |
|---|--|
| Verification, monitoring, modification and accreditation of university degrees (VMMA) | 2019/ 2020 |
| Other | Regional / autonomous community of Catalunya |
| http://www.aqu.cat/universitats/avaluacio_titulacions/index_es.html#xorjpy8rzho | infor@aqu.cat |
| Awarding body: | Agència per a la Qualitat del Sistema Universitari de Catalunya (AQU) |
| Target Audience: | Research And Higher Education (Catalan Public And Private Universities) |

Overall description:

The national law of 2007 on the Modification of University laws of 2001 allowed universities to create their own official degrees, which would have to be verified, monitored and accredited by the ANECA. Accreditation indeed responds to a legal mandate and legalizes the academic credentials (degrees) awarded to university students. The Catalan Agency AQU undertakes such task for the region of Catalunya. In 2019, the Commission for the evaluation of institutions and programs within such agency created a general framework for the incorporation of a gender perspective in university degrees, to be added to the general VMMA framework, which means that to be accredited, official university degrees in Catalunya must include a gender perspective. There are two levels: accreditation of university degrees can be favourable or excellent.

Validity:

4 to 8 years, renewable

Interlinkages with national quality assurance mechanisms:

it is linked with the ANECA's VMMA Schemes, though applicable only to the region of Catalunya

Eligibility and requirements:**Eligibility**

Compulsory for all Catalan Universities

Requirements

None

Other information:

Extra information available in the [Summary Of The Activity Report Of AQU Catalunya, 2018](#).

Business model:

The scheme is funded through public funding. No other information is available.

Certification process, assessment, and support:

Universities must submit their proposals through the online application provided by the Ministry of Education. The University Council reviews the documentation provided and accepts the application if it meets the established requirements. Otherwise, universities will have 10 days to fix the errors of the application. Once accepted, the application is transferred to the AQU, which has to resolve within a period of 9 months. Once received, the proposal for accreditation is assigned to the corresponding evaluation commission, which evaluates it in accordance with the standards and criteria established in the guide for the verification of university qualifications. Said commission issues a preliminary report, which it sends to the universities to



present allegations, if necessary, which it has 20 days for. Such allegations are then evaluated by the commission which issue the final verification, to be assessed by the Council of Universities, which dictates a favourable or unfavourable result. The university may file an appeal against this decision before the Presidency of the Council of Universities within one month. If the appeal is accepted, the Council of Universities must send it to AQU Catalunya within 3 months. The Appeals Commission must issue the corresponding report, forwarding it to the University Council, which will issue a final resolution within 2 months. The decision will be communicated to the university, the autonomous community and the Ministry. Failure to resolve this deadline will allow the appeal to be dismissed. Once verified, AQU visits the institution for an on-site verification of the functioning of the degree, which is reflected in the external visit report. If positive, the agency will issue an accreditation report.

Criteria and Indicators used:

The criteria for the evaluation and certification of official university degrees are established in the protocol for the verification of university degrees prepared by the Spanish Network of University Quality Agencies. Such criteria include: the organization and development of the degree; information and transparency; quality assurance system; academic staff; support staff, material resources and services; learning outcomes; and satisfaction and performance indicators. The latter includes no criteria on gender equality. The general framework for the incorporation of a gender perspective in university degrees fills this gap, including the following criteria and indicators:

1. General indicators:

- existence of gender imbalances or stereotypes
- Percentage of women and men among the students of the degree;
- Percentage of women and men teachers in the degree;
- Percentage of women and men occupying permanent and non-permanent positions;
- Distribution by sex of the centre's management positions;
- Actions have been developed to increase the number of students of the sex less represented in this degree (yes / no, evidence);
- Actions have been developed to make visible the contribution of women to the discipline (bibliography, seminars, conferences, awards, extracurricular activities ...) (yes / no, evidence);
- Actions have been developed to incorporate the gender perspective in non-academic activities: professional orientation, tutorial action, academic regulations, conferences, awards, extracurricular activities ...) (yes / no, evidence);
- Actions have been developed to incorporate the gender perspective in non-academic activities: professional orientation, tutorial action, academic regulations, conferences / workshops / thematic workshops, internship agreements, etc. (yes / no, evidence).

2. Teacher training in gender perspective

- The institution offers the PDI training on a gender perspective (yes / no, evidence);
- The PDI with teaching in this degree participates in the training on gender perspective given at the university (yes / no, evidence);
- The PDI with teaching in this degree participates in educational innovation projects on a gender perspective (yes / no, evidence).

3. Elaboration of materials

- The degree makes available teaching materials with a gender perspective (yes / no, evidence)

4. Public information

- In the presentation materials of the degree (web, informative triptychs, etc.) both women and men appear and gender stereotypes are avoided

5. Specific indicators: Study Plan

- A diagnosis has been carried out on the degree of incorporation of the gender perspective in the whole of the degree (yes / no, main conclusions);



- Number and type of gender competences included in the degree;
- Number and type of gender-related learning outcomes;
- Number of subjects / subjects that incorporate a gender perspective or focus on gender;
- Indication of how many of these subjects / subjects are basic, compulsory or optional and the course in which they are taught;
- The degree's study plan allows students to take specialized subjects in gender from other study plans (elective, minor, free choice) (yes / no, evidence);
- Training is provided on how to carry out research with a gender perspective for the preparation of the TFG / TFM (yes / no, evidence).

6. Indicators of satisfaction of students

- The degree has evidence of the perception of the students about the degree of introduction of the gender perspective in their studies (yes / no, evidence)

Gender, diversity, and excellence:

National policies are mentioned within the subheading addressing the regulatory framework in the general Framework for the incorporation of a gender perspective in university degrees.

EHEA is regularly mentioned as source of obligations regarding gender equality in the fields of higher education and research.

Extra information available in the [General framework for the incorporation of a gender perspective in university degrees](#)

Program ALCAEUS: ACPUA Program of certification 2030

2020

Certification

<https://acpua.aragon.es/es>

Regional / Comunidad Autónoma de Aragón

acpua@aragon.es

Awarding body:

Agencia de Calidad y Prospectiva Universitaria de Aragón (ACPUA)

Target Audience:

research and Higher Education (universities in general, not limited to Aragón region)

Overall description:

ACPUA's ALCAEUS program provides an evaluation framework to assess the degree of commitment of centres and / or universities and research centres at national and international level to the Sustainable Development Goals (SDGs). The main objective of such certification is to give visibility to the effort that the institutions are carrying out in compliance with the SDGs set in the UN's 2030 Agenda. The process involves the delivery of a seal that establishes four levels of certification based on the score obtained in the evaluation.

There are different levels: the certification of universities and university centres can be gold, silver or bronze

Validity

5 years, renewable

Eligibility and requirements:

Eligibility

Universities and university centres

Requirements



Universities and university centres must count with an Internal System of Quality Assurance, implemented and certified by any recognized system.

Business model:

The scheme is funded through public funding. No other information is available.

Certification process, assessment, and support:

The centre that wishes to obtain its "Centre 2030" certificate must send a request letter, with the prior approval of the institution's legal representative, addressed to the Agency' that includes a Self-assessment evaluation report and the certificate in force of the implantation of its ISQA. Once a centre is certified, the university will obtain its corresponding certificate, calculating the level of the certificate from the arithmetic mean of the scores obtained by the centres ACPUA's Evaluation, Certification and Accreditation Commission will propose the members of the evaluation panel to be appointed by the Agency's Directorate. Said appointment will be communicated to the centre, which will have ten days to challenge it, after which the composition of the panel will be made public through the Agency's website. The panel of evaluators will study the documentation provided by the university (the self-report and the evidence related to the established criteria) as well as carrying out a visit to the centre, which will result in a visit report that will be submitted to the ACPUA Centres' Evaluation Subcommittee, together with the rest of the information. Said report proposal will include a quantitative and qualitative assessment of each of the criteria and also a proposal for the final score. The proposed report will be sent to the university so that it can present allegations within 10 days. The allegations will be studied by the ACPUA Centre Evaluation Subcommittee, which may request the evaluation panel to review them before the final report. Said report will contain an overall score that will determine the level of certification of the centre. The Agency will have a maximum period of 9 months to issue the corresponding certification. ACPUA will close the evaluation process by collecting information about the satisfaction of those involved in the process.

Criteria and Indicators used:

The criteria for the evaluation of universities and university centres is the following:

- Dimension 1: Strategy, alliances and recognitions (A. Commitment and strategy of the centre; B. Alliances; C. Internal and external acknowledgments)
- Dimension 2: Transparency and accountability (A. Public information)
- Dimension 3: Internal Quality Guarantee System (A. Quality processes and strategy; B. Personnel responsible for the Internal Quality Guarantee System)
- Dimension 4a: Programs for faculties, schools and educational centres (A. Development of frameworks for action; B. Student-centred learning: Competencies, Theoretical learning opportunities and practical learning opportunities)
- Dimension 4b: Projects: (A. objectives; B. activity planning; 3; results)
- Dimension 5: Personnel (A. Responsible for the training offer / research activity; B. Teaching and Research Staff; C. Administration and Services Personnel)
- Dimension 6: Financing and Resources (A. Internal and / or external financing; B. Resources)

Gender, diversity, and excellence:

The concept of intersectionality is indeed at the heart of the 2030 Agenda. The Sustainable Development Goals are not just indivisible but interconnected.

Commitment to the SDG of the Agenda 2030 are directly albeit not explicitly linked to the quality and excellence of higher education and to the ISQA.

For more info, refer to the [ACPUA's ALCAEUS program](#).



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| Gender Equality Accreditation Distinctive | 2018 |
| Award https://www.csic.es/es/el-csic/ciencia-en-igualdad/igualdad-en-el-csic | National https://www.csic.es/es/el-csic/ciencia-en-igualdad/comision-delegada-de-igualdad |
| Awarding body: | Superior Council of Scientific Investigations (CSIC) |
| Target Audience: | RESEARCH AND HE (Research institutes, centres and units associated to the CSIC) |

Overall description:

The Gender Equality Accreditation Distinctive is an award, granted by the CSIC on an annual basis, to recognise advancement in the field of gender equality within the research institutes associated to the CSIC. Concretely, the prize seeks to recognise those institutes, centres and units of the CSIC that have developed activities relevant to the promotion of equality. Its general aim is to promote the inclusion of a gender perspective as a transversal category in all areas of the CSIC and to advance in the promotion of measures destined to eliminate the barriers that women face in the exercise of their profession.

Validity

Not available

Eligibility and requirements:**Eligibility**

research institutes, centres and units associated to the CSIC

Requirements

To have developed specific actions in favour of gender equality

Business model:

The award grants a monetary prize of 3000 euros on an annual basis, given to the awardee in the form of credit. Funds come from the General funds of the CSIC.

Certification process, assessment, and support:

Candidacies must be presented within a month after the publication of the yearly call, sent by the Director of the Institute/Centre/Unit in pdf forma by email, explaining the concrete activity being presented, its content, and further endorsements and references, such as newspaper articles, photos, leaflets etc. The Jury, in charge of deliberating and proposing a resolution is formed by the president of the Equality Commission of the CSIC; the Secretary of the Commission of Women and Science; the Vice-president of Organisation and Institutional Relations, two members of the Commission on Women and Science and a representative from each of the most representative trade Unions: CCOO, CIG, CSI-F and UGT. An agreement must be reached by majority, elevating their decision to the president of the CSIC, who will then resolve the concession, instructing its execution. The monetary prize will be transferred to the winner within a month of the resolution.

Criteria and Indicators used:

the criteria considered in order to grant the award are the following:

- 1) it must be a finished initiative
- 2) that is or highlights an innovative or differential fact
- 3) done voluntarily, that is, beyond legal imperatives, and their sustainability, transferability to other areas, impact and durability will be taken into account.

In addition, the award takes into account aspects related to the implementation and monitoring of equality policies and research activity, specified in different indicators.

Gender, diversity, and excellence:

The general framework of the award mentions the national law on Gender Equality of 2007 See also the [Resolution of March 8, 2018](#), approving the general bases for the annual calls for the badge of accreditation in gender equality (badge of equality) of the State Agency Higher Council for Scientific Research.



| | |
|---|---|
| Emakunde Equality Award | 2006 |
| Award https://www.emakunde.euskadi.eus/sensibilizacion/-/informacion/premio-emakunde/ | Regional/ País Vasco emakunde@euskadi.eus |
| Awarding body: | Basque Women's Institute-Emakunde |
| Target Audience: | Business/Others and Research and Higher Education |

Overall description:

The Emakunde Awards were first established in 1990 to recognize the work of media professionals. Subsequently, in 1995, the field of advertising was incorporated into the awards and, in 1997, those of education and sport. In 2006 these awards were transformed into one, the Emakunde Equality Award, with the aim of highlighting and publicly recognizing the performance of those individuals or legal entities, public or private, who have distinguished themselves for their work in the field of equality of women and men, carrying out actions, works or projects that have led to the improvement of significant aspects in the recognition of the work of women and their empowerment or contribute with their career in a prominent way to the appreciation and dignity of the role of women, or in the promotion of equal rights and opportunities between the sexes in the Basque country.

Validity

Granted on a yearly basis, not renewable

Eligibility and requirements:**Eligibility**

In addition to the criteria specified above, the entities or persons that candidate themselves for recognition for their work in the field of equality between women and men may not have received any sanction, criminal or administrative or criminal for incurring discrimination on the basis of sex, or be subject to any legal prohibition that the disable for obtaining subsidies or public aid, with express mention of those that have occurred due to sex discrimination.

Candidates must also meet the requirements contained in article 13 of the General Subsidies Law 38/2003, of November 17, which includes the following conditions:

- a) Having been sentenced by a final sentence to the loss of the possibility of obtaining subsidies or public aid;
- b) Having requested the declaration of voluntary insolvency, having been declared insolvent in any proceeding, being declared insolvent, unless this agreement has become effective, being subject to judicial intervention or having been disqualified in accordance with Law 22/2003, of July 9, Insolvency proceedings, without the disqualification period set in the bankruptcy judgment having concluded;
- c) Having given rise, by reason of which they had been found guilty, to the firm termination of any contract concluded with the Administration;
- d) The natural person, the administrators of the mercantile companies or those who hold the legal representation of other legal persons are involved in any of the cases of Law 12/1995, of May 11, on Incompatibilities of the Members of the Government of the Nation and of the High Positions of the General Administration of the State, of the Law 53/1984, of December 26, of Incompatibilities of the Personnel at the Service of the Public Administrations, or dealing with any of the elective positions regulated in the Law Organic 5/1985, of June 19, of the General Electoral Regime, in the terms established in it or in the regional regulations that regulate these matters;
- e) Not being up to date in the fulfilment of the tax obligations or in front of the Social Security imposed by the current dispositions, in the way that is determined by regulation;
- f) Have tax residence in a country or territory classified by regulation as a tax haven;



- g) Not being up to date with the payment of obligations for the reimbursement of subsidies in the terms that are determined by regulation;
- h) To have been sanctioned by means of a firm resolution with the loss of the possibility of obtaining subsidies according to this law or the General Tax Law.

Requirements

To be eligible for application, in addition to the criteria indicated above, candidates must submit an application. Interested legal persons, like the other subjects obliged to interact electronically with the Public Administrations, must submit their applications through the electronic channel at the electronic headquarters of the Basque country. at the electronic headquarters of the Basque country. Nominations must be accompanied by a memory of a maximum of 20 pages and the documentation proving the contribution to equality between women and men, as well as a summary of the memory of no more than 2 pages in which they are collected the reasons why it is considered to be the ideal candidate for the Prize, based on the evaluation criteria. If the application is for a legal person, the total number of women and men that comprise it must be indicated.

Other information: A list of winners is available [online](#).

Business model:

The overall budget of the Emakunde prize for 2019 was 14.400 euros, provided for by the Basque Women's Institute-Emakunde. Such funds are allocated to the winner of the prize.

Certification process, assessment, and support:

Once submitted, if the application is not completed in all its terms or accompanied by all the documentation, the Institute will require the interested party so that, within a period of ten days, they can correct it , if not, it will be considered to have withdrawn the request. A Jury will be constituted made up of the Board of Directors of the Basque Woman's Institute and those who have won the award in previous editions. The composition of the Jury will be made public at least one month before the publication of the award Resolution. The Jury is responsible for verifying compliance and evaluating the documentation, as a result of which it will propose the winner of the award, by simple majority, which will be forwarded to the Director or Director of Emakunde, who will dictate it by Resolution. The Minutes containing the decision of the Jury will be published in the Official Gazette of the Basque country The maximum term to resolve will be six months from its publication. The act of public recognition will consist of a public act of concession of the Emakunde Prize for Equality convened by the Lehendakari where the honorary distinction will be presented.

Criteria and Indicators used:

The jury will take into account the following criteria, which have an equal weight: a) Trajectory of the person proposed in the field of equality of women and men in which he has been carrying out his activity. b) Intrinsic relevance of the actions, actions, works or projects aimed at recognizing the work of women and their empowerment or the promotion of equal rights and opportunities between the sexes. c) Repercussion and influence in society of the performance, actions, works or projects, or trajectory developed by the proposed person. These are not specified further in indicators.

Gender, diversity, and excellence:

There is an explicit reference to the national law on Gender Equality of 2007



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| The Canary Institute for Equality Awards | 1999 |
| Award | Regional/ Canarias |
| https://www.gobiernodecanarias.org | direccion.cbsjv@gobiernodecanarias.org |
| Awarding body: | The Canary Institute for Equality |
| Target Audience: | Business/Other and Research and Higher Education |

Overall description:

The prizes of the Canary Institute of Equality are born with the purpose of recognizing the informative, advertising, informative and research works that help to recognize the contributions of women to society and to eliminate gender stereotypes and the various situations of discrimination against women in society, as well as to distinguish the work of individuals and entities in favour of the same purpose. They have been delivered since 1999; between its creation and 2007, every year and, thereafter (after the modification of the Decree that regulates them), every two years. A new modification of its regulation, in 2014, extended its modalities to socio-cultural or sports initiatives, educational projects on equality and good practices of local entities in matters of equality between women and men.

There is the possibility to obtain an honorary distinction

Validity

2 years, not renewable

Eligibility and requirements:**Eligibility**

persons or entities that have carried out relevant work on equal opportunities between women and men.

Requirements

For the modality of scientific or technological research: the latter must address issues related to gender equality or the eradication of gender violence, expressed in Spanish.

Business model:

The monetary reward of the awards was suspended by the twenty-ninth additional provision of Law 7/2018, of December 28, of General Budgets of the Autonomous Community of the Canary Islands for 2019 of General Budgets of the Autonomous Community of the Canary Islands for 2019 (BOC nº 252, of 12.31.18), Awarding of prizes: "It is suspended, for the year 2019, the economic content of any kind of prizes to be awarded by the Public Administration of the Autonomous Community of the Canary Islands or its autonomous bodies, public law entities, dependent public mercantile companies, public business entities and public foundations."

Certification process, assessment, and support:

Nominations must be proposed by of public bodies, women's associations or social initiative entities that are not a beneficiary party. These must include: 1. Memory of the merits and reasons that have motivated the presentation of the application, as well as a curriculum vitae. 2. Report on the project or activity carried out by the candidate 3. Express acceptance on behalf of the candidate. A gender-balanced Jury will be constituted by a number of people no less than five or more than seven, appointed by the head of the Ministry responsible for equality taking into account their proven personal or professional record in favour of equal rights between both sexes or to the eradication of gender violence. The Jury will propose a winner for each modality. The awarding of the prizes corresponds to the Directorate of the Canary Institute of Equality, by means of Resolution, in accordance with the proposal that the jury formulates for this purpose, and its delivery will be made in a public act.



Criteria and Indicators used:

General criteria: the contribution to the improvement of the social conditions of women, to the claim of their rights, to the denunciation of situations of discrimination and mistreatment based on sex, to the eradication of gender violence and to highlight the role of women and their contributions to society.

Specific criteria for the modality of scientific or technological research: its scientific quality and the contribution of new knowledge and technological advances in relation to the analysis of the situation of women in society, the proposals to modify discriminatory conditions based on sex, the dissemination of the achievements and contributions of women in the various fields of knowledge and human activity, and, in general, the non-sexist construction of knowledge and culture and the use of non-sexist language and images, as well as the eradication of gender violence.

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|---|---|
| The “Centre of Excellence Severo Ochoa” and “Unit of Excellence Maria de Maeztu” Awards | 2011 |
| Award http://www.ciencia.gob.es/portal/site/MICINN | National sev.mdm.solicitud@aei.gob.es |
| Awarding body: | the Planning and Administrative Management Subdivision of the State Research Agency. |
| Target Audience: | Research and Higher Education |

Overall description:

The “Centre of Excellence Severo Ochoa” and “Unit of Excellence Maria de Maeztu” Award, aims to fund and accredit public research centres and units that demonstrate scientific leadership and impact at a global level and active collaboration in their social and business environment, so as to promote the quality of Spanish scientific research. To that end, the awards not only accredit the latter but also finance the strategic plans or research programmes proposed by the centres or units, in order to consolidate their scientific capacities. As such, the accreditation lasts for four years, the total quantity offered has varied over time. In 2018 it was: 2 million Euros per year for each centre, and 1 million Euros per year for each unit. Awardees also get priority access to other grants provided that the pertinent principles of transparency and competition are observed and a boost to the reputation and social and scientific recognition that strengthens them as candidates for patronage, among other benefits.

Validity

4 years

Interlinkages with Research Funding regulations/processes

The accreditation as a Centre or Unit of Excellence also implies funding for 4 years of the strategic plans or research programmes they propose.

Eligibility and requirements:**Eligibility**

The centres must be legally constituted since at least January 1, 2011, have research staff assigned to the centre and have at least ten guarantor researchers, in addition to the scientific director; The units must have the formal or documented recognition or approval of the governing bodies of the entity to which they belong and, when appropriate, have been created by the competent body, in accordance with the legal regulations or statutes of said entity. or with the regulations that regulate its creation, since at least January 1, 2016; Have a shared research trajectory, articulated from the scientific point of view and demonstrable at least during the reference period; dispose of scientific infrastructure and resources shared by all the researchers that make up the unit, which allow the consolidation and development of a common strategic research



program and training activities; have a staff of doctor researchers attached to the unit and have at least six guarantor researchers, in addition to the scientific director.

Requirements

In addition to the specific requirements for centres and units outlined above, beneficiaries must be entities defined in section 1.3. ee) of the Communication from the Commission on the Framework for State Aid for Research and Development and Innovation 2014 / C 198/01 published in the "Official Journal of the European Union" C 198, of June 27, 2014, regardless of their legal personality (public or private law) or their form of financing, whose main objective is to carry out fundamental research, industrial research or experimental development or to widely disseminate the results thereof through teaching, publication or transfer of knowledge. When said entity also carries out economic activities, the respective financing, costs and income must be reported separately. Companies that can have a decisive influence on these entities, for example, as shareholders or members, will not be able to enjoy preferential access to the research capabilities of the research organization or to the results it generates.

Other information: A list of the awarded Centres and Units can be found [online](#).

Business model:

The awards counted in 2018 with an overall annual budget of 52,000,000 euros, derived from the State Subprogramme for Institutional Strengthening of the State Programme for Knowledge Generation and Scientific and Technological Strengthening of the R+D+I system. Such budget is allocated to centres and units along four years, including one million Euros per year for each centre, and 500.000 Euros per year for each unit.

Certification process, assessment, and support:

The first step is the presentation of the request form by the centre / unit, specifically by its scientific director and its legal representative, which will be signed and registered. It must contain an activity report and a strategic plan or program. The examining body then reviews the documentation, which can be corrected in 10 days if it is not correct, and names a scientific committee made up of renowned international experts who will examine the documentation. The scientific committees will make a scientific-technical report on the individual evaluation of each project, which they will then send to the evaluation commission, designated by the awarding body, which will evaluate the applications by comparing them. Both the expert committee and the evaluation commission must have the same number of women and men. The examining body will formulate the provisional resolution proposal in view of the file and the report of the evaluation commission. The provisional resolution proposal will be notified to the applicants so that, within a period of 10 days, they express their acceptance or withdrawal of the proposed aid or make the allegations they deem appropriate. The examining body will formulate the final resolution proposal, once the evaluation commission has examined, where appropriate, the allegations presented.

Criteria and Indicators used:

Six criteria are defined for the evaluation of the memory of activities of the centre or the unit (to qualify, the centre of unit must achieve a minimum of 90 points):

1. Organization and management capacities (0-10 points).
2. Results of the investigation (0-35 points, must achieve > 30), takes into account: A) Scientific contributions (0-25 points) and B) Other research results and their impact (0-10 points).
3. Human resources and equipment (with special emphasis on internationalization) and available materials (0-30 points, must achieve > 20).
4. Training and incorporation of human resources (0-10 points).
5. International leadership (0-10 points). 6. Financing obtained from other sources (in the period 2014-2017) (0-5 points).

Five criteria are defined for evaluating the centre/unit's strategic plan and research program units for the following four years to qualify, the centre of unit must achieve a minimum of 90 points):

1. Strategic and research objectives (0-40 points, must achieve > 30).
2. Training and incorporation of human resources (0-25 points, must achieve > 20).
3. Internationalization (0-15 points).



4. Expected results, exploitation and dissemination (0-10 points).
5. Opportunity and feasibility (0-10 points).

Gender, diversity, and excellence:

The definition of units and centres follows that of the European Commission, citing its communication on the Framework for State Aid for Research and Development and Innovation 2014 / C 198/01 published in the "Official Journal of the European Union" C 198, of June 27, 2014

Quality and excellence are not specifically defined, but they are linked to the following criteria: the organization and management capacities; equipment and human and material resources; research results; training and incorporation; international leadership and financing sources.

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| <p>Equality in Business Distinctive Certification http://www.igualdadenlaempresa.es/recursos/</p> <p>Awarding body:</p> <p>Target Audience:</p> | <p>2010 National distintivoie@inmujer.es</p> <p>Institute for Women and Equal Opportunities</p> <p>Business+Others</p> |
|---|---|

Overall description:

The "Equality in business" distinctive aims to recognize and stimulate the work of companies committed to equality, by highlighting the application of policies for equal treatment and opportunities in working conditions, in organizational models and in other areas, such as services, products and advertising of the company. The badge is an honorary recognition without financial endowment. However, the new Public Sector Contracts Law (Law 9/2017), in its article 127, establishes the possibility that when a contracting authority intends to acquire works, supplies or services with specific environmental characteristics, social or other, may require a distinctive as a means of proof that the works, services or supplies meet the required characteristics, a requirement that this distinctive can meet.

Validity

3 Years, renewable

Eligibility and requirements:

Eligibility

The candidate entities or companies must meet the following requirements: a) Be registered in the corresponding Social Security system and, when appropriate, be formally constituted and registered in the corresponding public registry; b) Be up to date in compliance with tax and Social Security obligations; c) Not having been sanctioned with firm character in the two or three years prior to the end date of the term of presentation of candidacies, for serious or very serious infraction, respectively, in matters of equal opportunities and non-discrimination, in accordance with the provisions of the consolidated text of the Law on Infractions and Sanctions in the Social Order, approved by Royal Legislative Decree 5/2000, of August 4; d) Not having been sanctioned with firm character in the two or three years prior to the end date of the term of presentation of candidacies, for serious or very serious infraction, respectively, in matters of equality and non-discrimination in access to goods and services; e) Have an explicit commitment regarding equal opportunities between women and men in working conditions, the organization and internal functioning of the company or entity, and Corporate Social Responsibility. Said commitment must be in writing, and the form chosen by the company to disseminate it to the entire workforce must also be accredited; f) Having implemented an Equality Plan, in those cases in which the company or entity is obliged to do so by legal or conventional imperative. In the other cases, having implemented an Equality Plan or, failing that, equality policies; g) Have made a balance or report of monitoring and evaluation of the Equality Plan or, failing that,



of the measures developed in its equality policies. The evaluation must have been carried out after at least one year has elapsed since the approval of the Equality Plan or the implementation of the aforementioned measures.

Requirements

Companies or entities must submit their application using the standard models that include their description, a report on their situation in relation to the application and implementation of equality plans and measures, and quantitative information on the workforce and salary structure of the company or entity. The companies or entities will present their candidacy through the electronic headquarters of the Ministry of the Presidency, Relations with the Courts and Equality. This headquarters will be accessed through <https://sedempr.gob.es/es>, where the necessary instructions will appear. Along with the application, the companies or entities must accompany the documentation proving compliance with the general requirements as well as the situation of the company or entity in relation to the implementation of the equality plan or policies.

Business model:

The Distinctive implies no funding, as it is just honorary, implying no monetary retribution.

Certification process, assessment, and support:

Once the application has been submitted, if the documentation provided is incomplete or suffers from any other defect that can be rectified, the application will be required to do so within ten days. afterwards an evaluation commission will be formed, which will verify compliance with the requirements to attend the call and will verify and evaluate the documentation presented. In view of the file, and having examined the allegations of the entities or companies concerned, the Evaluation Commission, through the investigative body, established in section 1 of this article, will raise the head of the Ministry of the Presidency, Relations with the Cortes y Igualdad the corresponding final resolution proposal. In view of the proposal submitted by the Evaluation Commission, the head of the Ministry of the Presidency, Relations with the Courts and Equality will proceed to issue a reasoned resolution on the candidates for the award of the "Equality in the Company" badge. The resolution will be published in the "Official State Gazette" and will contain only the list of companies or entities to which the distinctive is granted.

It offers a guide for applicants, available [online](#).

Criteria and Indicators used:

The assessment is based on the following criteria, in turn divided into several indicators:

- a) General aspects related to the Equality Plan or the equality policies of women and men (110 points);
- b) Aspects related to access to employment and working conditions (110 points);
- c) Aspects related to the organizational model and Corporate Social Responsibility of companies or entities (90 points);
- d) The results obtained from the implementation in the company of the measures contained in the Equality Plan or in equality policies.

Gender, diversity, and excellence:

There is an explicit reference to National Equality law of 2007, which includes in its Art. 50 measures towards businesses.

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SWEDEN

[Link to resources](#)

National CAS:

- **Gender certification at Lund University**
- **LGBTQI-certification by RFSL**
- **On equal terms (certification in preschools in Falun)**
- **JämBar (certification of preschools and schools in Karlskrona)**
- **EQ-Z-län, Winnet GE certification**
- **EVOLVE diversity certification.**

Number of HRS4R awardees:

- **5 (as of 30/06/20)**

National context for Quality Assurance and Accreditation

There have been relevant efforts at evaluating research in Sweden, although no equivalent of the “Norwegian list”, where all research is indexed using impact factors and quotation ratios, exists. During the last 20 years, three rounds of assessments have been made (1996-1997, 1998-2002, 2008-2012) by the **Swedish higher education authority (UKÄ)** and its predecessor Högskoleverket (HSV). Lately, UKÄ, together with the research funding bodies, have been tasked with developing indicators and a system for assessing Swedish research (UKÄ, 2018). The UKÄ has, as a response, developed ways of assessing the universities’ own quality assurance tools. That is, **the quality work is divided between the universities and the UKÄ authority**, so that the universities assess and answer for the quality of research at that particular university, while the UKÄ evaluate the universities’ systems for such quality assurance. Swedish research has also been evaluated by various international bodies (OECD, 2016; CFA, n.d.).

Another way in which Swedish research is evaluated is through the **assessment work of the big research funders**, for instance the Swedish research council (Vetenskapsrådet, VR). Along with VR, research funders like Forte (research council for research on health, working life and welfare), Formas (research council for sustainable development) and Vinnova (the innovation agency), assess research quality in the review of applications from researchers and others. The Swedish research council (VR) is also responsible for several special initiatives, such as naming and funding what is deemed “excellent” research centres and environments. Such initiatives include quality assessment in the application phase but also afterwards. In a report (VR, 2015) VR assesses the success of these special initiatives, and several reports and articles also outline the gendered implications of these initiatives (e.g. VR, 2019)

UKÄ is responsible for reviewing the quality of Higher Education in all state universities and university colleges (there are 15 state universities and 16 state university colleges). UKÄ is also, indirectly, responsible for awarding the right to educate and examine students in non-state third stage education (there are 17 such institutions in Sweden). UKÄ is also responsible for monitoring how efficiently the HEIs operate and for ensuring that HEIs comply with relevant legislation and regulations.

The mechanisms include four kinds of assessments performed by the UKÄ:

- Assessment of quality assurance work in each HE institution
- Assessment of education programmes
- Issuing of rights to award degrees



- Thematic evaluations (with varying methodologies and foci. So far, there have been two: 2017 an evaluation of HEIs work with sustainable development and 2019-2021 UKÄ will conduct an evaluation of HEIs work with widened participation).

The UKÄ use six criteria in their assessments:

- regulations and organization (How does the quality assurance system of the HEI work?)
- Preconditions (are the preconditions for students' learning, and for teachers to do their work well in place, and how do the HEIs make sure they are?)
- Design, implementation and result (how does the HEI develop its education programmes/courses and make sure of their quality?)
- Student and PhD student perspective (how does the HEI ensure students and PhD student influence?)
- Worklife connections (how do the HEIs ensure that the education is useful and trains students well?)
- Gender equality (how does the HEI ensure that gender equality is taken into account in educations' content, design and practices?) (UKÄ, 1).

Most of these processes and mechanisms take gender into account. The Swedish HE law, Högskolelagen, states that gender equality between women and men should be "regarded and promoted" (SFS, 1992:1434). This law applies both in state and non-state universities (Högskoleverket, 2008 p. 21). This means that all universities are obliged to work with gender equality.

Already in 2009, the Delegation for gender equality in higher education (Delegationen för jämställdhet i högskolan) initiated work on gender equality in Swedish HE, produced several informative reports and funded a number of projects, among others the gender certification scheme at Lund university (see the relative sheet). The concluding report states that there are gender inequalities in Swedish HE and research, both among researchers, their career paths, possibilities etc and in students' study choices (UHR, 2014 p. 9 ff).

It is also noted that it is problematic to conduct gender equality work as externally funded projects (UHR, 2014 p. 13), and in the discussion of the gender certification scheme at Lund university, the report argues that gender certification is "very interesting" but unclear, and note that it is not entirely clear what the certification requirements are (UHR, 2014 p. 63).

In 2016, a process of **gender mainstreaming in universities** and university colleges (Jämställdhetsintegrering i högskolor och universitet, JiHU) was initiated by the government (Jämställdhetsmyndigheten, 2019). This is a process that is meant to happen in all Swedish state authorities, which includes the universities. All state universities and university colleges, as well as two private universities are tasked with becoming gender mainstreamed by 2019.

A final report will come later in 2020, and an intermittent report (Jämställdhetsmyndigheten, 2019) shows that the universities have been tasked with mapping, identifying and counteracting problems at the specific HEI, so as to make the gender mainstreaming work more concrete. The HEIs have chosen to work with issues such as 1) counteracting gendered student choices of field of study, 2) developing forms and content of their programmes and courses, 3) promoting equal career paths between male and female researchers, 4) promote a gender-equal distribution of resources and 5) develop evaluations and follow up systems.

The evaluations of HE conducted by the UKÄ mentioned above is one of the most powerful evaluative mechanisms in Swedish HE. **One of UKÄ's focal areas is gender equality.** The HEIs are tasked with ensuring



that gender equality is part of their systematic quality assurance work, both regarding the ratio of women and men in education programmes and courses and regarding attitudes, norms, values and ideals (UKÄ, 2016 p. 16). These focal areas are used also in UKÄ's evaluations of research, and UKÄ suggests in a report that "gender equality is an important aspect of quality work, which should be part of the assessment of the HEIs internal quality systems for research" (UKÄ, 2018 p. 52).

When it comes to the **funding** and evaluation of research, **the big state research funders are obliged to take gender equality into account**. This has several consequences: The Swedish research council (VR), works with gender balance in their evaluation committees and strive to have the same gender balance among applicants as among funded researchers, and to fund female and male researchers with, on average, the same amounts of money. Evaluations and reports, as well as PR, should be considered from a gender perspective (VR, 2019 p. 7).

The state research funding organizations have also been responsible for several special funding initiatives (aiming for research excellence). These initiatives include the Linneaus centres, Berzelii centres, Centres of gender excellence (aimed at research in gender studies), and various individual grants (to prominent international researchers, to professorships, to younger researchers). VR evaluated these from a gender perspective (VR, 2019) and showed that the gender balance of applicants corresponded with the gender balance of the researchers funded. More men applied for funding, and so these initiatives promoted more male researchers than female. Also, among senior researchers, who could apply, the majority are men. This report does not discuss the requirements for being granted funding.

Gender is increasingly integrated also into the funding assessment process of the big RFOs. As of 2018, the RFOs shall "promote the inclusion of a sex- and gender perspective in funded research, whenever applicable" (VR, 2020 p. 5). The state RFOs have chosen varying strategies here. The Swedish research council started with requiring applicants from clinical treatment research, medicine and health, and educational sciences research to "state whether sex and gender perspectives are relevant in [the applicant's] research", and from 2020, all applicants are required to answer this question. Forte (research council for research on health, working life and welfare) ask the applicant to relate "Gender and diversity perspectives in the content of the research" and Formas (research council for sustainable development) require the applicant to connect their research with three of the UN Sustainable development goals, of which gender equality is one. This initiative is still new, but in an evaluation of VR's part of it, VR stated that younger and female researchers, and researchers within educational sciences were more likely to state that gender and diversity was relevant to their research projects (VR, 2020)

Gender in research and higher education

There are national policies in place on Gender in Higher Education and Scientific Research. For instance, The Swedish HE law, Högskolelagen, states that gender equality between women and men should be "regarded and promoted" (SFS, 1992:1434). In addition, **all universities and university colleges are obliged to include gender mainstreaming** in their organisations, just as all other Swedish government authorities. The appropriation directions for 2020 state that all universities shall work with equal opportunities in career choice, gendered choices in education and gendered study results, and, on the research level, are obliged to report how gender equality is taken into account when distributing research funds locally (Regeringen, 2019). This applies also to the state RFOs, who ask most applicants how a gender and diversity perspective is, or is not, relevant to the research.



The inclusion of gender equality as a criterion in the UKÄ evaluations of HE and research can also be seen as a national policy, since it applies nationally and all HEIs are obliged to be evaluated by UKÄ.

In these policies, **gender equality is addressed in several different ways**. One aspect that is often brought up is equality in numbers among researchers and students. Swedish HEIs should counteract gendered study choices, that is, that male students choose some educational programmes and courses, while female students choose others. In the division of research funding, quantitative measures regarding gender balance among funded researchers are taken into account in a similar way. That senior researchers consist mostly of men is also addressed. A more qualitative measurement is the question asked by RFOs about how gender and diversity are relevant to the research. In this question, the research itself is addressed, not the question of who the researcher is.

Thus, Swedish policies firstly suggest that the gender of the researcher matters. This might matter to the research, its content and focus, but it is also a question of justice and equal opportunities among researchers. Nobody should be hindered, explicitly or implicitly, from becoming a researcher or continuing one's career as a researcher by their gender (VR, 2014). Promoting diversity among researchers is sometimes motivated by research about mixed groups being more productive, creative and innovative. The qualitative argument about the content of the research is not motivated in VR reports or on its website, but links and suggested readings include among other things a video from IGAR (Recommendations for Integrating Gender Analysis into Research) which suggests that research that takes gender or sex into account is more rigorous, and more objective (VR, n.d.).

One **concrete measure** that is foreseen by the policies, and which has also been implemented is the question about relevance of gender and sex in funding applications. Another is measures to make it possible to combine family life with a career as a researcher, thought to promote more women in higher positions at the universities. Here, reports and policies discuss expectations of researchers, and masculine ideas of the researcher as a "lone genius". A more social notion of the researcher with a focus on networking is thought to benefit women researchers. Policies aimed at reducing sexual harassment can also be seen as a way of trying to keep women in academia, although few concrete measures against sexual harassment are mentioned in the reports.

The national evaluation of HE is directly involved in awarding rights to educate and issue exams to students on different levels. There have been other attempts to discuss gender **certification** in the Swedish HE context. The issue has been explored both at Umeå University (Wide, 2007) and Uppsala University. The most far-reaching attempts have been made at Lund University, where gender certification scheme was investigated and then implemented in three departments at the university. None of the departments felt that they were ready to be certified at the end of the funded period, but argued that the initiative had raised awareness and knowledge in the departments. After this initiative (which ended around 2011), gender certification of HE or of universities has not been further developed in the Swedish context. This might be due to that most Swedish HEIs are also state authorities, which are required to work with gender equality and with gender mainstreaming. As mentioned above, this work constitutes a kind of certification, since it is the UKÄ that approves whether a certain HE course or programme can be run.

As far as **intersectionality** goes, a good example is the research funder Forte asks the applicant to divulge the gender balance among the researchers. It also asks for a "theoretically grounded gender- and diversity perspective" (Forte, 2020) as a part of a research funding application (diversity, they write, includes questions of ability, ethnicity, socioeconomic status, age and sexual orientation).



Introduction to the CAS in Sweden

Swedish policies around GE in HE and in society at large are far-reaching and high-profile issues. Despite this, gender certification schemes are relatively uncommon. Instead, other strategies are used, such as integrating gender equality issues in general quality assessment.

In the early 00's, gender certification was discussed in various Swedish contexts, and several parts of society became engaged in such schemes. For instance, preschools in the municipalities Falun and Karlskrona, and companies in the region of Jämtland could be certified (Wide, 2007). A **state report** (SOU, 2002:30) investigated the possibilities of gender certification as a viable strategy. The report discusses possibilities of companies seeking voluntary gender certification, in a similar way as companies, goods and services can work with environmental issues and be certified as ecological or sustainable. Several **gender equality indexes** were developed, one by the Swedish statistical agency, one by insurance company Folksam (still active).

The most high-profile certifying scheme right now (2020) is the **LGBTQI-certification scheme** founded by the NGO RFSL (The Swedish Federation for Lesbian, Gay, Bisexual, Transgender, Queer and Intersex Rights). The certified parties include businesses and publicly funded organizations, but also a few HE departments. Also, the companies Winnet and Evolve work with GE and diversity certification of businesses. All of these are discussed in more detail below.

Within HE, gender certification has been discussed at Uppsala, Umeå and Lund universities (Wide, 2007). Despite this, Lund university is the only HEI having developed, implemented and evaluated a gender certification scheme in Sweden. This took place in 2007-2011, but there are no records of the certification scheme having been taken up since. In fact, **Sweden seems to have chosen other strategies for ensuring gender equality in HE**, such as the evaluations performed by the UKÄ.

The Swedish GE landscape also includes **several minor GE awards**. The only relevant to HE is the Swedish National Union of Students' GE award, which was presented to various individuals between (approximately) 2008 and 2010. Since this award was presented to individuals, it is not further discussed in the context of this research. Outside of HE, there are several minor awards that are given to companies, boards and workplaces that are particularly good in the context of gender equality or diversity.

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| Quality assessment of HE courses and programmes by the Swedish higher education authority (Universitetskanslerämbetet, UKÄ) | UKÄ was founded in 2013 (earlier it was called Högskoleverket). 2017 is the earliest assessment on UKÄ's webpage. |
| Certification https://www.uka.se/kvalitet--examenstillstand/sa-granskas-hogre-utbildning.html | National utvardering@uka.se |
| Awarding body: | Swedish higher education authority (Universitetskanslersämbetet) |
| Target Audience: | Research and Higher Education |

Overall description:

The Swedish higher education authority assesses HE education programmes and courses.

It works with four different kinds of assessments:

- 1) Assessment of quality assurance work in each HE institution
- 2) Assessment of education programmes,
- 3) Issuing of rights to award degrees,
- 4) Thematic evaluations (2019-2021 an evaluation of HEIs work with widened participation. 2017 an evaluation of HEIs work with sustainable development).

As the Swedish higher education authority assesses all HE in Sweden, their certification work is one of the most important examples in the Swedish context, even though it is not strictly a CA scheme in the CASPER sense.

The evaluations of quality work in HE has three results:

- 1) Approved quality assurance work,
- 2) Approved with reservation
- 3) Questioned quality assurance work.

The other kinds of assessment performed by the Swedish higher education authority have two, or other, categories (i.e. the right to award a certain degree or not).

Validity

Unsure

Interlinkages with national quality assurance mechanisms: The Swedish higher education authority assesses all higher education in Sweden, so in a way this certification constitutes a "national quality mechanism".

Interlinkages with Research Funding regulations/processes: If not approved of, the UKÄ can close down the HE programme or course.

Eligibility and requirements:**Eligibility**

You do not apply, HEIs are obliged to be evaluated and if approved, certified.

Requirements

You do not apply. All state HE (also private HE) is subject to assessment.

Business model:

UKÄ, the Swedish higher education authority, is a government body, and its resources comes from the state, i.e. tax money.

Certification process, assessment, and support:

All HEIs are assessed using six criteria:

- 1) regulations and organization (How does the quality assurance system of the HEI work?),
- 2) Preconditions (are the preconditions for students' learning, and for teachers, in place, and how do the HEIs make sure they are?),
- 3) Design, implementation and result (how does the HEI develop its education programmes/courses and make sure of their quality?),
- 4) Student and PhD student perspective (how does the HEI ensure students and PhD student influence?)
- 5) **Work-life connections** (how do the HEIs ensure that the education is useful and trains students well?) and
- 6) **Gender equality** (how does the HEI ensure that gender equality is taken into account in educations' content, design and practices?).

The UKÄ performs several kinds of assessments using these criteria, but for an HE course or programme, the process is as follows: First, the HEI hands in a self-assessment. Second, it hands in student essays or PhD students' study plans as examples of educational quality. Third, interviews with students and PhD students by the UKÄ. Fourth, other information is used, such as retention, or employment statistics. After this, the assessment is made, which is subject to the HEIs comments. After this, the report and the result are finalised. If a department should be unsuccessful, instructions for improvement is given by the UKÄ. The department in question then has a specific period of time to improve its results.

Criteria and Indicators used:

HEIs are asked to submit what can be seen as both qualitative and quantitative indicators. For instance, in evaluations of PhD education programmes, information about enrolled PhD students and supervisors/teachers should be sent in. This information shall contain information about publications, age, gender, year of enrolment, which can be seen as quantitative indicators. They should also submit the general study plan for PhD student in the specific field, and a selection of individual study plans, in which a certain PhD student's commitment are listed. These must be seen as qualitative indicators. When it comes to assessment of quality assurance work, HEIs are asked to submit documents about the organisational structure of the HEI, about routines and processes aimed at ensuring high quality. These must be seen as qualitative indicators. As mentioned above, documents are often supplemented with interviews and on-campus visits.

Gender, diversity, and excellence:

The assessments are based on guidelines from ESG as well as quality guidelines issued by the government. The law about higher education is also frequently referred to.

The Bologna process is referred to in descriptions of Swedish higher education. ESG is referred to in the description of the certification and assessment work performed by the Swedish higher education authority. One of the six aspects of evaluation is "gender equality". This links the perceived quality of the programme or course to the level of gender equality, and to efforts to address it.



| | |
|---|--|
| LGBTQI-certification by RFSL | Unknown |
| Certification https://www.rfsl.se/certifiering-och-utbildning/hbtqi-certifiering/ | National utbildning@rfsl.se |
| Awarding body: | RFSL (The Swedish Federation for Lesbian, Gay, Bisexual, Transgender, Queer and Intersex Rights) |
| Target Audience: | Business/others + Research and HE [businesses, HEI sub-departments (student health office at Halmstad University for instance) and care-giving organizations] |

Overall description:

The Swedish Federation for Lesbian, Gay, Bisexual, Transgender, Queer and Intersex Rights (RFSL) is an NGO that has a long history of working for LGBTQI people's rights. They offer LGBTQI certification to companies and care-giving organizations. Some minor HEIs, such as folk high schools and subdepartments at Swedish HEIs are also included among LGBTQI-certified organizations, but this scheme is not explicitly aimed at HEIs. I therefore categorize it as a low priority CA scheme. The purpose of the certification is to raise awareness among staff about LGBTQI issues, norms and how norms impact LGBTQI people and that the organization should start working towards becoming inclusive and welcoming towards LGBTQI people. The certification process includes education, forming a core group of strategically placed staff, which analyse the organization. The process takes five months. A year later, RFSL makes a follow up visit. If successful, the applicant is certified for three years. The criteria for being certified are as follows: The organization has taken part in four half-day workshops in which 80 % of staff has participated. The organization has formulated goals for its LGBTQI work and conducted an inventory (of problems, risks, possibilities) and identified areas of development. It has formulated active measures for the next three years and written a plan for future work with LGBTQI issues.

Validity

3 Years, renewable

Eligibility and requirements:**Eligibility**

Not specified

Requirements

The certification process includes education and forming a core group of strategically placed staff, which analyse the organization. The process takes five months. A year later, RFSL makes a follow up visit. If successful, the applicant is certified for three years. The criteria for being certified are as follows: The organization has taken part in four half-day workshops in which 80 % of staff has participated. The organization has formulated goals for its LGBTQI work and conducted an inventory (of problems, risks, possibilities) and identified areas of development. It has formulated active measures for the next three years and written a plan for future work with LGBTQI issues.

Other information

460 organizations have been certified in the past

Business model:

The applicants pay (fees listed on homepage), which can be surmised pays for educators' salaries.

Certification process, assessment, and support:

The certification process takes five months and includes educational efforts (four half day workshops conducted by RFSL experts), the formation of a group, consisting of strategically placed staff, which will work with analysing the organization. The organization has taken part in four half-day workshops in which 80 % of staff has participated. The criteria for certification are: The organization has formulated goals for its LGBTQI work and conducted an inventory (of problems, risks, possibilities) and identified areas of development. It has formulated active measures for the next three years and written a plan for future work with LGBTQI issues. A year later, RFSL makes a follow up visit. If successful, the applicant is certified for three years.

Best practices are shared by the experts of the RFSL organization.

Criteria and Indicators used:

The organization has taken part in four half-day workshops in which 80 % of staff has participated. The criteria for certification are: The organization has formulated goals for its LGBTQI work and conducted an inventory (of problems, risks, possibilities) and identified areas of development. It has formulated active measures for the next three years and written a plan for future work with LGBTQI issues.



| | |
|---|--|
| Gender certification at Lund university | 2007 – last documented certification process 2010 |
| Certification http://www.energy.lth.se/internt/institutionsstyrelsen/ | Regional Contacts: none available |
| Awarding body: | Lund university |
| Target Audience: | Research and HE (university departments) |

Overall description:

In 2008, Lund university started developing their work on gender certification. The project was guided by an university-overarching project group, which discussed and decided on criteria (a checklist) for the certification (which can be found in the final report of the project ("[Slutrapport](#)").

The project and criteria that were developed cover four areas:

- 1) Gender perspectives as a part of course content,
- 2) gender perspectives on/in teaching,
- 3) plans/strategies and strategic documents,
- 4) counteracting and addressing sexual harassment.

After this, departments of Lund University were invited to participate and three departments did: geology, physics and energy science. They used the checklist and the approach outlined in the final report.

Activities at the department included raising knowledge through lectures with experts, seminars and workshops, and spreading literature on gender, gender in HE and gender in relation to the subject in question (e.g. gender and physics research), working with course evaluations etc. The focus was on teaching, not on research. The work at these three departments are described in Brage & Lövkrona's "[Genuscertifiering – erfarenheter av ett förändringsarbete på institutionsnivå](#)" (see below) as pilot projects, whose activities were seen as a kind of test, and development, of the CA scheme itself. This work received funding from the Delegation for equality in HE (Delegationen för jämställdhet i högskolan), but at the end of the period, none of the three departments felt that they were ready to be certified. Several spoke of the certification itself as symbolic, and as of less importance than the process they were engaged in of raising GE and other equality issues ([Lövkrona](#) nd). Evaluator Inger Lövkrona argues that the certification aspect of the scheme should nevertheless be retained, but also that it needs developing.

Validity

Not active anymore

Interlinkages with other certification schemes: Several other Swedish universities used the Lund example when discussing gender certification schemes of their own, for instance Umeå and Uppsala universities.

Eligibility and requirements:**Eligibility**

Departments of Lund University

Requirements

Being interested in and willing to participate

Other information

Three departments participated in the scheme, but at the end of the funded period, and when the scheme was evaluated, none of them argued that they were ready to be certified.

Business model:

The CAS was funded by the Delegation for equality in HE (Delegationen för jämställdhet i högskolan), but also co-founded by the three participating departments at Lund university.

Certification process, assessment, and support:

This CA scheme is based on what is called "developed self-assessment" from the HE departments at Lund university. In the final report, the project group reflects argues that self-assessment as a tool has a pedagogical value, since it will force the departments to analyse their own teaching, work conditions etc. However, they also add that an element of third-party control is necessary, not least to give credibility to the CA scheme. This third party control took the shape of an evaluation conducted by professor Inger Lövkrona (nd). As mentioned above, the project group gave criteria, listed in the final report, but they add that it must be possible to adjust the criteria somewhat, due to differences between departments. Many of the activities at the three departments which took part in the CA scheme are formative and about raising awareness, ensuring student influence, that good routines are in place etc.

Support is provided through close contact between departments and supporting functions at the University; lectures and workshop from national experts

Criteria and Indicators used:

The criteria are divided into four kinds. Below I list them along with examples of questions asked in the suggested criteria. The full list of questions can be found in the final rapport ("slutrapport").

- 1) Gender perspectives as a part of course content. This area includes questions about course syllabi, course readings, teacher competence, course content and students. For instance, the applying department should answer questions like: Is the teacher familiar with gender research relevant to the content of the course? Have course syllabi and other documents been reviewed with gender in mind and has this been communicated to the students?
- 2) Gender perspectives on/in teaching. This area includes questions about classroom practices, teachers' reflections, kinds of instruction, students' perspectives, course assessments and students' evaluations of the course. For instance, the applying department should answer questions like: Is the conversation climate (tone and who takes time to speak) looked at from a gender perspective? Do you use varying kinds of instruction in order to accommodate a wide range of students? Do both women and men teach and examine the course? Are questions about gender asked in students' course evaluations?
- 3) Plans/strategies and strategic documents. This area includes questions about plans and strategies. For instance, the applying department should answer questions like: Is there a gender equality and equal opportunities plan? Are students informed about it and where to turn, should anything happen? Is gender taught in courses for teachers? In leadership courses? Are teaching staff encouraged to take part in pedagogical training with a gender perspective?
- 4) Counteracting and addressing sexual harassment. This area includes questions about sexual harassment, and the department should answer questions such as: How does the department counteract sexual and gendered harassment? Is the existing education package (at Lund University) used? What are the routines when investigating sexual harassment?

Gender, diversity, and excellence:

Research quality or excellence are not mentioned often in the documents. However, it is noted that teachers should educate themselves in the gender research that touches upon their field (such as gender and physics literature), which can be seen as a statement about that such research should be taken up in the "mother" disciplines, and that such research could complement and enrich both research and teaching going on at the department in question. The Lund university Centre for gender studies is also mentioned as resource that all applying departments should use, indicating that gender is regarded as a field of expertise within the scheme.

Teaching quality is tied to knowledge about gender and inclusion issues. For instance: being able to address a diverse student body as a teacher or being able to question one's subject from a gender perspective.

The scheme is discussed in a [report about the certification scheme to the Swedish HE authorities](#) and in another report containing [evaluations of the work done on department level](#).



On equal terms, the municipality 1994

of Falun

Certification

Regional

<https://www.falun.se/utbildning--barnomsorg/halsa-och-trygghet/trygghet-i-skolan/pa-lika-villkor.html>

tina.jensen@falun.se

Awarding body:

The Municipality of Falun

Target Audience:

Business/ Others (Preschool Teachers In The Municipality Of Falun)

Overall description:

Preschools in the municipality of Falun can apply for gender equality certification through the program "On equal terms" ("På lika villkor"). The program entails education of all preschool staff, and that the preschool in question promotes equal opportunities and counteracts gender harassment of different kinds. Each preschool should also appoint two process leaders. These two have a special responsibility for how the GE work develops and are in contact with the "On equal terms"-specialists. The syllabus is available [online](#).

Validity

1 year, renewable

Eligibility and requirements:

Eligibility

Preschools in the Municipality of Falun

Requirements

See criteria below

Business model:

This scheme is presumably funded by the municipality of Falun, which also funds its preschools.

Certification process, assessment, and support:

The process takes 1,5 years and includes regular seminars with small groups of preschool teachers. First, theoretical background, (4 seminars), Observations/analysis of the teachers' preschools (2 seminars), Equal opportunities plan (2 seminars) and follow up/evaluation (1 seminar). Going through this course is the first requirement of becoming certified. The equal opportunities plan should be developed and then acted upon, and here the two process leaders (also a criterion for certification) presumably have an important role. Afterwards, the equal opportunities activities will be presented and evaluated together with other quality assurance work of the preschool in question. Participating preschools are taught and guided by gender equality and pedagogy experts throughout the certification process.

Criteria and Indicators used:

The [criteria](#) for becoming certified are: 1) All staff should go through "on equal terms" education, 2) The equal opportunities plan of the preschool in question should include activities that promote the overarching, Swedish gender equality goals (available [online](#)) as well as counteracting gender based harassment, 3) Two members of staff should be appointed process leaders. They have special responsibility for the GE work, 4) The president of the preschool should be able to answer questions about documents and about which "on equal terms"-activities are planned for the coming three years, and 5) The GE work should be followed up and accounted for in the same way as other systematic quality work.



| | |
|---|--|
| JämBar, the municipality of Karlskrona | 2004 to 2006 |
| Certification | Regional |
| Website not available | kunskapsforvaltningen@karlskrona.se |
| Awarding body: | <i>Certification group of 4 to 6 people [wide (2007, 13)] no further info</i> |
| Target Audience: | Business/others (preschool and school teachers in the municipality of Karlskrona) |

Overall description:

Very little information exists about it, and links found are no longer working.

No official documentation has been found, only secondary sources. See the Government report about gender equality in preschools: SOU 2006:75 (available [online](#)) and the Report about gender certification by Jessika Wide, written at Umeå University (also available [online](#)).

Validity

Unavailable

Eligibility and requirements:**Eligibility**

Schools or preschools in Karlskrona

Requirements

Applicants must describe their work on GE, how their work is evaluated and continuously improved (Wide 2007, 13). More specific information not available

Business model:

JämBar was funded by ESF, the European social fund.

Certification process, assessment, and support:

According to the government report SOU 2006:75, the municipality has developed a certification tool, which shows what is working well in the work with GE and what needs to be developed. More specific information not available.

Criteria and Indicators used:

Applicants must describe their work on GE, how their work is evaluated and continuously improved (Wide, 2007, 13). More specific information not available.



| | |
|--|---|
| EQ-Z-län, in the region of Jämtland | (Unclear date) |
| Certification Website not available | Regional jamtland@lansstyrelsen.se |
| Awarding body: Target Audience: | The region of Jämtland Business/Others |

Overall description:

This was a certification scheme where businesses in Jämtland could be EQ-certified (as it was called within the framework of this scheme). This indicated that they were working with gender equality both internally and externally. Very little information available, and only secondary sources, such as [Booklet about gender equality in the region of Jämtland](#).

Validity

1 year

Eligibility and requirements:**Eligibility**

Jämtland's businesses

Requirements

Businesses that "work actively" with GE can apply, and that the certification is based on activities within the company, according to the GE law, and on outreach activities, which shall be aimed at changing attitudes towards GE ([Wide](#), 2007, 14)

Business model:

Not available

Certification process, assessment, and support:

See the requirements

Criteria and Indicators used:

Not available



| | |
|---|---|
| EVOLVE diversity certification | 2011 |
| Certification https://www.mangfaldscertifiering.se/ | National info@idvxo.se |
| Awarding body: | The consultancy firm Evolve |
| Target Audience: | Business/Others |

Overall description:

The consultancy firm Evolve offers diversity certification for companies. The certification process involves 8 steps, including mapping, education, activities, evaluation and revision.

Validity

3 years, renewable

Eligibility and requirements:**Eligibility**

Businesses

Requirements

Unclear

Other information

18 clients listed on the website, but number of applicants or whether the list is exhaustive is not specified.

Business model:

Evolve is a consultant firm. Applicants pay fees, which presumably fund the CAS.

Certification process, assessment, and support:

The certification process is described as having 8 steps:

- 1) Evaluation. This is done through an online survey directed at all staff.
- 2) The results, and areas of possible improvement are presented to the company.
- 3) Training/education about, for instance, working methods and routines, the Swedish discrimination law, competency-based recruitment of staff.
- 4) Support in implementing changes based on the survey and the training,
- 5) Certification, after the improvements are in place. Can be used in PR.
- 6) The certified company is marketed through the Evolve consultancy firm,
- 7) Revision, yearly.
- 8) Recertification, every three years.

Support is provided through cooperation with and support of certifying experts at EVOLVE

Criteria and Indicators used:

The certification is based on going through the 5 first steps mentioned above. This includes quantitative indicators (the results of the survey) but also qualitative measurements, e.g. the Evolve experts' assessment whether the goals have been reached, measures have been taken etc.

Gender, diversity, and excellence:

Diversity is defined as concerning many different dimensions, such as ethnicity, gender, sexual orientation, class, age, physical abilities, religion and political views. It is also formulated as an issue of sustainability.



| | |
|---|---|
| Gender equality certification by | Date unknown |
| Winnet | |
| Certification http://jamstalldhetscertifiering.se/ | National carina.larsson@winnet.se |
| Awarding body: | Winnet |
| Target Audience: | Business/Others (Swedish Companies And Organizations) |

Overall description:

The company Winnet cooperates with the Swedish Agency for Economic and Regional Growth (Tillväxtverket). They offer GE certification of companies and organizations.

Validity

Unknown

Eligibility and requirements:**Eligibility**

Companies or organizations

Requirements

unknown

Business model:

Applicants pay fees to be certified and cooperate with Winnet, but Winnet is also supported by the state agency the Swedish Agency for Economic and Regional Growth.

Certification process, assessment, and support:

The [certification process](#) is done in 7 steps:

1. The organization leadership commits to GE certification (the centrality of this is emphasised several times on the Winnet homepage - that it is the organization leadership who must take initiative and be invested in the process). At this stage, the leadership should appoint a working group which will be especially involved in the work.
2. Mapping of the current situation through a survey with staff and leadership.
3. The formation of a [plan](#), with activities based on the survey of the current situation. The plan should contain activities pertaining to working conditions, recruitment, salary issues, products/goods/services and purchases/finance.
4. Organization of the GE work, establishment of good routines, education etc.
5. Information about the GE work, both internally and externally.
6. Revision of plans and routines.
7. Certification. The certification is based on having gone through the steps above and living up to the standards concerning them.

Support is provided in cooperation with experts at Winnet who also provide education

Criteria and Indicators used:

The assessments are made by the Winnet experts and is based on having gone through the steps above. This includes the performance of a survey but also the results of the survey (qualitative and quantitative measurements) as well as responding well to the results of the survey, take good measures, make plans that are concrete and achievable etc.

Gender, diversity, and excellence:

The focus on the homepage is on GE, but the Swedish discrimination law is also referred to, which includes several other dimensions, such as ethnicity, religion, age, sexual orientation, ablebodiedness and trans* gender identities

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SWITZERLAND

[Link to references](#)

National CAS:

- Federal program for Equal Opportunities (FEOP) 2000-2020
- EDGE Certification
- Minerva Informatics equality awards

Number of HRS4R awardees:

- 5 (as of 30/06/20)

National context for Quality Assurance and Accreditation

The **Agency of Accreditation and Quality Assurance**¹⁶⁶ (AAQ) acts as an external partner to help higher education institutions design their quality assurance systems, thus contributing to the development of a culture of quality. The AAQ develops guidelines and quality standards, conducts accreditation and evaluation procedures, and works at an international level.

AAQ procedures respect the autonomy of higher education institutions (HEIs): they are committed to the principle that HEIs themselves are primarily responsible for quality assurance systems.

By having external reviews carried out by qualified experts, the AAQ makes an important contribution to the development of quality assurance systems. On a practical level, AAQ procedures throughout Europe are based on recognised principles and take account of the specific features of different types of universities in Switzerland.

The accreditation procedure is a transparent, multi-layered process with a decision founded in law. The university submits an application. The procedure is opened if the criteria are fulfilled. The first phase, self-assessment, is a time of critical reflection on the HEIs and its quality assurance system. In the meantime, the AAQ assembles a team of experts to carry out an external evaluation in the form of on-site visits: the contents of the self-assessment report are examined during discussions with university representatives. The experts draw up a report on the degree to which standards are met and make a recommendation for an accreditation procedure. In case of positive assessment, the 'AAQ evaluated' quality seal is awarded, including specification of year and publication of the evaluation report. An evaluation procedure takes at least 12 months from the signing of contracts to the award of the 'AAQ evaluated' seal by the AAQ.

Together with a statement by the applying university, this reaches the decision-making body – the Swiss Accreditation Council¹⁶⁷ in the case of a procedure under the Funding and Coordination of the Higher Education Sector (HEdA)¹⁶⁸. The AAQ devises and supervises the procedure, ensuring that it conforms to the relevant regulations. Once the procedure has been completed, the AAQ publishes the reports¹⁶⁹. Irrespective of the type of procedure, HEIs or degree courses may apply to be reassessed if they disagree with the decision of the Accreditation Council.

In summary, the AAQ operates as a consulting firm for the higher education institutions. It is voluntary to ask it for a consultancy, for example for an institutional or program accreditation or evaluations. For

¹⁶⁶ Swiss agency of accreditation and quality assurance. <https://aaq.ch/en/accreditation/> last access 21.02.2019

¹⁶⁷ Swiss accreditation council. <https://akkreditierungsrat.ch/en/> last access 21.02.2019

¹⁶⁸ The Federal Council. <https://www.admin.ch/opc/en/classified-compilation/20070429/index.html> last access 21.02.2019

¹⁶⁹ Swiss agency of accreditation and quality assurance. <https://aaq.ch/en/download/quality-document/> For more informations contact: Berchtold von Steiger berchtoldvonsteiger@aaq.ch last access 21.02.2019



the gender equality issues, it can work as an extern consulting firm too. **Swissuniversities**¹⁷⁰ can ask to obtain consultations in the process of accreditation of the Federal Program for Equal Opportunity (FEOP). The collaboration between the governmental authorities and the agency is also voluntary, not mandatory.

Gender in research and higher education

The Federal Equal Opportunities Program (FEOP) is considered the main source towards employment equality at Swiss universities and a “booster” for equality projects (Bachmann, Rothmayr & Spreyermann 2003; Helsinki Group 2004).

Since the 2000s, every Swiss university has installed a gender equality office. The measures are progressive and specifically aim at equality and diversity (Danowitz and Bendl 2010). Furthermore, the topic of female underrepresentation in professorship has turned into vivid debate in Swiss academia (Füger and Knobloch 2014). This has turned the presence of female professors into a subject for monitoring processes. It has been extended until the end of 2020 and now it is in his fifth round¹⁷¹.

The goal of the Federal Program for Equal Opportunities is to increase gender equality in the higher education system, especially at professorship role and in decision-making boards. The federal program for equal opportunities has validity in the whole country. It is the most important measure for enable more equal opportunities in Swiss Higher education.

In comparison to Germany in Switzerland the word “excellence” is not as used in the public discourse on Higher Education – usually the main reference is to quality.

The FEOP has carried out various **concrete measures**.

From 2000-2017:

- give monetary incentives to ensure more employments for female professors
- mentoring
- expanding childcare services
- development of projects for fellowships
- promotion of dual career couples
- increase female researchers/professors in appointment procedures
- enhance work-life balance
- enhance diversity and inclusion

The period 2017-20 focuses on action plans and coordination projects. Through the Action plans the Federal Equal Opportunity Program finances university activities that better integrate equal opportunities into the universities’ central processes and development. Through the cooperation projects they foster collaborations between universities and the various types of higher education institutions. So they support projects that are likely to be highly visible and generate significant synergy effects. This change in the organization modus (from modules to action plans) has been done to take more into account the single higher education institutions towards gender equality problems.

Arguably, the Swiss approach is **intersectional** because the Federal Program for Equal Opportunities combines multiple forms of differentiation – economic, cultural, political, psychosocial, to develop suitable solutions to solve gender equality problematics in the HE systems.

¹⁷⁰ Swissuniversities is the umbrella association of the Swiss Universities, bringing together the three rectors’ conferences to a united conference: The Rector’s Conference of the Swiss universities, the Rectors’ Conference of the Swiss Universities of Applied Sciences, and the Swiss Conference of Rectors of Universities of Teacher Education.

¹⁷¹ Round 1 was from 2000 till 2003; Round 2 was from 2004 till 2007; Round 3 was from 2008 till 2011; Round 4 was from 2013 till 2016; Round 5 was from 2017 till 2020.



There is an explicit link between [funding and gender equality](#). In Switzerland the Swiss National Science Foundation (SNSF)¹⁷² supports gender equality projects, and in particular those helping young researchers. It undertakes measures to distribute opportunities equitably and support women and men in boards, functions and across Programs. It creates Funding Programs for young researchers. It operates to support reconciling scientific career with family life. The allocation of awards by the SNSF is regularly subject to equality monitoring. The SNSF is the “major funding institution in Switzerland” (Nentwich, 2006) and as it introduced different gender equality measures “aimed at increasing the number of projects conducted by female researchers” (Nentwich, 2006). For example the SNSF introduced:

- the **PRIMA Grant**: is a grant destined at excellent female researchers who have a high potential for obtaining a professorship.¹⁷³
- The **gender equality Grant**: is aimed at young women researchers. An eligible person receives CHF 1000 per 12 months' approved project running time. The grant may be used to finance career support measures but does not cover family support measures.¹⁷⁴
- The **Marie Heim - Vögtlin Award**: is for female researchers with family needs who reduced their research work and want to resume their academic career. Marie Heim-Vögtlin was the first Swiss woman to study at the University of Zurich in 1868.¹⁷⁵

¹⁷² Swiss national science foundation. <http://www.snf.ch/en/theSNSF/research-policies/gender-equality/Pages/default.aspx#Mission%20Statement>

Last access 05.04.2020

¹⁷³ PRIMA Grant. <http://www.snf.ch/en/funding/careers/prima/Pages/default.aspx>. Latest access 05.04.2020

¹⁷⁴ Gender equality grant. <http://www.snf.ch/en/funding/supplementary-measures/gender-equality-grant/Pages/default.aspx> Latest access 05.04.2020

¹⁷⁵ Marie- Heim Vögtlin Award. <http://www.snf.ch/en/theSNSF/awards/marie-heim-voegtlin-prize/Pages/default.aspx> Latest access 05.04.2020



Introduction to the CAS in Switzerland

In Switzerland we can consider three major CAS: the **Minerva Informatics Equality award** for Research and Higher Education (focusing on informatics), the **EDGE Certificate** for the business area, and the **Federal Program for Equal Opportunities (FEOP)** in Research and the HE area. All three of the CAS are successful, sustainable and replicable. The EDGE Certification “certifies leading organizations as [Unicef, Ikea, Capgemini, Accenture, Zurich Assurance, Lombard Odier, Swiss Re..] since 2009. EDGE has “a global presence in 37 countries across five continents, representing 24 industries and encompassing more than one million employees” (Homepage EDGE Certified, 2020). The numbers and the extension of leading organizations demonstrate the success, the sustainability and the replicability of the CA’s. The EDGE Certification expires after two years and can be replicate on a voluntary basis.

The **Minerva Informatics Equality Award** is also widely recognised, while it as an arguably “simpler” approach: it is an award of 5000€ to honour best practices to support the integration and retainment of women in computer science and informatics.

EDGE Certificate and Minerva Informatics Awards CAS sheet are collected in the [international sheet](#).

On a more specifically national level, the **Federal Equal Opportunities Program (FEOP)** is considered a real “booster” for equality projects (Bachmann, Rothmayr & Spreyermann 2003; Helsinki Group 2004). This Program was the **first one that imposed the universities and other higher education schools to pursue a standardized strategy for equal opportunity**. Higher Education institutions **can participate voluntary** to the FEOP.

The financial aid from the government (16 Million CHF) was the only possibility to influence the university strategies to guarantee developments in the equal opportunity issues. Through the Federal Program for Equal Opportunities (FEOP) equal opportunities are to become a “matter of concern all the way to the top” and remain “at the top of the university agenda” (Bachmann, Rothmayr & Spreyermann 2003).

The evaluation of the first three years showed that the “Federal Program enjoys successful implementation” (Bachmann, Rothmayr & Spreyermann, 2003). Since it is in the fifth round and the sixth round is going to be planned (swissuniversities is currently preparing a follow-up programme for the 2021–24 period) we can say that it is successful, sustainable and replicable.

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Federal Equal Opportunity Programme

2017

Certification

<https://www.swissuniversities.ch/en/topics/equal-opportunities/p-7-equal-opportunity-and-university-development>

National

Gabriela Obexer
gabriela.obexer@swissuniversities.ch

Awarding body:

Swissuniversities

Target Audience:

RESEARCH AND HE (UNIVERSITIES)

Overall description:

The official name of the program is P-7 Equal Opportunity and University Development. The goal of the program is to ensure an even number of men and women and expanding competencies to other aspects of inequality and diversity at higher education institutions. The program is aimed at universities, universities of applied sciences and arts (UASAs) and universities of teacher education (UTEs). The programme helps to secure equal opportunity by means of action plans (module A) and facilitates collaborative beacon projects across universities and the various types of universities (module B). The programme finances, via university action plans, university activities that engage with general frameworks and decision-making processes at the levels of organisational management and culture and which thereby facilitate institutional change and learning processes. The goal is to better integrate equal opportunity into the universities central processes and development. Module B fosters collaborations between universities and the various types of universities. It supports projects that are likely to be highly visible and generate significant synergy effects. This will facilitate and strengthen innovative forms of networking and knowledge transfer between higher education institutions underneath the umbrella of Swissuniversities.

Validity

renewable

Eligibility and requirements:

Eligibility

universities of applied sciences, cantonal universities, federal technical universities, universities of teacher education

Requirements

Prepare actions and cooperations plans to boost gender equality

Other information

25 actions plans from higher education and 11 cooperation projects between the higher education schools

Business model:

The Swiss Confederation funded 12 Mio CHF as incentive for the start of the project. Each university or UASA or UTE have to invest 50% through personal contribution. The personal contribution of 50% can be in form of "real money" or in a virtual form. For example: project ideas implemented in the action plans to ensure an even number of men and women in higher education can be seen as "personal contribution". Nursery costs for example has to be paid from the university budget.

Certification process, assessment, and support:

The program helps to secure equal opportunity by means of action plans (module A) and facilitates collaborative beacon projects across universities and the various types of higher education institutions (module B). The program finances, via university action plans, university activities that engage with general



frameworks and decision-making processes at the levels of organizational management and culture and which thereby facilitate institutional change and learning processes. The goal is to better integrate equal opportunity into the universities central processes and development. Module B fosters collaborations between universities and the various types of universities. It supports projects that are likely to be highly visible and generate significant synergy effects. This will facilitate and strengthen innovative forms of networking and knowledge transfer between higher education institutions underneath the umbrella of swissuniversities. The following cooperation projects selected within the framework of module B will receive funding in the years 2018-2020.

For module A the Assessment process is: 1. Submission of the action plan from the university administration. 2. Ensured structures for the realization of the plan of gender equality 3. Process definition - declare how the action plan are integrated in the higher education planning. 4. Willingness to continue the action plan project after 2020. 5. The presented document must contain a gap-analysis about the gender equality problems of the university 6. Definition of goals and determination of the indicators to measure them. 7 Taking into consideration the use of funds. 8.Has the action plan the potential of transfer effects on other higher institutions? 9. Is the action plan innovative? 10. The feasibility of the project has to be proven (Self-evaluation)

For module B the Assessment process is: 1. Submission of the cooperation project with three recommendation letters from the university administration. 2.Consider the financial guidelines 3. Taking into consideration the findings from research and the results from the past Federal Equal Opportunities Program 4. Accordance with the Federal Equal Opportunities Program goal or rather with the field of action from the cooperation project. 5. Is there a lighthouse effect? Is the project visible? Are there synergy effects? Has the project a social -political relevance? Is there a complementarity with other projects from other universities? 6. Is the cooperation project innovative and sustainable?

Criteria and Indicators used:

For module A: 1. the action plan must contain field of action that are aligned with the strategy of the university. 2. The topic equal opportunity in the action plan must be transferable into practice. 3. Gap-analysis is required. 3. Garde of innovation must be given 4. Measures of different higher education institutions have to be transferable. 5. Process must be clear 6. Action plans must contain a budget which indicates a detailed cost analysis for the year, the proof that the university finances the action plan with 50% equity capital. 7. The action plan must be sustainable.

For module B: 1. The cooperation projects must be created from minimum three higher education institutions together. The project committee must be defined in the proposal. 2. The cooperation project must interface minimum one of the fields of action. The field of action are: A. 1. Quality assurance and sustainability of the equal opportunity. B.2. Equal opportunity in the fellowship programs and career developments C.3. Guarantee equal opportunities in the choice of the studies and jobs, reduce work stereotypes D.4. Promote diversity E. Promotion of gender and diversity aspects in research and teaching F.. Define a time planning with milestones

Gender, diversity, and excellence:

There is an intersectional approach, as the Federal Programme for Equal Opportunities combines multiple form of discrimination (age, work schedules, sex, classism, gender, pay gap...) to develop suitable solutions to solve gender equality troubles.

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UNITED KINGDOM

[Link to references](#)

National CAS:

- Athena SWAN
- Stonewall UK Workplace Equality Index
- Stonewall Global Workplace Equality Index
- Race Equality Charter (REC)
- Disability Standard
- Juno

Number of HRS4R awardees:

- 105 (as of 30/06/20)

National context for Quality Assurance and Accreditation

In the United Kingdom, the main mechanisms for the national evaluation of research quality and higher education quality and accreditation are the **Research Evaluation Framework (REF)** and the **UK Quality Code for Higher Education** respectively.

The **REF** is the system for assessing the quality of research in UK higher education institutions. It is based on review carried out by expert panels for each of 34 subject-based units of assessment, under the guidance of four main panels. To qualify, staff must be in post with significant responsibility for research on a given census date. It is conducted jointly by Research England (RE), the Scottish Funding Council (SFC), and the Higher Education Funding Council for Wales (HEFCW) and the Department for the Economy, Northern Ireland (DfE).

The process considers gender and diversity through permitting reduced submissions for those who are part-time, have family-related leave, have caring responsibilities, have experienced constraints relating to pregnancy, maternity, paternity, adoption or childcare, are affected by a disability, or have undergone gender reassignment. The **Code of Practice for the REF** includes a requirement that HEIs, both as employers and public bodies, need to ensure their REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.

The **UK Quality Code** provides consistent principles and practices and a common vocabulary for managing academic standards and quality in an increasingly diverse higher education landscape. A revised code was published in March 2018 and addresses expectations around standards, practices (core and common) to safeguard the quality of academic standards for students, the general public and the overall UK higher education sector.

The **Quality Assurance Agency (QAA)** is the independent body responsible for the quality of Higher Education in the UK. The QAA sets standards and improves the quality of UK Higher Education delivered around the world (QAA 2020), and developed the UK Quality Code for Higher Education in consultation with the sector. The **code for course design and development** sets out what is expected of providers in terms of expectations for mandatory standards, alongside a [set of guiding principles](#). Academic courses and the value of qualifications awarded to students must meet the requirements of the relevant national qualifications framework and be in line with sector-recognised standards (UK Quality Code for Higher Education 2018). The code for course design and development also sets out mandatory core practices, including that providers refer to the relevant national frameworks when



designing and approving courses and that feedback is obtained from external stakeholders when designing and developing programmes. Common practices are also set out in the code which are mandatory in Scotland, Wales and Northern Ireland but not in England. Providers must regularly review their core practices and use the outcomes to inform improvement and enhancement of programmes. Courses must be well-designed, provide a high-quality academic experience for all students and enable reliable assessment (UK Quality Code or Higher Education 2018).

The Quality Code embeds consideration of equality and diversity matters throughout, including anticipation of individual difference, to ensure that all students have equal access to educational opportunities, through inclusive design wherever possible and through reasonable individual adjustments where necessary.

The following **key principles** underpin the approach to equality and diversity adopted in the Quality Code. Educational disadvantage and exclusion is not an inevitable result of membership of particular groups, but arises from social, attitudinal and environmental barriers. Higher education providers must take steps to remove barriers to student participation in all aspects of the academic and social life, with senior managers, including those at the highest levels, leading the promotion of equality. The approach adopted reflects the principles underlying the **Equality Act 2010 (the Act)**, but it is not limited to the scope of the Act, applying for example where UK higher education is delivered internationally.

The Quality Code uses the term '**students with protected characteristics**', adopting those specified in the Act, ie, age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race (ethnic origin or national identity), religion or belief, sex, and sexual orientation. Further information on the Equality Act is available from the Equality Challenge Unit [website](#).

Gender in research and higher education

There are **no specific national policies on gender in higher education** in the UK. However, the **Equality Act 2010** and the associated **Public Sector Equality Duty (PSED)**, though established to have a wider cross-sector application, have an influence on measures and provisions in UK higher education. These do not relate specifically to gender (with the exception of gender pay gap regulations), instead applying to a range of 'protected characteristics'.

The Equality Act, and the associated Public Sector Equality Duty, aimed to lead to the mainstreaming of equalities concerns into the everyday work of government and other public bodies (including HEIs and HE regulatory bodies). **The PSED requires public authorities to have 'due regard', with a 'general duty' to eliminate discrimination;** advance equality of opportunity for employees and service users and foster good relations between people of different groups according to '**protected characteristics**' which are: age, gender reassignment, being married or in a civil partnership, being pregnant or on maternity leave, disability, race including colour, nationality, ethnic or national origin, religion, belief or lack of religion/belief, sex, and sexual orientation.

There is **no prescribed process of how to demonstrate due regard**, though mechanisms developed could look to replicate, extend or replace equality impact assessment tools. **HEIs can be flexible** in their approach as different types of policies and practices may require different approaches. **Advance HE** has produced guidance on conducting impact assessments which are a useful tool for understanding how policies and decision-making might affect employees and service users.

HEIs are expected to involve staff and students in prioritising and understanding the impact of the actions they take to meet the equality duty, as well as promoting an inclusive and responsive culture.



There are also ‘**specific duties**’ which contain four elements:

- annual publication of information;
- four-yearly equality objectives (one or more specific and measurable objective(s) that it thinks it should achieve to meet any of the three aims of the equality duty);
- manner of publication;
- and gender pay gap reporting.

The information published must relate to people who share a relevant protected characteristic who are employees (if the HEI has 150 employees or more) and other people affected by policies and practices. This will include students, alumni and service users, for example. The focus of the specific duties is transparency in how HEIs are responding to the equality duty.

HEIs have some flexibility in the information they collect, analyse and publish to demonstrate compliance, with minimum information set by the Equality and Human Rights Commission. This is intended to provide the public with headline statistics of how a HEI functions, as an employer and education provider, and its impact on current and prospective staff and students. Advance HE recommends that information is gathered across all of the protected characteristics. Equality objectives must be specific and measurable and should be informed by analysis of the equality data an institution has collected and published in line with the other elements of the regulations. In terms of manner of publication, HEIs must publish information and equality objective(s) in a manner that is accessible to the public.

Regulations requiring big employers to publish data on their gender pay gaps came into effect on 6th April 2017, with the first reports being due in April 2018. These were introduced under the **Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017**, which apply to public bodies, affecting all HEIs (except a small number of private institutions) with 250 or more employees. These requirements were introduced as part of the existing PSED. This requires an annual “snapshot” on 31st March each year reporting on gender pay differences.

Employers are required to publish six metrics showing the difference between rates of pay and bonuses for male and female employees, including the difference between the mean and median hourly rates of pay of male full-pay relevant employees and that of female full-pay relevant employees. The proportions of male and female relevant employees paid bonus pay and proportions of male and female relevant employees in the lower, lower middle, upper middle and upper quartile pay band are also required.

Regulations under the Equality Act are enforceable by the Equality and Human Rights Commission, which also encourages compliance through a range of activities including: Promoting awareness, Education, Monitoring compliance and Promotion of enforcement work.

While not a policy, the **Athena SWAN award scheme** could be considered as a national practice where the majority of UK higher education institutions participate in. The **association of the Athena SWAN award scheme with eligibility for funding** from the National Institute of Health Research in the UK enhanced its momentum as evidenced by a rapid increase of applications from higher education departments and institutions. More information on the Athena SWAN scheme can be found in the scheme information sheet.



Introduction to the CAS in the United Kingdom

The CAs mapped in relation to the national context, specific to the higher education and research context, are as follows: **Athena SWAN Charter** was designed to encourage and recognise commitment to advancing the careers of women in higher education and research. **Race Equality Charter (REC)** aimed at improving the representation, progression and success of minority ethnic staff and students within higher education. Both Charters are managed by Advance HE (previously known as Equality Challenge Unit). **Project Juno** is an award scheme, specific to physics, which recognises and rewards physics departments, schools, institutes and groups which demonstrate that action has been taken to address gender equality at all levels and to foster a more inclusive working environment.

There are also schemes with a wider remit than the higher education and research sector but very important to advancing equality and diversity in the workplace more widely, namely: **Stonewall UK Workplace Equality** and **Disability Standard**. Stonewall UK Workplace Equality is Stonewall's leading benchmarking tool for lesbian, gay, bisexual and transgender (LGBT) inclusion in the workplace. Disability Standard is a whole-organisation disability management audit developed by Business Disability Forum to help organisations measure and improve on performance for disabled customers, clients or service users, employees and stakeholders.

Both Athena SWAN and Stonewall have been successful as evidenced by their sustainability and their adoption and transferability (even in slightly different versions) beyond the UK sector. For example, Stonewall Global Workplace Equality Index (CAS sheet available in the [international sheet](#)), empowers organisations to navigate the challenges of upholding inclusive values globally and make progress towards LGBT equality, wherever they operate. Athena SWAN has been adopted in Ireland (similarly to the UK framework) and has been transferred in Australia (with a slightly different process than the current UK one). Canada and US have launched their own versions of Athena SWAN in 2019 and 2018 respectively. Based on Athena Swan, the STEMM Equity Achievement (SEA) Change Awards were piloted in the US in October 2017 but officially launched in January 2018. See the US country sheet and CAS information sheet for more information.



1. In a landscape where Athena SWAN has strong uptake and sustainability levels, how do the other CAS position themselves in the 'market'? What are their competing added values?

2. It looks like intersectionality is rather covered by the combination of three different CAS and that intersectionality is only partially embedded in Athena SWAN. Is there a debate on this?

To address the first question, other than Athena SWAN, the four additional CAS each demonstrate a particular focus which distinguishes them and their unique position in confronting inequality. In a similar way to Athena SWAN, three of the CAS maintained their focus and scope based on a particular identity which has been historically marginalised. This included LGBT identity (Stonewall), race and ethnicity (REC), and disability (Disability Standard). In this way the CAS were able to not only highlight and raise awareness of the individual experiences of those belonging to certain marginalised communities, but also had a deeper potential to make progress in equality for those affected with a more demographically specific targeted approach. An example of this is discussed by Bhopal (2016) in relation to the REC, as she raises its importance relative to Athena SWAN in that geography had a more complex relationship thus a different impact on race equality work than that of gender action. Through their focus on certain identities these CAS framed particular contexts of inequality and discrimination relating to groups of society, and in this way differentiate their position amongst the CAS environment, creating their space for unique priority and value.

Adopting a different strategy, however in the same way as Athena SWAN tackling gender equality, Juno targets a certain sector concerning inequality within research - that being physics. Through this approach although it limits the scope by reducing the amount of those that can become involved, it provides a unique opportunity to gain insight into the complexities of the challenges arising within more specific departments. This provides further individuality to the approach of alternative indexes in their strategy to combat inequality.

With this considered and in response to the second proposed question, though not directly in relation to the intersectional elements of other CAS, some of the sources touch on the matter of the somewhat partial integration of intersectionality within Athena SWAN. Firstly, even remaining in direct relation with gender matters, various of the sources highlight the use of binary definitions of gender within the Athena SWAN process and how this approach can create barriers to inclusion. This suggests that an incorporation of gender as a spectrum could further highlight and address intersectionalities which occur more complexly embedded within gender itself. Furthermore, considering the wider picture of inequality, a number of the sources draw attention to the lack of an intersectional approach to inclusion within the Athena SWAN process. This includes the limited recognition of other widely marginalised identities such as LGBT, and race and ethnicity, and the inference that the process still remained rooted in limited, white middle-class feminist ideals. Finally in relation to the position of intersectionality within Athena SWAN, multiple sources suggested a weakness in the methodology whereby a quantitative collection of data was ill-positioned to cater to complex intersectional inequalities. This argument thus positions the very method of the CAS itself as a limitation in an authentically intersectional study with results to reflect this.

To conclude, although in the UK predominant intersectionality identities are covered across multiple CAS, it also is notable to acknowledge that in fact the CAS with most significant membership base and arguably the biggest potential for impact (Athena SWAN) on its own presents shortfalls in adopting an intersectional approach. Additionally in the cases where multiple certification occurred within the same institutions, the sources showed not only an increase to an already heavy workload bringing with it its own complications, but also conflicts and confusions thus showing the inefficiency of a crossover of CAS within an organisation.

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| <p>Athena SWAN</p> <p>Award</p> <p>https://www.ecu.ac.uk/equality-charters/athena-SWAN/</p> <p>Awarding body:</p> <p>Target Audience:</p> | <p>2005</p> <p>National // UK + Ireland, Australia, Canada (own versions)</p> <p>Advance HE, First floor, Napier House, 24 High Holborn, London, WC1V 6AZ</p> <p>Advance HE (formerly Equality Challenge Unit)</p> <p>Universities, Departments, RPOs / Research Institutes</p> |
|--|--|

Overall description:

The Athena SWAN Charter was established in 2005 to encourage and recognise commitment to advancing the careers of women in science, technology, engineering, maths and medicine (STEMM) employment in higher education and research. The Athena SWAN Charter has been managed by the Equality Challenge Unit (ECU) since 2005. Following the 2017 Bell Review of higher education sector agencies, ECU was merged in 2018 into a single body with the Higher Education Academy (HEA), and the Leadership Foundation for Higher Education (LFHE) called Advance HE.

In May 2015 the charter was expanded to recognise work undertaken in arts, humanities, social sciences, business and law (AHSSBL), in professional and support roles, and for trans staff and students. The charter now recognises work undertaken to address gender equality more broadly, and not just barriers to progression that affect women.

Advance HE's Athena SWAN Charter covers women (and men where appropriate) in academic roles in STEMM and AHSSBL, professional and support staff, and trans staff and students, in relation to representation, working environment for all staff, journey through career milestones, and progression of students in academia.

There are three levels of award available for institutions and individual departments. Members are encouraged to work through the levels from Bronze, to Silver and Gold. Bronze institution awards recognise that the institution has a solid foundation for eliminating gender bias and developing an inclusive culture that values all staff. Silver institution awards recognise a significant record of activity and achievement by the institution in promoting gender equality and in addressing challenges across different disciplines. Applications should focus on what has improved since the Bronze institutional award application, how the institution has built on the achievements of award-winning departments, and what the institution is doing to help individual departments to apply for Athena SWAN awards.

Gold institutions should be beacons of achievement in gender equality and should champion and promote good practice in the wider community. A Gold institution award recognises a significant and sustained record of activity and achievement by the institution in addressing challenges across the full range of the institution and promoting gender equality within and beyond the institution.

Applications should demonstrate how Athena SWAN is completely embedded within the institution with strong leadership in promoting and championing the charter principles; including consideration of gender equality for professional and support staff and trans people. This should be complemented by data demonstrating the impact of Athena SWAN activities. The institution should also demonstrate that they have taken an intersectional approach to analysing data and devising possible solutions to identified challenges.

Validity

It depends on the level of the award: institutions/departments need to re-apply within 3 years or 4 years to renew the award.

Interlinkages with other certification schemes

Project Juno and Athena SWAN are reciprocal awards, meaning that when a department has achieved one, they can convert it to the other using existing paperwork provided that they are a Juno Supporter and the



institution (where the department belongs) has achieved at least Athena SWAN Bronze. Both schemes have additional requirements which should be consulted (Here is the [link](#) to the Athena Swan guidance and conversion forms to Bronze and Silver).

Interlinkages with Research Funding regulations/processes

Athena SWAN received a major boost in 2011, when the UK Chief Medical Officer announced that the National Institute for Health Research would only expect to shortlist medical schools for Biomedical Research Centre (BRC) and Unit (BRU) funding if the associate academic school holds a Silver Athena SWAN award. This was later expanded to include Patient Safety Research Centre funding in 2012. Athena SWAN has since started to work with the Medical and Dental Schools Councils. In 2016, in the first round of funding to be awarded since the Chief Medical Officer's announcement, the Department of Health awarded £816m to 20 BRCs, all of which are associated with a Silver Athena SWAN award-holding academic unit (<https://www.gov.uk/government/news/new-816-million-investment-in-health-research>).

Although Research Councils UK (RCUK) does not link Athena SWAN to funding, in January 2013 it launched its 'Statement of Expectations for Equality and Diversity', which stated that it expects those in receipt of Research Council funding to "provide evidence of ways in which equality and diversity issues are managed at both an institutional and department level". It recommended that the evidence include participation in schemes such as Athena SWAN and Project Juno.

Eligibility and requirements:

Eligibility

Departments, research institutes and universities can apply.

Requirements

For an institution or department to be eligible to apply for an Athena SWAN Charter award, the HEI must sign up to the May 2015 update of the Athena SWAN principles and have no outstanding membership/subscription fees. There are other requirements that slightly differ depending on the level of award (gold, silver, bronze) and the target audience.

- For gold institution award: The institution must hold a valid Athena SWAN Silver award; this can be either a pre- or post-May 2015 award. The institution must also hold department awards (see below): i) At least one department must have a valid Gold award. And ii) The majority of the institution's academic departments must hold valid Silver awards.
- For gold department award: It is required that the institution to which the applicant department belongs must hold a valid Athena SWAN Bronze, Silver or Gold award or Advance HE's gender equality charter mark award (granted in October 2014). The applicant department must hold a Silver department award.
- For gold research institute award: The institute must hold a valid Athena SWAN Silver award; this can be either an original pre-May 2015 award or expanded post-May 2015 award.
- For silver institution award: The institution must hold a valid Athena SWAN Bronze award or Advance HE's gender equality charter mark award (granted in October 2014). The institution must also hold department awards (see below). At least one department must have a valid Silver award.
- For silver department award: The institution to which the applicant department belongs must hold a valid Athena SWAN Bronze or Silver award or ECU's gender equality charter mark award (granted in October 2014). The department does not have to have achieved a Bronze department award prior to applying for Silver. However, holding a Bronze award may make it easier to evidence progress and impact of initiatives on gender equality.
- For bronze department award: The institution to which the applicant department belongs must hold a valid Athena SWAN Bronze or Silver award or ECU's gender equality charter mark award (granted in October 2014). A department may decide to apply for an award in the same submission round that the parent institution applies for its first institution award. While this is allowed, applicants must be aware that should the institution be unsuccessful in its application the department will be ineligible for an award.

Other information

For the November 2018 round, there were 164 applications (for all levels) with 109 being successful at that level (66% success rate).

Business model:

The Business model is not clear. Advance HE is a professional body with a charitable status, registered as company limited by guarantee. Possibly, application fees are the main source of funding. As mentioned



above, in 2018 ECU was merged into a single body with the Higher Education Academy (HEA), and the Leadership Foundation for Higher Education (LFHE) called Advance HE.

Certification process, assessment, and support:

Athena SWAN Charter award applications are assessed by peer review panels convened by Advance HE which then recommend their decisions on awards to the latter. At least two members of Advance HE staff will be present on the panel to moderate and provide secretariat functions. The moderator will assist the panel by providing guidance on the application and assessment process and ensure that the panel complies with the requirements and guidance set out in the panellist role description. To ensure consistency of panel assessment, if required, the moderator will provide guidance on whether the application meets the requirements of the award level applied for. The secretary will record the key discussion points of the award panel and request that the panel identifies what feedback should be provided to the applicant. The panel will review up to six submissions in advance of the meeting. Panellists will discuss each application and take a decision on whether to recommend to Advance HE that an award is conferred. The panel have a number of options when taking a decision about each application. The panel may recommend to Advance HE that they confer or renew the award at the level sought, at a lower level, or even at a higher level. The panel may also recommend not to confer an award.

The panel provides detailed feedback to unsuccessful candidates and it provides [advice and guidance for applications](#), examples of [good practices](#), and other [resources](#).

In addition, Advance HE often procures evaluation of the scheme itself by external organisations to understand the impact of the scheme in the sector and identify ways for further improvement. In 2014, an independent evaluation (by Loughborough University) into the impact and effectiveness of Athena SWAN Charter has confirmed that the awards scheme advanced gender equality and changes the working culture and attitude within participating departments and universities. More information can be found [here](#).

In 2018, Advance HE commissioned Ortus Economic Research and Loughborough University to evaluate the impact of the Athena SWAN Charter across the higher education and research sector to determine its effectiveness as a vehicle for sustainable change, and to identify areas for further development. (An example is available [here](#))

A recent review of the Athena SWAN charter was undertaken and the report has been published in March 2020 which included recommendations to improve further the scheme in the future including the streamlining of the application process and reduction of administrative process, the consistency and transparency of award outcome etc. More information can be found [here](#).

Criteria and Indicators used:

When assessing submissions, the panel expect to see evidence of a rigorous and thorough evaluation process. It will consider the following themes at all levels of award:

- Communication (How well are the policies and plans communicated to staff?)
- Senior or high-level commitment -Is there commitment from senior staff? How is it communicated?
- Effective analysis of the data (What does the data show, and which actions are being taken to address the issues identified?) How will impact be measured?
- Self-reflection and honesty (The panel accepts that challenges may be faced and mistakes may be made, but these need to be recognised openly together with the steps taken to address them).
- Engagement (Are staff at every level involved in the development, implementation and evaluation of policies?)

Panellists will also provide specific data in relation to the different sections in the application:

- Letter of endorsement;
- Description of the department/institution;
- Self-assessment process;
- A picture of department/institution (Student data; academic staff data);
- Supporting and advancing women's careers (data for careers of staff, flexible working, organisation and culture);



- Case studies (for silver/gold);
- Further information and action plan.

In reaching a decision on the appropriate level of award, panels will consider:

- the clarity of the evidence provided of what has been done and what is planned
 - the rationale for what has been done and what is planned and how they link to the organisation's strategic mission and goals
 - how successful the actions taken have been, how that success was measured and evaluated and how the organisation and the individuals who work in it have benefited
 - the link between the data and the action plans
 - the understanding of the institutional context/local circumstances and key issues demonstrated
 - the significance of any changes, programmes/initiatives in terms of their anticipated outcomes, their sustainability and the likely longer term impact on the organisation, its processes and its culture
 - the level of input, investment, involvement, commitment and support from senior management, heads of departments, senior academics and research team leaders (men and women)
 - consultation with input from all research academic staff (men and women), particularly encouraging women's participation
 - the extent to which what was developed and introduced was different, innovative or particularly challenging
- the suitability and sustainability of what has been developed and the ease with which changes have been or are likely to become embedded in the organisational/ departmental culture
- the extent to which activities, programmes and changes have successfully addressed perceptions and expectations that shape or constrain career choices and outcomes
 - the extent to which the value of what has been done is recognised, welcomed and valued by staff generally

Gender, diversity, and excellence:

At Bronze and Silver level, institutions are expected to consider the role of the intersection of gender with ethnicity for both academic and professional and support staff. Self-assessment teams are expected to consider intersectionality in increased detail for the higher level of award. At Bronze level, if it is not possible for the institution to cover this within the application (i.e. because of lack of data), the panel will expect to see that appropriate actions have been put in place (i.e. actions to improve collection of data). At Silver level, an explanation of any actions implemented and their impact should be provided.



Stonewall UK Workplace Equality 2005 Index

Award

National

<https://www.stonewall.org.uk/creating-inclusive-workplaces/workplace-equality-indices>

192 St John St, Clerkenwell, London

Awarding body:

Stonewall

Target Audience:

Businesses

Overall description:

The Workplace Equality Index is Stonewall's leading benchmarking tool for LGBT inclusion in the workplace and free to enter for any employer. Each entrant compiles a submission demonstrating their organisation's performance against a set of best practice criteria accompanied by supporting evidence. Participating employers demonstrate their work in 10 areas of employment policy and practice. Staff from across the organisation also complete an anonymous survey about their experiences of diversity and inclusion at work. Organisations then receive their scores, enabling them to understand what's going well and where they need to focus their efforts, as well as see how they've performed in comparison with their sector and region. The 100 best-performing organisations (see the [2019 winners](#)) are celebrated publicly. Stonewall Diversity Champions benefit from in-depth, tailored feedback on their submission."

Validity

1 Year, Renewable

Eligibility and requirements:

Eligibility

UK businesses

Requirements

Completion of an online submission form against a set of best-practice criteria, uploading of evidence by the applicant; Stonewall seeks feedback from staff via a survey

Other information

503 applicants in 2019, of which Stonewall publish and index of the best 100

Business model:

Charity, supported by fundraising, Charitable Trusts and Foundations and Statutory Grants

Certification process, assessment, and support:

Marking and ranking by the Stonewall team. They assess the work of the organisation by asking a series of questions about their activities relating to employee policy, the employee lifecycle, staff network groups, allies and role models, senior leadership, monitoring, procurement, and customers, service users and clients. Staff experiences are recorded through an anonymous survey, which the organisation is expected to promote to its employees with Stonewall carrying out all other aspects of data collection and analysis.

Diversity Champions within the organisation are sent a survey summary, showing employee opinions, attitudes and experiences, along with comparable data on sector and regional averages. Organisations are encouraged to use the Index as a developmental framework.

Feedback on best practice is provided in a shared report; for organisations that are members of a Stonewall Diversity Champion scheme there will be a feedback meeting from an Account Manager.

Criteria and Indicators used:

The assessment process involved marking and ranking by the Stonewall team. The indicators used for assessment comprise: Policies, Training information, Staff engagement and networking, career development, line managers, monitoring, procurement, community engagement and additional work by the employer.



REC Race Equality Charter**Certification**

<https://www.advance-he.ac.uk/charters/race-equality-charter>

2016

National // UK

Advance HE, First floor, Napier House, 24 High Holborn, London, WC1V 6AZ

Awarding body:

Charity, company limited by guarantee

Target Audience:

Universities, Departments, RPOs

Overall description:

The REC is one of the services provided by Advance HE that is improving the representation, progression and success of minority ethnic staff and students within higher education. It creates a framework through which institutions work to self-reflect on institutional and cultural barriers standing in the way of minority ethnic staff and students. Member institutions develop initiatives and solutions for action.

Members can apply for a Bronze or Silver REC award, depending on their level of progress.

Validity

Not stated; possibility to renew.

Eligibility and requirements:**Eligibility**

Membership of the Race Equality Charter is open to any HEI within the UK that is committed to the advancement of race equality within higher education. Membership is open to UK institutions that hold legal status as a higher education institution; UK HEIs must be a member of Advance HE and have chosen the REC Accreditation Package to join REC.

Requirements

None available online

Other information

There are 62 members and 14 award holders

Business model:

Advance HE is a professional body with charitable status. The main source of funding is application fees.

Certification process, assessment, and support:

Review of the self-assessment by peer-reviewed panels convened by Advance HE. The data collected for assessment are qualitative and quantitative, and policy documentation. As extra support, members of the REC are able to: submit for institutional REC awards at Bronze and Silver level; access resources and publications to prepare award submissions; attend workshops on various topics to help prepare for an award; access advice and support from Advance HE's Equality Charters team; join the Race Equality Charter email forum; use the Race Equality Charter logo to highlight their commitment to race equality on institutional websites, materials and job adverts.

Criteria and Indicators used:

- Communication (How well are the policies and plans communicated to staff?)
- Senior or high-level commitment - Is there commitment from senior staff? How is it communicated?
- Effective analysis of the data (What does the data show, and which actions are being taken to address the issues identified?) How will impact be measured?
- Self-reflection and honesty (The panel accepts that challenges may be faced and mistakes may be made, but these need to be recognised openly together with the steps taken to address them).
- Engagement (Are staff at every level involved in the development, implementation and evaluation of policies?)

Gender, diversity, and excellence:

Two of the guiding principles reflect the need for **intersectionality**: minority ethnic staff and students are not a homogenous group. People from different ethnic backgrounds have different experiences of and outcomes from/within higher education; all individuals have multiple identities, and the intersection of those different identities should be considered wherever possible.



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| Disability Standard | N/A |
| Standard https://businessdisabilityforum.org.uk/our-services/disability-standard/ | National – UK Email: consultancy@businessdisabilityforum.org.uk |
| Awarding body: Target Audience: | Business Disability Forum Businesses and Universities |

Overall description:

The Disability Standard is a whole-organisation disability management audit developed by the Business Disability Forum to help organisations measure and improve the performance for disabled customers, clients or service users, employees and stakeholders. It enables understanding how disability-smart an organisation is and to build a disability smart organisation. There are three different categories: Gold (with a final assessment of 90% or more); Silver (80% or more); Bronze (70% or more).

Validity

Not stated in the official website; unclear if there is a possibility to renew.

Eligibility and requirements:**Eligibility**

No particular exceptions apply

Requirements

Entry requirement: each organisation will be allocated one super-user who will have overall control of the whole submission.

Business model:

Main source of funding: application fees.

Certification process, assessment, and support:

"1. Self-assessment on disability in 10 areas [see the criteria and indicators section]. Each organization can self-assess how different business units are doing in one area, or in all 10 areas, and print off their respective report.

Each organisation will be allocated one super-user who will have overall control of the submission.

2. The organization should decide whether they want to have a Business Disability Forum evaluation.

3. After confirmation of the willingness to have the evaluation, they allocate a disability consultant to work with the organisation through the process.

4. Agreements on when the Business Disability Forum evaluation will be undertaken, and booking of the date.

5. Submission of the organisation's assessment for Business Disability Forum evaluation by the mutually agreed deadline.

6. The Business Disability Forum's evaluation team will carry out a comprehensive review of the assessment, looking at the submitted evidence.

7. The Business Disability Forum evaluation report arrives within two months.

8. Personal debriefing over the phone or at the BDF offices (all members), or at the organisation's office."

Criteria and Indicators used:

| | |
|--------------|---|
| •Commitment | •Products and services |
| •Know-how | •Suppliers and partners |
| •Adjustments | •Communication |
| •Recruitment | •Premises |
| •Retention | •Information and communication technology (ICT) |



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| Project Juno | 2007 |
| Award | International/ UK and Ireland |
| http://www.iop.org/about/diversity/initiatives/juno/index.html | diversity@iop.org |
| Awarding body: | Institute of Physics |
| Target Audience: | Business/ others + Research and HE (just physics) |

Overall description:

The Institute of Physics in Ireland (IOP) adopted the Juno Project as part of their strategy to achieve greater gender equality in physics. The aim of Project Juno is to recognise and reward physics departments, schools, institutions and organisations that can demonstrate they have taken action to address gender equality in physics and to encourage better practice for all staff. It is aimed at developing an equitable working culture for students and staff to achieve full potential.

There are different levels: Supporter / Practitioner / Champion / Juno Excellence Programme & Award

Validity

3 years (4 years for Champion), Renewable

Interlinkages with other certification schemes

Project Juno and Athena SWAN are reciprocal awards, meaning once you have achieved one, you can convert it to the other. If you are a Juno Supporter it implies you have at least an Athena SWAN Bronze award

Eligibility and requirements:**Eligibility**

Any school, department, research institute or organisation offering physics-based teaching and/or research can join Project Juno by making a commitment to the six Juno principles. Where physics is embedded within other activities (for example within a school of engineering or mathematics), you can join Project Juno if you can provide data, information and action related to physics-based activities. Where separate physics-based information is not available, applicants are encouraged to take part in the Athena SWAN award scheme.

Requirements

- Supporter → You start your Juno journey by endorsing the five principles and making a commitment to work towards Practitioner and then Champion.
- Practitioner → You demonstrate that your Juno journey is well underway. Qualitative and quantitative evidence is gathered and its initial action plan demonstrates how you aim to achieve Champion status.
- Champion → You demonstrate that the six principles are embedded throughout. Further evidence is gathered and its action plan demonstrates how you will continue to further good practice.
- Juno Excellence Programme and Award → As a Juno Champion, you develop a programme of activities in conjunction with the Institute to showcase and embed successful and innovative practice nationally.

Other information

Out of 55 physics departments in the UK and Ireland there are:

- 25 Juno supporters
- 11 Juno practitioners
- 10 Juno champions

([source](#))

Business model:

The IOP is a leading scientific society. They are a charitable organisation with a worldwide membership of more than 50,000 working together to advance physics in education, research and application. Possibly it is through membership fees / donations that the Juno Programme has been rolled out in order to highlight the importance of a gender balance in STEM and in particular the world of physics.

Certification process, assessment, and support:

All applications and renewals for Practitioner, Champion and Juno Excellence awards are judged by a panel of physicists (Juno panel) who have in-depth understanding of gender equality in physics. They are aware of the specific challenges that physics faces and have extensive knowledge of best practice in gender-equality initiatives that have already been established, both within and beyond the physics community.



To become a **supporter**, applicants need to make commitment to the six principles; nominate a “champion” for Juno process and engage senior management; make commitment to becoming a Practitioner and Champion and send a letter with a named Juno contact.

For **practitioner** award: applicants need to establish Juno committee; gather qualitative and quantitative evidence; undertake self-assessment using good-practice checklist; devise Practitioner action plan. The Panel assesses evidence for Practitioner at its meeting and decide whether it will approve the application and provide detailed feedback.

For **Champion** award: Applicants start implementing Practitioner action plan; they gather more robust evidence; devise more in-depth action plan, highlighting progress and what is still to be done; arrange a mid-Practitioner formal site visit to receive feedback on progress so far and discuss priorities as applicants work towards Champion. The panel assesses evidence for Champion at its meeting and make decision on approval and detailed feedback. To be considered for Juno Excellence Programme and Award: Applicants need to arrange a Champion renewal visit three years after becoming Champion to receive feedback on progress and priorities for renewal; discuss with the diversity team a programme of activities applicants could develop for Juno Excellence; and finally apply to renew Champion status after four years.

Applicants need to undertake self-assessment and then be reviewed by Juno panel (panel comprised of physicists). The Panel comprises a Chair and at least five other members. With the approval of the Chair of the Panel, and the IOP Diversity and Inclusion Committee, panel members are drawn from Juno Champion and Practitioner departments. The Panel shall include at least two academic physicists and one non-academic physicist. There shall be at least one man and one woman on the Panel.

The IoP provides the following general support:

- Written feedback on draft applications and action plans.
- Comprehensive written feedback on all your applications and renewals.
- Free best-practice workshops around the country, giving you the opportunity to network with other departments at different stages of the Juno journey.
- Resources that help you to navigate your Juno journey, from best-practice guides including guidance for small departments through to a regular Juno update.

Criteria and Indicators used:

The six principles are listed here (with further information and the specific subsections available [here](#)).

- A robust organisational framework to deliver equality of opportunity and reward;
- Appointment and selection processes and procedures that encourage men and women to apply for academic posts at all levels;
- Departmental structures and systems that support and encourage the career progression and promotion of all staff, and enable men and women to progress and continue in their careers;
- Departmental organisation, structure, management arrangements and culture that are open, inclusive and transparent, and encourage the participation of all staff;
- Flexible approaches and provisions that enable individuals, at all career and life stages, to optimise their contribution to their department, institution and to SET;
- An environment where professional conduct is embedded into departmental culture and behaviour.

Practitioner applications are assessed only against Juno principle 1: the extent to which the department has demonstrated that it has a robust organisational framework to delivery equality of opportunity and reward.

Champion applications are based and assessed on the extent to which all six Juno principles and their key criteria have been embedded into departments with evidence of impact.

Gender, diversity, and excellence:

The Juno Project is targeted at advancing research / study / work for physics in Ireland and the UK. It has developed a programme to develop an official recognition and commitment to gender equality by asking organisations / institutions / HEI's to create better working practices for staff and students in line with advancing gender equality frameworks internationally.

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UNITED STATES OF AMERICA

[Link to references](#)

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|----------------------------------|---|
| National CAS: | <ul style="list-style-type: none"> • ADVANCE • SEA Change • Catalyst Awards • GEN Certification |
| Number of HRS4R awardees: | <ul style="list-style-type: none"> • N/A |

National context for Quality Assurance and Accreditation

Overall, **no national mechanisms for evaluation of research quality** different from accreditation were found.

The **accreditation** in the United States reflects the diversity and decentralized structure of higher education in the country, and is structured into “a large and complex public-private system that is designed to assure quality in higher education and be the gatekeeper for access to federal and state funding” (Schray, 2006: 2). While the **accreditation is a voluntary process, it is becoming increasingly important because of the linkage between federal funding (e.g. student financial assistance) and accreditation** (Schray, 2006).

Accreditation agencies develop quality standards and criteria for accreditation, develop and manage the accreditation process, and make the final decision on accreditation. The accrediting organizations can be recognized by the federal government, specifically by the **United States Department of Education (USDE)**, and/or by a non-governmental accreditation agency, the **Council on Higher Education Accreditation (CHEA)**.

In the case of federal recognition, the USDE has established criteria and standards across ten areas:

- success with respect to student achievement in relation to the institution's mission;
- curricula;
- faculty;
- facilities, equipment, and supplies;
- fiscal and administrative capacity as appropriate to the specified scale of operations;
- student support services;
- recruiting and admissions practices, academic calendars, catalogues, publications, grading, and advertising;
- measures of [program](#) length and the objectives of the degrees or credentials offered;
- record of student complaints received by, or available to, the agency;
- record of compliance with the institution's program responsibilities

(Accreditation and preaccreditation standards, 2019).

In the case of non-governmental accreditation, the CHEA recognizes five major standards for an educational institution:

- to advance academic quality;
- to demonstrate accountability;
- to encourage purposeful change and needed improvement;
- to employ appropriate and fair procedures in decision-making;



- to continually reassess accreditation practices.

(Schray, 2006: 5)

The CHEA's standards are not only different from the criteria used by the federal government but also fairly broad, which allows accreditation agencies recognized by CHEA to implement different criteria.

Unlike public or governmental systems of accreditation in other countries, the **accreditors are private, nongovernmental organizations** in the US. There are **three main types of accrediting agencies** operating in the United States: **regional, national and programmatic accreditors**. As of March 2020, there are seven regional accreditors, twelve recognized national accreditors and seventy three programmatic accreditors that have been recognized by the USDE, the CHEA or both.¹⁷⁶

“Regardless of accreditor, receiving or renewing accreditation is generally the same. A college begins by conducting a self-study, in which the institution evaluates itself based on the accreditor’s criteria and writes a report. Peer reviewers (usually faculty members and administrators from other accredited colleges) then visit the campus to gather additional information before the accreditor issues its judgment. These judgments include unconditional reaccreditation for up to 10 years, shorter periods of reaccreditation, sanctions or warnings that continue accreditation but require the college to fix issues in a short time, and denial or termination of accreditation.” (Kelchen, 2017: 2).

Some institutional accreditors include disaggregated information by gender and race/ethnicity to measure student retention in their processes (Ewell, 2015), but there is not a direct link of gender and diversity as mechanisms of quality.

Gender in research and higher education

There are **no specific national policies** on Gender in Higher Education and/or Scientific Research and Innovation.

Title IX of the 1972 Education Amendments is the closest that the US has to a “national policy” governing higher education, which prohibits discrimination on the basis of sex in any federally funded education program or activity.

Another law of 1974, the **Women’s Educational Equity Act (WEEA)**, did not have too much impact due to long term problems to secure funding, especially during the Reagan administration and the George W. Bush administration (Nash et al., 2007: 71). The last document funding for WEEA was in 2010.¹⁷⁷

Title IX does not establish a relationship between gender equality and quality/excellence in research and/or education. Instead, Title IX acts as a neutral principle of equal opportunity that leaves the (arguably problematic) notion of meritocracy intact.

Title IX identifies some **key areas in which recipients of Federal funding have obligations**: “recruitment, admissions, and counselling; financial assistance; athletics; sex-based harassment; treatment of pregnant and parenting students; discipline; single-sex education; and employment.”¹⁷⁸

A short review of the history of Title IX may prove interesting: initially, the Office for Civil Rights (OCR) circulated a first draft of regulation that was criticized for being “extremely general and vague and thus likely to result in enforcement disputes” (Nash et al., 2007: 66). Two years after Title IX became

¹⁷⁶ See the full list [here](#).

¹⁷⁷ Available online [here](#).

¹⁷⁸ https://www2.ed.gov/about/offices/list/ocr/docs/tix_dis.html



law, in 1974, the Department of Health, Education and Welfare (HEW) released a regulation that defined three general areas: admissions, treatment, and employment. In the following years several organizations--such as the National Coalition for Women and Girls in Education (NCWGE) and the American Friends Service Committee (AFSC)--elaborated reports on implementation and enforcement of Title IX and blamed the HEW for not disseminating clear regulations for Title IX (see detailed analysis in Nash et al., 2007).

Title IX does not foresee any specific type of concrete measure or provision.

Nonetheless, **universities elaborate equal opportunity statements to comply with federal regulations necessary to receive federal funds.** There have been some coordinated efforts to use Title IX to make universities enforce gender equality. For instance, *“Under urging from the NCWGE members, in 2004 the OCR within the U.S. Department of Education sent “Dear Colleague” letters to heads of state and local education agencies and institutions of higher education, reminding them of their obligation to have a Title IX coordinator”* (Nash et al. 2007, 85).

As explained above, Title IX establishes a direct **link between funding programs and gender equality:** the principle of non-discrimination on the basis of sex should be implemented in “any education program or activity receiving Federal financial assistance.”¹⁷⁹

Introduction to the CAS in the United States

Despite the absence of specific national policies, there are some specific programs to achieve gender equality in research, Higher Education and business in the United States.

Established in 2001, the **ADVANCE program** awards competitive grants, currently with an applicant success rate of less than 10%, to increase the representation and advancement of women in academic science and engineering careers to contribute to a more diverse science and engineering workforce (Rosser et al., 2019: 604). The program is funded by the **National Science Foundation (NSF)** and contains a diverse portfolio of projects including Institutional Transformation (IT) awards, IT-Catalyst awards, Leadership awards, Partnership awards, and Adaptation Awards to cover different institutional contexts and goals. US institutions of higher education (IHE) and non-academic organisations are eligible to apply.

The ADVANCE program applies a policy approach that shifts from a focus on women to a focus on institutions, by encouraging the STEM community to address “various aspects of STEM academic culture and institutional structure that may differentially affect women faculty and academic administrators.” Despite the focus on an institutional culture that supports a diverse academic workforce, the ADVANCE program has been criticized for privileging the experiences and needs of white women, thus lacking an intersectional analysis (Rosser et al., 2019: 605).

Organized by the American Association for the Advancement of Science (AAAS) and modelled after the Athena SWAN program and the NSF ADVANCE program, the **SEA Change** is a new program that is in its pilot phase. The program plans to award Bronze, Silver, and Gold-level status to STEMM (science, technology, engineering, mathematics and medicine) departments and institutions that meet research-informed criteria in promoting gender equity and diversity. The areas of focus will be determined by institutions’ or departments’ challenges. The preliminary documents mention topics such as recruitment, hiring and retention of diverse STEM faculty; recruitment and success of diverse student populations in STEM; and presence of a supportive campus climate (Malcom, 2017).

The program will use a self-assessment and improvement framework, seeking to implement a national framework, an attempt to systemic, structural and lasting change, which has proven elusive for higher

¹⁷⁹ https://www2.ed.gov/about/offices/list/ocr/docs/tix_dis.html



educational institutions in the US (Malcom et al.). A NSF grant will support the development of the infrastructure needed for SEA Change to reach its goals and eventually to become self-sustaining. A consultative group, which also includes representatives from Queen's University Belfast, an Athena SWAN Silver Award winner at the institutional level, has been created to develop viable and relevant metrics and assessment instruments during the pilot phase.

Catalyst is a nonprofit organization that focuses on improving the conditions for women in the workplace. Established in 1987, the **Catalyst Awards** annually honour three or four innovative organizational approaches with proven, measurable results that address the recruitment, development, and advancement of women. The aim of the awards is to build inclusive cultures; address workplace issues at the intersection of gender, race, and ethnicity; and engage men as champions to help women advance and succeed. The geographical scope of the awards is international (its CAS sheet is available in the [international sheet](#)), but it is rooted and organized in the United States.

Finally, the **GEN Certification** is a data-driven standard for gender equity in the U.S. workplace. The certification assesses employee experience and employer policies in the following areas: Bias Neutrality, Accessibility, Gender Perception Gap, Employee Resonance, and Visible Advocacy. Created by a consortium of data analysts, experts in the field of gender studies and a research team at the University of Washington, GEN Certification recognizes companies whose practices and processes support gender equality. Businesses that are GEN Certified maintain that status for three years. They may then be audited for recertification at approximately 45% the cost of the original certification fee.

Researcher's Assessment

The ADVANCE program seems the most relevant scheme in the United States because of its established structure (since 2001, organized in multiple categories with diverse specifications), its reliable source of funding (NSF) and the systemic approach that it implements (seeking to address institutional logics and culture that might produce the inequities rather than focusing on numbers and individual cases). Under the category of ADVANCE Institutional Transformation, the program has enabled some projects to implement a multi-level system approach with a more enduring impact than the single-issue projects that focus on women (Rosser et al., 2019: 607). Although, it has been criticized for an excessive focus on white women and a lack of intersectional perspective.

According to the initial documentation of the SEA Change, the program appears to have great potential for its systematic approach, the more intersectional-friendly language, and the promise to expand to other fields beyond STEM. The program might benefit from being modelled after the experience of Athena SWAN. Possible doubts about its future development refer to the capacity of the program to secure funding and/or even to self-sustain, as its promoters claim to be the goal.



What are the pitfalls and shortcomings of gender equality CAS not embedding an intersectional approach?

There are two major programs that promote gender equality and diversity in institutions of higher education (IHE) in the United States: the SEA Change and the ADVANCE program. Both programs focus on reform in science, technology, engineering and mathematics (STEM) fields and adopt a systemic approach, in the case of the ADVANCE program through its Institutional Transformation (IT) track.

Organised by the National Science Foundation (NSF), the ADVANCE IT is a program of grants, rather than a certification or award scheme (CAS), that awards funding to projects of institutions of higher education (IHE) to support systemic change for gender equity in STEM academic professions. The ADVANCE program introduced the expectation for all ADVANCE proposals to address the intersection of gender and other identities in STEM academic careers in the 2016 solicitation (NSF, 2016). The inclusion of intersectionality, which consolidated in the 2019 solicitation (NSF, 2019), seeks to address the limitations of the original definition of the ADVANCE program. Originally, the NSF distinguished between issues facing women and underrepresented populations and decided to limit the scope of the ADVANCE program to an abstract category of women (Sturm, 2006). This abstraction and the absence of explicit strategies to address the racially gendered barriers that women scientists of colour face limited the impact of the systemic transformation promoted by the program.

The initial ADVANCE program announcements used a language of diversity as a necessary component of excellence that implicitly conflated diversity with the inclusion of women. The identification of gender-based discrimination as a form of diversity combined with the omission of women scientists of colour, implied that the diversity goal could be fulfilled improving the racially unmarked positions of white women (Hunt et al., 2012: 277). The vagueness of certain categories used in ADVANCE documents, such as “underrepresented” groups, also manifests a lack of intersectional perspective that fails to address other structures of discrimination affecting women, such as the relationship of class-based privileges and higher education (Hunt et al., 2012). The absence of intersectional lens is both a cause and a consequence of the limited documentation on the barriers that certain groups, such as minority women, face (Hunt et al., 2012).

SEA Change builds upon the ADVANCE program’s effort to promote systemic change through the granting of awards to STEM departments and institutions that meet research-informed criteria in promoting gender equity and diversity. Organised by the American Association for the Advancement of Science (AAAS) and modelled after the Athena SWAN program, the SEA Change program was created in October 2017 and is currently in a pilot phase developing its infrastructure under the funding of an NSF grant.

Addressing some of the concerns around the ADVANCE program, the initial documentation about the SEA Change explicitly includes an intersectional perspective. The director of SEA Change has expressed the intention for the program “to focus on gender and race/ethnicity as well as their intersection for women of colour in STEM” (Malcom 2019, 7). The AAAS plans to support other marginalized populations in the future (e.g., persons with disabilities, and first-generation and LGBTQ+ groups), when data will make it possible (Malcom 2019). In this way, the SEA Change program recognizes the interconnection of gender issues to other axis of discrimination in STEM fields. Future developments of the program will show the impact of this approach.

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SEA Change (STEM Equity 2017/18 Achievement Change)

Award

<https://seachange.aaas.org/>

National

seachange@aaas.org

Awarding body:

American Association for the Advancement of Science (AAAS)

Target Audience:

Research And He (Institutions, Schools And Departments/ Science, Technology, Engineering, Mathematics, Medicine)

Overall description:

Organized by the American Association for the Advancement of Science (AAAS) and modelled after Athena Swan program and NSF ADVANCE program, SEA Change will award Bronze, Silver, and Gold-level status to STEM departments and to institutions that meet research-informed criteria in promoting gender equity and diversity. It is based on a self-assessment and improvement framework that seeks a national framework (an attempt to systemic, structural and lasting change that has proven elusive for higher educational institutions in the US ([Malcolm et al.](#))). The plan for the future phases is to expand to departmental awards and include fields other than STEM.

There will be three different levels: bronze, silver and gold.

Validity

5 years, renewable

Interlinkages with other certification schemes

There are clear connections to NSF ADVANCE, but since the SEA Change is at the pilot phase, it is not clear whether they will develop interlinkages with that certification scheme.

Interlinkages with Research Funding regulations/processes

In one of the news reporting on the launching of the program, it was suggested that NSF might consider requiring certification as a prerequisite for funding. ([News in NATURE](#)).

Eligibility and requirements:

Eligibility

Institutions for higher education (IHE). In the pilot phase 3 institutions got the Bronze award. The second on-going phase consists of 6-9 IHE ([Gangotra, 2019](#))

Requirements

Institutions cannot achieve a certain level without a given number of departments achieving that level, and departments cannot achieve a given level without the institution having received a minimum level.

Other information

3 award holders in the pilot phase

Business model:

AAAS grants. The charter currently has approximately \$200K. The aim is to eventually operate a cost recovery model by charging participants membership fees (Gangotra, 2019). A NSF grant will support the development of the infrastructure needed for SEA Change to reach its ambitious goals and eventually to become self-sustaining (ongoing: starting June 15, 2019 and ending May 31, 2021).¹⁸⁰ Funds through ADVANCE and INCLUDES at the NSF ([Malcolm, 2017](#))

Certification process, assessment, and support:

Self-assessment, receive feedback, track and report progress

Criteria and Indicators used:

Focus determined by institutions' or departments' challenges: recruitment, hiring and retention of diverse STEM faculty; recruitment and success of diverse student populations in STEM; presence of a supportive campus climate.

¹⁸⁰ https://www.nsf.gov/awardsearch/showAward?AWD_ID=1841687&HistoricalAwards=false



Gender, diversity, and excellence:

Arguably intersectional, "this initiative was founded to provide equity and diversity metrics for higher education and academic careers. The focus of this charter is not just gender; it aims remove structural barriers based on race, ethnicity, disability, gender identity, sexual orientation, age, and class, as well" (Gangotra, 2019).

NSF ADVANCE**Award**

https://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5383

2001**National**

ADVANCE@nsf.gov

Awarding body:

National Science Foundation (NSF)

Target Audience:

Research and he (STEM)

Overall description:

The long-term goal of the ADVANCE program is to use competitive grant awards, currently with an applicant success rate of less than 10%, for the establishment of a productive and diverse academic workforce within STEM fields, including in STEM institutions and organisations that are structured to be equitable, that use research-based inclusive practices, and that have a culture and climate supportive of a diverse academic workforce (Rosser et al., 2019).

Different types of awards: Institutional Transformation (IT), IT-Catalyst, Leadership, Partnership, Adaptation, ADVANCE Fellowship.¹⁸¹

Validity

Different lengths depending on the type of award. Institutional Transformation (5 years), Adaptation (3 years), Partnership (3-5 years), Catalyst (up to 2 years).

Eligibility and requirements:**Eligibility:**

1. Institutions of Higher Education (IHEs) – Non-profit two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the U.S.
2. Non-profit, Non-academic Organizations - Independent museums, observatories, research laboratories, professional societies and similar organizations located in the U.S. that are directly associated with educational or research activities.¹⁸²

Requirements

Limitations of number of applications per organization. Submission of letters of intent, preliminary proposals and, then, full proposals.

Other information

70 Institutional Transformation (IT) awards (awarded between 2001 and 2018); 37 IT-Catalyst awards (awarded between 2008 and 2016); 31 Leadership awards (awarded between 2001 and 2006); 81 Partnership awards - includes Partnerships for Adaptation, Implementation and Dissemination (PAID), Partnerships for Learning and Adaptation Networks (PLAN) and Partnership (awarded between 2006 and 2018); 8 Adaptation awards (awarded in 2017); and 43 ADVANCE Fellowship awards (Awarded in 2001 and 2003; these are no longer offered).¹⁸³ Applicant success rate of less than 10% (Rosser et al., 2019). Results: 79–90% of institutions awarded ADVANCE Institutional Transformation grants addressed policy changes in the following areas:

¹⁸¹ <https://www.nsf.gov/crssprgm/advance/awards.jsp>

¹⁸² <https://www.nsf.gov/pubs/2019/nsf19552/nsf19552.pdf>

¹⁸³ <https://www.nsf.gov/crssprgm/advance/awards.jsp>



recruitment (90%), hiring (95%), research support (79%), tenure criteria (90%), standards of promotion to full professor (79%), and work–life balance (79%) in Rosser et al, 2019.

Business model:

National Science Foundation (NSF) grant. Since 2001, this initiative has provided ~\$300M in funding to more than 179 IHEs (Gangotra, 2019: 19). The Institutional Transformation award: the monetary value awarded can be up to \$3M for five years. The Adaptation award: the monetary value awarded can be up to \$1M for three years, with an additional \$100K for collaborative projects. The Partnership award: the monetary value awarded can be up to \$1M for three years, with an additional \$250K for partnering with the NSF INCLUDES National Network. The Catalyst award: the monetary value awarded can be up to \$300K for two years.

Certification process, assessment, and support:

A combination of self-assessment and external evaluation, which follows the description of the proposed project activities.

Criteria and Indicators used:

Systemic (or organizational) inequities may exist in areas such as policy and practice as well as in organizational culture and climate. For example, practices in academic departments that result in the inequitable allocation of service or teaching assignments may impede research productivity, delay advancement, and create a culture of differential treatment and rewards. Similarly, policies and procedures that do not mitigate implicit bias in hiring, tenure, and promotion decisions could lead to women and racial and ethnic minorities being evaluated less favourably, perpetuating historical under-participation in STEM academic careers and contributing to an academic climate that is not inclusive.

Gender, diversity, and excellence:

In response to the finding that ADVANCE privileged the experiences and needs of white women, NSF has acknowledged the role of intersectionality (emerging from feminist and critical race theory), and the effects of the overlap of race and ethnicity, class, religion, and other social identities (including gender) for women in STEM. The spectrum of gender and STEM workplace stigmas that relate to different physical and mental abilities, country of origin and education, and age are beginning to be recognised as important for understanding the experiences of women in STEM in various institutional contexts. (Rosser et al., 2019:605). "ADVANCE Institutional Transformation projects that embarked on multi-level system approaches have had the most enduring impact, as opposed to those that took a so-called change the women approach" (Rosser et al., 2019:607).

For further information, refer to the following publications:

- [Furst-Holloway, S., Hardcastle, V.G., Douglas, H., and Page, E. 2018. "Sustaining Advance Programs: A Correlational Study"](#)
- [Susan Sturm. 2015. "The Architecture of Inclusion: Advancing Workplace Equity in Higher Education"](#)
- [Zippel and Marx Ferree. 2018. "Organizational interventions and the creation of gendered knowledge: US universities and NSF ADVANCE."](#)



| | |
|---|--|
| GEN Certification | Date not available |
| Certification https://thinkgen.org/ | National https://thinkgen.org/contact |
| Awarding body: | GEN (Gender Equity Now), a non-profit corporation in the State of Washington |
| Target Audience: | Business/Others |

Overall description:

The GEN Certification is a data-driven standard for gender equity in the U.S. workplace.

The certification assesses employee experience and employer policies in the following areas: Bias Neutrality, Accessibility, Gender Perception Gap, Employee Resonance, and Visible Advocacy.

Created by a consortium of data analysts, experts in the field of gender studies and a research team at the University of Washington, GEN Certification recognizes companies whose practices and processes support gender equality.

Validity

3 years. renewable at approximately 45% the cost of the original certification fee.

Eligibility and requirements:**Eligibility**

A business organization in the US. There is no minimum headcount for the GEN Certification (GEN has created a certification model for small businesses of under 50 employees, in addition to its standard certification model)

Requirements

Pay GEN Certification Assessment fee. The organization offer also [consultancy services](#) for organizations that are not sure to be prepared for the application

Business model:

Not available

Certification process, assessment, and support:

The GEN certification is awarded based on the results of an employee experience survey and a processes audit.

An approved third-party auditor issues GEN Certifications. These are trained certification specialists who have gone through a GEN Certification auditing program to ensure integrity, competence, and consistency") (Information available in the [Reference Guide](#) and "[Get certified](#)")

Criteria and Indicators used:

Assessment prior certification:

- Bias Neutrality;
- Accessibility;
- Gender Perception Gap;
- Employee Resonance;
- Visible Advocacy

Gender, diversity, and excellence:

There are some references in the certification reference guide, including a section titled "Intersectionality: Diversity Across Gender", but then the questions of the survey, also included in the certification reference guide, focus on gender (questions on binary men-women).

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INTERNATIONAL

The CAS collected in this “international sheet” are those CAS which apply beyond national borders. In the HRS4R and UNDP Gender Equality Seal cases, the CAS are arguably supranational, rather than international. In fact, the awarding institutions are supranational bodies which apply their CAS in a multi-level approach.

The rest of the CAS collected here are essentially international as, while their awarding institutions are private bodies which have a legal basis in a single country, candidates can apply from any other country (with sometimes regional limitations). Athena SWAN, for the purposes of this report, has not been treated as a purely international CAS and is therefore not present in this sheet.

The regional-level **European Commission’s Human Resources Strategy for Researchers** is analysed in detail in the overall CAS analysis chapter.

The **UNDP Gender Equality Seal for Public and Private Enterprises**, created under the United Nations Development Programme, deals with private business, but also public administrations. While it originally focused in Latin America, it is growingly widening its focus to include other areas, such as Eastern Europe, and is reportedly undergoing a “scaling up” phase in the 2019-2022 period (as per the official [website](#)). It is a voluntary programme in which companies, after self-assessment, develop gender equality policies and action plans to eliminate gender inequalities in the workplace.

The **Catalyst award** was founded in 1987 in the United States, and is one of the most long-lasting examples of CAS. With a growingly intersectional approach, it awards annually three or four innovative organizational approaches for the recruitment and advancement of women.

The **EDGE Certification** assessment methodology was launched at the World Economic Forum in 2011. EDGE is described as the leading business certification standard for gender equality, providing global audits through accredited third-party certification bodies.

The **Minerva Informatics Equality Award** has a quite simple structure, and carries a prize of 5,000 Euros and is to be used for further work promoting gender equality. It applies to members of the Council of Europe and Israel.

GEEIS-Advance, managed by the Endowment Fund Arborus, established in 2010 under the patronage of the European Social and Economic Council, was originally focused on international corporations but is now open to diverse kinds of private groups and organisations. It is reported to be a recognition of best practices and of national certifications already obtained, which it “complements without replacing them”.

The global version of the UK CAS, **Stonewall Global Workplace Equality Index** is very similar to its national counterpart; in this version, only multinationals are assessed, and appear in the Stonewall Index on LGBT+ inclusion’s best practices.

Finally, **X-AEQUO** has a regional approach, as it focuses mostly on Europe. It reportedly certifies compliance with the relevant legislation on equal opportunities for business, can be integrated easily with the ISO 9001 Quality System.

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| | |
|---|---|
| HRS4R Award | 2008 |
| Award | Regional |
| https://euraxess.ec.europa.eu/node/5765/#hrs4r-tabs-tab-2-name | https://euraxess.ec.europa.eu/contact-us |
| Awarding body: | European Commission |
| Target Audience: | Research Organisations |

Overall description:

The HRS4R award, or "HR Excellence in Research" award, is a recognition which the European Commission confers to research institutions in the framework of the Human Resources Strategy for Researchers. In order to achieve it, institutions must, first, officially endorse the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers of the European Commission.

Applicant institutions must then complete the application with three documents: a self-assessment regarding the areas of concern of the Charter and Code (gap-analysis); an Action Plan to fill the gaps; and an OTM-R document which assesses the recruitment policy in detail. If the review of such documents by the Commission is successful, then the applicant will receive the Award and the possibility to use its logo.

After that, the implementation phase (lasting 2 years) of the Action Plan is also reviewed and supported by the Commission through feedback; finally, during the renewal phase (every three years) the Commission assesses the applicants' developments and decides whether the applicant will keep their award or not. As of lately, the process has been digitalised, and the applicants need to sign up to the Euraxess site and manage the administrative aspects of the process online.

Eligibility and requirements:**Eligibility**

All Research Performing organisations are eligible.

Requirements

First of all, creation of a profile on the Euraxess site. A first step consists in submitting an official letter endorsing the Charter & Code and committing to implement the HRS4R. In a second step, the European Commission will check the endorsement letter and send back the confirmation, or rejection, within 10 working days.

Business model:

The registration to Euraxess and the application to the process is free; the applicants have to cover all expenses related to the self-assessment and to the implementation of the action plan. The initial review and the subsequent auditing by third-party experts (peer-review) are on a volunteer basis. The peer reviewers have their costs covered in case of on-site visits (as it is the case for the second review period).

Certification process, assessment, and support:

The Commission provides all the necessary templates to fill out, and they are freely available on the site. They first encourage the applicant to send the letter of endorsement for the Charter and Code; then, once its letter has been accepted, the applicant should download, edit and fill out, and upload on Euraxess the relevant documents for its application (the gap analysis, the OTM-R report, and the Action Plan). The Commission will



review the application and give the possibility to use the logo on the applicant's site and communications. This initial assessment is after 12 months from Application; an interim assessment is then done 24 months after the awarding, with peer-reviewers assessing whether and how the institution has followed its action plan: they also give recommendations, and the applicant does not risk losing the award at this stage. After this assessment stage, the renewal stage is cyclical, with a review every 36 months by peer-reviewers. Every second renewal review is made on site.

There is plenty of support for the applicants: for example, an E-learning module has been developed to instruct the applicants on how to create their profile on Euraxess, how to apply, etc. Award winners also are expected to have an accessible page on their sites in which they publish their steps for HRS4R (I.e. Their Action Plan). As the award winners' sites are listed in the Euraxess site, this works as a sharing of best practices, too. Finally, in case the first phase of the application is unsuccessful, the Commission provides recommendations on how to improve the application, update it, and resubmit it for a new assessment.

Criteria and Indicators used:

The criteria for assessment are directly related to the Charter and Code: in facts, in writing the action plan the applicant must assess its strengths and weaknesses regarding four areas, which are the thematic heading of the Charter and Code. These areas are Ethical and professional aspects Recruitment and selection, Working conditions, and Training and development.

The specific indicators for the assessment are available in [the templates provided to the applicants](#) and to the reviewers, which are public.

Here are the indicators used for the first quality assessment, which "evaluates the level of ambition and the quality of progress intended by the organisation". The following questions are to be answered by the assessor through "Yes", "No", and "Partly":

- Is the organisational information provided sufficient to understand the context in which the HR Strategy is designed?
- Is the Action Plan in line with the Gap Analysis?
- Have a steering committee and working group been involved in the implementation of the HRS4R-process?
- Has the research community been sufficiently involved in the process, with a representation of all levels of a research career?
- Are the relevant management departments sufficiently involved in the process so as to guarantee a solid implementation?
- Have adequate targets and indicators been provided in order to demonstrate when/how an action will be/has been completed?
- Is the organisation establishing an OTM-R policy?
- Are the goals sufficiently ambitious considering the context of the organization?

Gender, diversity, and excellence:

There is no explicit **intersectional approach**: the Charter references to both gender equality and non-discrimination on various grounds, but not to the intersection of multiple axes of discrimination.

Link between GE, D&I, and excellence

In the Charter there is a link between the shortage of researchers, which is a " threat to EU's innovative strength, knowledge capacity and productivity growth " and the need to include more women in research. Non-discrimination, life-work balance, and gender equality are referred to without giving explanations directly linked with excellence. Under the Gender Equality principle, it is stated that gender balance should be achieved " without, however, taking precedence over quality and competence criteria".

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| | |
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| UNDP Gender Equality Seal | 2009 |
| Seal https://www.genderequalityseal.org/programme/ | International GenderSeal@UNDP.org business.genderequality@undp.org |
| Awarding body: | United Nations Development Programme (UNDP) |
| Target Audience: | Business/Others |

Overall description:

UNDP promotes the development of two different types of seals based on transformative partnerships. First, tailored Nationally-owned Certification Programmes developed with governments, after assessing each country's particular context. And second, the Gender Equality Seal for Multinational Companies (GES4MNCs), designed for companies with regional operations and those located in countries without a national certification programme.

In both cases, the Gender Equality Seal (GES) is a voluntary program based on the development of an integrated Gender Equality Management System (GEMS). To implement the GEMS, companies conduct a self-assessment, develop gender-sensitive capacities, adopt a gender equality policy and execute an action plan to eliminate inequalities in the workplace. Once companies implement this set of measures and actions, upon third party verification of the results achieved and the degree of compliance with the standards, a certification or an award is obtained. Consequently, a Gender Equality Seal is awarded as a symbol that recognizes gender equality in the business world.

In alignment with level of achievement of the standards, the company will be recognized with a Bronze Seal, which symbolizes that it is committed to the closure of gaps and the promotion of gender equality; a Silver Seal, which symbolizes that it is effectively implementing actions to close gender gaps; or a Gold Seal when it shows the effective and systematic closure of gender gaps in the organization.

Validity

Unclear. Applicants are expected to take actions to ensure the preservation of their seal.

Eligibility and requirements:**Eligibility**

Business, public administration

Requirements

Formulate a written commitment towards gender equality

Other information

Not stated the number of applicants per year. Only this information: "The GES Community so far consists of fourteen countries from Latin America and the Caribbean (with eleven active programs) and more than 600 companies, with more than 1,900 branches and business units certified, impacting over 1.5 million female and male workers. Since 2016, this initiative has been undergoing a globalization reaching an additional fifteen countries which have adopted or are initiating the creation of the programme in Africa, Asia-Pacific, Eastern Europe and CIS and the Arab States"

Business model:

Funding: not stated. Effort-wise: private sector (with the support of UNDP)

Certification process, assessment, and support:

The 10 steps to earning a GES are:

1. Formulate the company's written commitment to gender equality
2. Establish a gender equality committee
3. Train senior management and staff on gender equality
4. Undertake an internal organizational assessment of the company's policies and practices
5. Develop a company-wide policy and plan of action for gender equality
6. Implement the gender equality plan of action
7. Conduct an external audit or verification process and obtain the certification or the award



8. Achieve the Gender Equality Seal
9. Monitor ongoing progress and audit for quality assurance
10. Take actions to improve the program and maintain the Gender Seal

Criteria and Indicators used:

The aim is to develop a company strategy, where companies commit to:

- Detecting and eliminating gender-based wage gaps
- Increasing women's role in decision-making in leadership positions
- Developing and implementing policies to improve work-life balance with shared social responsibility
- Increasing women's presence in occupational areas that are traditionally male-dominated, and men's presence in female-dominated areas
- Eradicating sexual and sex-based harassment in the workplace
- Using inclusive and non-sexist communication inside and outside the company
- Promoting women in business and cross-cutting gender equality along value chains

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| | |
|---|--|
| Catalyst Awards | 1987 |
| Award | International |
| https://www.catalyst.org/solution/catalyst-award/ | catalystaward@catalyst.org |
| Awarding body: | Catalyst Inc |
| Target Audience: | Business/Others |

Overall description:

Catalyst is a non-profit organization that focuses on improving the conditions for women in the workplace. The aim of the award is to build inclusive cultures; address workplace issues at the intersection of gender, race, and ethnicity; and engage men as champions to help women advance and succeed. The Catalyst Award annually honours innovative organizational approaches with proven, measurable results that address the recruitment, development, and advancement of women in consideration of their dimensions of diversity.

Validity

1 year, [different waiting periods to reapply for different initiatives](#)

Eligibility and requirements:**Eligibility**

Organizations

- that have at least two women on its Board of Directors;
- in which women represent at least 10% of the organization's Band 1 executive leaders;
- in which the initiative started at least three years ago;
- which can provide at least three years of complete data and supporting metrics for the initiative, including for the initiative's start year and current year;
- in which the supporting metrics for the initiative show a positive change for women between the year the initiative started and the current year/to date

Requirements

- Not having applied within two years;
 - Organizations that have won the Catalyst Award may not nominate the same initiative again;
 - Pay a USD \$7,500 nomination fee.
- For more guidelines of eligibility see the Catalyst Award Application (link above).

Other information

3-4 award holders per year

Business model:

The costs related to the award are partly covered by the application fees, and further fundraising is done during the Awarding conference and dinner; the rest is provided by Catalyst, the certification provider, which is registered as a charity and funds its work through donations by "[Supporters](#)" which are mostly corporations, firms, associations, academic institutions, other organizations, and also individuals.

Certification process, assessment, and support:

Self-assessment for the first phase; then "the Committee assesses submissions through research and telephone interviews and selects a small number of initiatives to examine further during intensive, on-site visits. Through interviews and focus groups with executives, senior women, human resources professionals, and other employees, the Committee gauges each initiative's effectiveness and impact. Organizations selected for site visits receive more than 500 hours of review, and may request a meeting to discuss strengths



and opportunities for improvement with Committee members. The Committee and Catalyst executive leadership then determine the winners."

Best practices and case studies are provided (i.e. profile of past winning initiatives); specific guidelines and checklists for self-assessment are freely available; organizations selected for site visits "may request a meeting to discuss strengths and opportunities for improvement with Committee members".

Criteria and Indicators used:

The applications include the following areas of criteria:

- Strategy and Rationale;
- Senior Leadership Activities;
- Accountability and Transparency;
- Communication;
- Employee Engagement;
- Innovation;
- Measurable Results.

See full explanation at the [Catalyst Award Application](#).

Gender, diversity, and excellence:

There is an intersectional approach, through particular attention to diversity and inclusion on various dimensions: "Winning initiatives must show proven, measurable results that benefit women across a range of dimensions, among them race/ethnicity, sexual orientation, gender identity, religion, generation, nationality, disability, and Indigenous or Aboriginal peoples."

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| | |
|---|---|
| EDGE CERTIFICATION | 2011 |
| Certification | International |
| https://edge-cert.org/certifications/ | info@edge-strategy.com / +41 41 530 11 49 |
| Awarding body: | EDGE foundation |
| Target Audience: | Medium to large organizations |

Overall description:

The EDGE assessment methodology was developed by the EDGE Certified Foundation and launched at the World Economic Forum in 2011. EDGE has been designed to help companies not only create an optimal workplace for women and men, but also to benefit from it. EDGE is the leading global assessment methodology and business certification standard for gender equality. It measures where organizations stand in terms of gender balance across their pipeline, pay equity, effectiveness of policies and practices to ensure equitable career flows as well as inclusiveness of their culture. EDGE stands for Economic Dividends for Gender Equality and is distinguished by its rigor and focus on business impact. Edge measures 1. Gender balance at all levels 2. Pay equity 3. The effectiveness of policies and practices to ensure equitable career flows for women and men. 4. An inclusive culture. The EDGE Certified Foundation is the guardian of the Assessment Methodology and the EDGE Standard; accredits, approves and trains the independent Certification Body auditors and Scheme Managers; oversees the quality, consistency and robustness of Certification Body performance; and oversees the use of the EDGE Seals, labels and logos by certified organizations. The EDGE Certification is structured as an independent third-party certification system to ensure impartiality. An approved third-party Certification Body issues EDGE Certificates. These are global audit firms specializing in certification and auditing. The certification bodies are trained and accredited by the EDGE Certified Foundation. Certification firms currently approved to issue EDGE Certificates include INTERTEK, FLOCERT and SGS.

Validity

2 years, renewable

Eligibility and requirements:**Eligibility**

Medium to large organizations

Requirements

The EDGE methodology was designed for medium to large organizations and in order to see the full impact of the analysis, sufficient underlying data is required. Therefore, 200 employees per country of operation is needed for an organization to be eligible for EDGE Certification. On average organizations need spend 5-7 working days effectively to gather the data which is necessary for the analysis.

Business model:

You get certified through:

- online assessment - Edge assessment tool examines three sources of company information.
- Organizations benchmark themselves against the EDGE Standard and peer organizations. The benchmark serves as a basis for an action plan.
- After a successful independent audit by a third party certification body, the organization receives the EDGE Certification Seal – in one of three levels.
- Public display of the EDGE Certification Seals sends a clear message of commitment to the organization's stakeholders. The globally recognized business certification enhances the brand's credibility.
- Implement EDGE action plan and strategic roadmap and stay well-informed of leading practices within the EDGE community.



Certification process, assessment, and support:

After you have chosen your preferred Certification Body, together you will plan the audit schedule, a desktop review will be conducted remotely by the auditor, followed by an on-site visit to verify the inputs and outputs of the tool based on objective evidence supplied by your organization. Subject to the results of the audit, the Certification Body completes an audit report and issues your EDGE Certificate. Including the planning, remote desktop review, the on-site visit, reporting and certification granting, but depending on the complexity of organizations, a Certification Body may quote anything between 4-7 working days. An on-site visit may be a single day or more, again depending on the complexity of the organization EDGE Certified Foundation approves appropriately qualified independent, third party certification bodies to perform audits and certify companies against the EDGE Standard. To become an approved provider of certification services against the EDGE Certification requirements, a certification body must:

- Be accredited by an accreditation body that is either a proven member of the International Accreditation Forum (IAF) or a full ISEAL Alliance member that conducts its accreditation activities in accordance with ISO/IEC/ 17011:2004
- Be accredited to audit and certify management systems under ISO/IEC 17021:2011
- Submit organization charts demonstrating internal structures, divisions and certification decision-making entities
- Provide a list of countries and detailed contact information where EDGE Certification will be offered
- Ensure all auditors meet fundamental auditing competencies criteria in accordance with the provisions of ISO/IEC 17021:2011
- Ensure all auditors who will be conducting EDGE Certification activities attend and successfully complete prescribe EDGE Certified Training.
- Pay all EDGE prescribed approval and training fees
- Appoint a scheme manager to oversee and administer EDGE related activities performed by the certification body and to comply with the EDGE Certification Requirements.
- If not already an EDGE-trained auditor, the scheme manager shall also attend and successfully complete EDGE Certified training.

Certification bodies must apply for approval using the EDGE Certification Body Approval Application Form that is only available on request from the EDGE Certified Foundation. All supporting information must be submitted with the application form and relevant fees must be paid in order to complete the approval process.

After the process is complete, the approved certification body, and EDGE Certified Foundation enter into a signed Agreement of Cooperation, EDGE Certified issues a written approval statement to the certification body, and finally, lists the organisations as approved on the EDGE Certified website.

To ensure the highest quality and consistent outcomes, the EDGE Certified Foundation monitors the performance of approved certification bodies, their auditors and any sub-contractors in relation to their work under the EDGE Certification Scheme. This might involve site visits, shadowing auditors, and verifying or crosschecking of evidence.

Criteria and Indicators used:

On average organizations need spend 5-7 working days effectively to gather the data which is necessary for the analysis. After you have chosen the auditor between FLOCERT, INTERTEK or SGS they verify the self-assessment of the company of the five areas:

- equal pay for equivalent work,
- recruitment and promotion,
- leadership development training and mentoring,
- flexible working
- company culture.

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| Minerva Informatics Equality Award | 2016 |
| Award Award https://www.informatics-europe.org/awards/minerva-informatics-equality-award.html | International Phone +41 44 635 4354; E-mail administration@informatics-europe.org |
| Awarding body: Target Audience: | Informatics Europe Informatics research and education (computer science, computing) RPOs |

Overall description:

The Informatics Europe Minerva Informatics Equality Award recognises best practices in Departments or Faculties of European Universities or Research Institutes and Labs that have been demonstrated to have a positive impact for women. On a three-year cycle, the award focuses each year on a different stage of the career pipeline, i.e. 1) Developing the careers of female faculty, including retention and promotion; 2) Supporting the transition of female PhD and postdoctoral researchers into faculty positions; 3) Encouraging female students to enrol in Computer Science/Informatics programmes and retaining them. The award carries a prize of 5,000 Euros and is to be used for further work promoting gender equality.

Validity

Period of validity not specified. It is not possible to renew it.

Eligibility and requirements:**Eligibility**

Departments, faculties or labs of institutions located in one of the member or candidate member countries of the Council of Europe or Israel. Institutions associated with members of the WIRE Working Group and of the Award committee are not eligible.

Requirements

Entrants may nominate themselves or be nominated. Proposals should be submitted to include:

- Description of the initiative (max 2 pages);
- Evidence of its impact (max 2 pages);
- An optional reference list (which may include URLs of supporting material);
- Optionally, one or two letters of support. The letters of support may come, for example, from female staff members who have benefited from the scheme.

Business model:

Informatics Europe, which presents the Minerva Informatics Equality Award, is a non-profit organisation based in Switzerland. It is funded by a membership scheme that offers a variety of levels, with some activities supported by sponsorship from the private and academic sectors. The award carries a prize of 5,000 Euros.

Certification process, assessment, and support:

The application process asks for a description of gender equality initiatives and evidence of impact - it does not specify how this is presented or what type of supporting data is needed.

The assessment method is a review of the submission by a panel of experts.

Informatics Europe supports WIRE (Women in Informatics Research and Education) to promote actions that help improve gender balance at all stages of the career path in Informatics (Computer Science, Computing). Also, noteworthy runners up from submissions to the award are used as exemplars of best practice in publications.

Criteria and Indicators used:

Unclear.

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| <p>GEEIS-DIVERSITY</p> <p>Certification https://arborus.org/</p> <p>Awarding body:</p> <p>Target Audience:</p> | <p>2017</p> <p>International arborus@arborus.info; +33 643398350</p> <p>Bureau Veritas is an international company specialized in Testing, Inspection and Certification (TIC) services, both as a second- and as a third-party certification body.</p> <p>Business and NGOs</p> |
|--|--|

Overall description:

“The GEEIS (Gender Equality & Diversity European & International Standard) label is a management support tool and contributes to promoting gender equality in the workplace. It certifies the level of resources mobilized by the company to achieve equality at work, as well as the successful deployment of the related human resource policy. Since 2017, the Endowment Fund Arborus (established on 8 April 2010, under the patronage of the European Social and Economic Council) set up a complementary tool, which now substitutes the original one: the GEEIS-DIVERSITY label. It takes into account the issue of diversity and inclusion in the business worldwide, taking into account regional and local specificities regarding these issues. GEEIS allows international companies to harmonize practices between headquarters and subsidiaries. For each applicant, both headquarters and subsidiaries are audited to ensure that policies promoting human resources are in place and that the tools used to support professional equality between women and men are appropriate.”

Validity

The period of validity is of 4 years. After 24 months a mid-term audit is conducted.

Interlinkages with other certification schemes et al.

There is a link with the UN system of Sustainable Development Goals. GEEIS companies (certified by Bureau Veritas) are also promoting activities in line with a combination of relevant SDGs (besides 5-gender equality), that is, 1-no poverty, 2-no hunger, 4-quality education, 8-good jobs and economic growth, can apply to receive the GEEIS Trophy.

Interlinkages with national quality assurance mechanisms

Unclear in practice: “As the GEEIS or GEEIS-DIVERSITY label is a tool for progress and general interest, it recognises the national certifications already obtained and complements them, without replacing them”.

Eligibility and requirements:

Eligibility

Any organisation, public or private, in any sector. Initially addressed to international companies, today GEEIS is applicable to all realities, including those of national/local relevance.

Requirements

1) The assumption of a formal commitment; 2) The implementation of concrete actions on gender equality and diversity issues; 3) The evaluation of the effectiveness of the actions implemented; 4) Commitment to continuous improvement through the development of good practices; 5) Measuring the impact of good practice on their beneficiaries.

Other

information

No. of applicants unavailable. Since 2017, when it was launched, GEEIS-DIVERSITY certified 50 enterprises (35 in Europe, 7 in Africa, 4 in North America, 2 in Asia and 2 in Oceania). Considering that many of them are global businesses and that local branches are included (e.g., L'OREAL, GEODIS, CARREFOUR, RANSTAD) the total number of affected entities is potentially larger.

In 2019, 5 global companies (CAMFIL, L'OREAL, DANONE, ORANGE and SODEXO) have been awarded the GEEIS trophy during a ceremony at the UN Headquarters in New York. A selection panel composed of members of the United Nations and members of the Arborus Fund was appointed to this aim.

Business model:



The certification agency (Bureau Veritas) has an exclusive partnership with the Endowment Fund Arborus to certify compliance to the GEEIS-DIVERSITY standards. Applicants contribute through fees. (To be verified). The main funding mechanism is through private Body sponsorship.

Certification process, assessment, and support:

Very generically described. "To obtain the GEEIS and GEEIS-DIVERSITY, the group must put in place steering, training and communication tools to move towards equal opportunities. The labels are awarded following an on-site audit and a documentary study. The certifying body measures the level of resources implemented and ensures the proper deployment of the HR policy in terms of professional equality at the parent company and in the group's subsidiaries that are concerned by the GEEIS or GEEIS-DIVERSITY. A series of criteria is used to assess the involvement and progress made. Local evaluators, thanks to their specific knowledge of language, culture, legislation, trade union relations, NGO networks etc., ensure high-quality assessment."

The data collected are qualitative and quantitative data (unclear in what form), policy documentation.

It is unclear whether any support is provided for the applicants.

Criteria and Indicators used:

The areas of indicators for the assessment are:

- Presence of a policy on gender equality and diversity issues;
- Initiatives promoted by the company on these topics;
- Methods of evaluating company policies;
- Training and awareness-raising activities carried out by the company;
- Analysis of the distribution of personnel by professional categories and responsibilities;
- Remuneration practices;
- Measures to ensure a work-life balance;
- Promotion of social dialogue on equality and diversity issues.

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Stonewall Global Workplace Equality Index

2011

Award

<https://www.stonewall.org.uk/global-workplace-equality-index>

International

192 St John St, Clerkenwell, London EC1V 4JY

Awarding body:

Target Audience:

Stonewall

Businesses and Other (the index is open to all multinational employers)

Overall description:

The Global Index empowers organisations to navigate the challenges of upholding inclusive values globally and make progress towards LGBT equality, wherever they operate. It provides organisations with a clear and rigorous action plan for their LGBT inclusion work across the globe. Each entrant compiles a submission demonstrating their organisation's performance against a set of best-practice criteria that is accompanied by supporting evidence. The criteria are split across nine different areas of employment policy and practice, examining both global working structures and operational country activity.

Validity

1 year with possibility to renew

Eligibility and requirements:

Eligibility

Open to all multinational employers

Requirements

Completion of an online submission form against a set of best-practice criteria, uploading of evidence by the applicant

Other information

Number of applicants unavailable, 14 of the best global companies identified

Business model:

Stonewall is a charity, supported by fundraising, Charitable Trusts and Foundations and Statutory Grants

Certification process, assessment, and support:

Marking and ranking by the Stonewall team after the completion of an audit.

Feedback on best practice is provided in a shared report; for organisations that are members of a Stonewall Diversity Champion scheme there will be a feedback meeting from an Account Manager.

Criteria and Indicators used:

- policies
- training information
- Staff engagement and networking
- career development
- leadership
- monitoring
- procurement
- community engagement
- global mobility
- additional work by the employer

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X-AEQUO Certification of management systems for equal opportunities 2010

Certification

<http://www.ajaeurope.eu/certificazioni/aja-excellences/x-aequo-management-system-for-equal-opportunities/>

Regional

<http://www.ajaeurope.eu/#contatti>

Awarding body:

Aja Europe

Target Audience:

Businesses

Overall description:

The application of the Management System and the Certification issued allows the Company to give an overview of the situation and level of implementation of Equal Opportunities within the company, build improvement plans, apply them and disseminate them internally and externally for greater efficiency, effectiveness and visibility of what has been achieved. The X-AEQUO standards are claimed to yield high added value, economic and financial benefits, and are described as fully sustainable and easy to implement and integrate with different system documentation.

Validity

3 years with annual surveillance checks, and possibility to renew.

Interlinkages with other certification schemes

It is reported that the X-AEQUO Management System can be integrated easily with the ISO 9001 Quality System. The audits are independent of ISO 9001 certification, but they can be carried out jointly in order to optimise costs.

Interlinkages with national and European quality assurance mechanisms

The certification ensures compliance with the relevant legislation on equal opportunities. In particular: compliance with the European Directive and related national applications on Equal Opportunities of men and women in Public Administration and compliance with the European Directive relating to the principle of equal opportunities and equal treatment of men and women in matters of employment and jobs.

Eligibility and requirements:

Eligibility

Any kind of company.

Requirements

None found online

Business model:

All costs are covered through applicant fees. Some additional services can be requested which are paid for by clients (e.g., training course).

Certification process, assessment, and support:

Certification process. Preliminary check (on request); Certification or Main Audit check (with certificate issue); Surveillance visits to ensure proper maintenance of the system; Renewal of certification (after the period of validity of the certificate issued). At the end of each check, the company receives a clear and complete report that allows the system's performance to be continuously improved. The kind of data collected for assessment is unavailable.

Criteria and Indicators used:

The Management System includes the following main aspects:

- Responsibility of the Directorate for Equal Opportunities – analysis of the needs of the interested parties; policies for equal opportunities; action plans that guarantee equal opportunities; internal and external communication; organisation; management review;
- Resource management – Personnel selection and management based on equal opportunities; employee involvement and empowerment; training; skills and evaluation;
- Product/service implementation – Equal Opportunities integrated into business processes; Supply management value chain;
- Measurement, analysis, and improvement – Measurements and monitoring; cost/benefit assessment with a view to continuous improvement; collecting data and information disaggregated by gender and system of reports; Customer satisfaction; internal audits; non-compliance management; data analysis; corrective and preventive actions.



3. References divided by country sheet

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4. Annexes

4.1. Annex 1 Template for country reports – questions

The following questions were used as guidelines for the drafting of each country sheet. The country sheets were later restructured to ensure readability and were published in the D3.3 report.

Overview of the (country) national framework for HE certification and accreditation

Questions (to be answered clearly and separately - you can use a division in paragraphs):

- What are the mechanisms for the national evaluation of research quality?
- What are the mechanisms for the national evaluation of Higher Education quality and accreditation?
- → Which stakeholders are involved in such processes?
- Do any of these mechanisms consider gender and diversity areas?
- → How?

Overview of Gender in Research/Gender in Higher Education

Questions (to be answered clearly and separately - you can use a division in paragraphs):

- Are there any specific national policies on Gender in Higher Education and/or Scientific Research & Innovation? What are they?
- If yes, how they define/frame the relationship between gender equality and quality/excellence in research and/or in education?
- What problems do they identify as far as gender inequalities are concerned?
- What type of concrete measures and provisions do these policies or practices foresee?
- Do any of those measures and provisions include references to awarding, certification, and accreditation of Research organizations and HEIs?
- Do they have an intersectional approach? Explain how.
- Do national policies and practices create a link between funding programs and Gender Equality? Explain how.

Overview of CAs in [insert name of the country]

- Write a short (100-300 words) paragraph to introduce all the various CAS which you have mapped, especially in relation to the national context. Given the results of your mapping, please explain which are in your opinion the most relevant schemes in the country in relation to success, sustainability, and replicability, and why.



4.2. Annex 2 Analytical template for CAS mapping – questions

The following template was used, in Google Sheets/Excel, by each researcher to report on the mapped CAS. Beside the two coloured columns which indicated the questions, the researchers had to use each separate column to report on a different CAS.

In the version reported below, the white column is used to clarify which options were available where the researchers had a drop-down list to choose from. All questions with the formula “YES/NO” had a drop-down list with the options “Yes”, “No”, and “Unsure”.

The different columns (which related to one specific CAS each) were then collected in a single Excel document, saved side to side, and repasted with a vertical view. It was then possible to apply the basic data analysis (i.e. counting of certain types of responses) which informed this report.

Each column was also reviewed, in its original horizontal view, as a single “CAS sheet”. Each CAS sheet was then restructured to ensure readability and was included in this report.

| Overall description | | |
|--|---|--|
| Name | | |
| Type | Award, Certification | -Award -Certification -Other |
| | If other, specify: | |
| | Business, Research | -Research and Higher Education -Business, Other -Both Research and Higher Education and business, others |
| | If other, specify: | |
| Date of Creation | | |
| Still active | YES/NO | |
| | If not, when did it stop? If info available, why did it stop? | |
| Geographic Scope | | |
| country (remember to only insert data on CA schemes which originated/have their registered office in your country) | | |
| Overall description (max 150 words) | | |
| Website | | |
| First-contact for information | | |



| | | |
|---|---------------------------|--|
| If applicable: insert the reference of available studies and resources (i.e. reports, papers, etc.) with links. The reference and link are enough for this step of the research | | |
| Certification content and basis (what? why?) | | |
| Why: which is the most explicit value or principle on which the certification is based upon? (choose up to 2) | Principle n°1 | -Gender Equality -Diversity&Inclusion -Work/life balance -Excellence in research -Excellence in education -Excellence in management -Other |
| | Principle n°2 | Ibid. |
| | If Other, please specify: | |
| Main source of funding for the certification scheme (specify with the following answer on the business model) | | -Governmental body sponsorship -Private body sponsorship -Certifying institution -Applicants through fees -Mixed Method -Other |
| Business model overview (who inputs resources, both monetary and effort-wise? How are these resources allocated and spent? max 150 words) | | |
| What does it certify? | Choose | -Outputs (i.e. outstanding results) -Processes (i.e. excellent policies and regulations) -Both processes and outputs -Other |
| | If Other, please specify | |
| Different levels/categories (ie. bronze, silver, gold) | YES/NO | |
| | If YES, please specify | |
| Period of validity | | |
| Possibility to renew (Y/N) | | |
| Certification context and authority (by whom?) | | |
| Awarding Body type | Choose | -Public authority -Private body -Other |



| | | |
|---|--|--|
| | Please specify type (Ministry, NGO, international organization, firm, etc.) | |
| | Name of the Awarding body | |
| If regional/international approach: Does it have a centralized (standardized) or decentralized (based on contexts) approach? | | |
| What is the process for <u>internal</u> Quality Assurance of the Certification/Award scheme itself? (i.e. how does the Awarding Institution ensure that the CAs itself is working well? How does it evaluate and ensure the quality of the assessment process?) Indicate the areas of indicators/criteria for internal QA which are available online, if any. | Overall process for internal Quality Assurance available online | |
| | Criteria and Indicators for internal QA available online (if none, write NONE) | |
| | Is this a high/medium priority CAs? | |
| Interlinkages with other certification schemes | YES/NO | |
| | If YES, how? | |
| Interlinkages with national quality assurance mechanisms | YES/NO | |
| | If YES, how? | |
| Interlinkages with Research Funding regulations/processes (i.e. one can only access certain funds if it is certified) | YES/NO | |
| | If YES, how? | |
| Target audience (for whom?) | | |
| Target Audience | Target | -Research and HE -Business/other -Both |
| | Please specify | |



| | | |
|--|---|---|
| If RESEARCH type, are there set disciplinary boundaries? (i.e. just scientific research, just humanities...) | YES/NO | |
| | If YES, please specify | |
| Eligibility (who do you need to be to apply?) | | |
| Requirements (what do you need to do to be eligible for application? Which steps do you need to take for your application to be accepted?) | | |
| Report any data available regarding the n° of applicants per year, ratio of successful applications, n° of award holders, etc. | | |
| Certification process (How?) | | |
| Assessment process description (min 50 max 200 words) | | |
| Is participation for the target group mandatory (i.e. if certifying institution is a Public Authority), incentivized, or voluntary? | | |
| Is the assessment carried out in a single point of time or in multiple points of time? | Choose | -Single point in time -Multiple points in time -Unclear |
| | Please specify (ie. how often, when, if multiple points in time; etc) | |
| Assessment methodology (self-assessment, audit, etc.) | Choose one only if the process is based exclusively on just one method; otherwise, choose mixed and specify | -Self assessment - Review by Certification authority's experts (Audit on site) - Review by third party experts (Audit on site) -Peer review (Audit on site) - Review by Certification authority's experts (without audit on site) - Review by third party experts (without audit on site) -Peer review (without audit on site) -Mixed method -Other |
| | If Mixed or Other, please specify | |



| | | |
|---|--|---|
| Assessment criteria and indicators (list and describe criteria and, if specified, for which step of the assessment are they used: if you were able to find information on the specific indicators used by medium/high priority CAs, <u>please fill in the INDICATORS document</u>) | Assessment criteria (thematic areas in which the applicant is assessed) | |
| Collection of data | what kind of data sources are reviewed? | -Narrative statements -Policies to review -Interviews -Questionnaires -Quantitative reports -Mixed -Other -unclear |
| | If Mixed or Other, please specify | |
| Support to applicants provided (ie. sharing best practices, examples of supporting evidence, advice, feedback for unsuccessful applicants, etc.) | YES/NO | |
| | If YES, how? | |
| Does the CAs adopt an intersectional approach? | YES/NO | |
| | Please justify your response | |
| Link between gender and excellence + EU context | | |
| In the official documentation which you have found, Are national policies or frameworks explicitly referred to? | YES/NO | |
| | If YES, how? | |
| In the official documentation which you have found, Are European policies or frameworks explicitly referred to (ERA; Bologna Process, EHEA)? | YES/NO | |
| | If YES, how? If NO, do they refer to any other international or European policy framework? Which ones? | |
| In the official documentation which you have found, How are excellence and quality in research defined? What dimensions are referred to? | | |
| In the official documentation which you have found, Are quality and excellence directly linked with gender equality/diversity&inclusion/intersectionality? | YES/NO | |
| | If YES, how? With which aspects in particular? Is an explanation given? Which one? | |

Table 4 – Questions for CAS mapping



4.3. Annex 3 Analysis of “identified issues” and codebook

The analysis of identified issues followed the collection of answers from CASPER’s T3.3 national researchers to the group of questions “Overview of Gender in Research/Gender in Higher Education”. Particular relevance was given to the answers to the question “**What are the main identified problems [in the previously discussed policies and measures on gender equality in Higher Education and Research]?**” (see Annex 1).

The answers have been treated as a source for qualitative analysis. They were coded through an **inductive coding methodology** in order to proceed with the quantitative analysis which funnelled in the Figure 3 of the D3.3 Report.

The codes definitions are coherent with the understanding of such issues assumed in the discussion of the results of the CASPER D3.1 report. In most cases, the gender-expert researchers have used the exact phrasing used in the coding, thus simplifying the process, while in other cases there has been an ex-post identification of the relevant code as per the inductive methodology. The definitions are tailored to this project, and must be read as referring to the specific policies and measures reported in the D3.3 report on gender equality in Higher Education and Research. For further explanation of the terminology, it is recommended to use the [EIGE thesaurus](#).

The final codes were defined as follows:

| CODE | Short definition | Example from text ¹⁸⁴ |
|---|--|--|
| access to funding | The need to provide more equal access to funding between men and women researchers was reported | <i>“Attention should be given to gender balance in the ranks of scientists and that the fund strives to ensure gender equality” (Iceland report)</i> |
| (Gender) equality in career/equal opp. | The need to remove obstacles for women’s career, at various levels, was reported | <i>“Adopting policies and strategies to eliminate obstacles for women having academic careers” (Slovenia report)</i> |
| family | The need to provide policies which benefit the work-life balance needs of researchers, <i>with a strong focus on how this would benefit their family and care needs</i> , has been reported. “Sub”code words: childcare, children. Strongly linked with work-life balance. | <i>“The main idea behind the Hungarian policies for gender equality in research and education is “family”, with a stated objective to increase child birth especially in well-educated families” (Hungary report)</i> |
| fight gender-based violence | The need to combat gender-based-violence and harassment was reported | <i>“The National Strategy for Equality and non-Discrimination [...] was adopted. The Strategy focuses on three main domains: [...] 2) prevention and combat of violence against women and domestic violence [...]” (Portugal report)</i> |
| gender balance | The need to promote a balance for women and men in human resources, and their equal participation in all areas of work, was reported | <i>“Achieving gender balance in the research workforce is critical to ensure that outstanding researchers have the opportunity to contribute to Australia’s research and innovation goals” (Australia report)</i> |
| gender balance in decision-making | The need to promote a balance for women and men in decision-making bodies was reported | <i>“The Action Plan has [...] the following measures:[...] support of gender balance in decision making and management of universities, science</i> |

¹⁸⁴ The source texts are not the official documents of the national policies and measures but the “country sheet” reports as written by the gender-expert researchers.



| | | |
|--|---|---|
| | | <i>and research institutions.” (Slovakia report)</i> |
| gender mainstreaming | The need to include a “systematic consideration of the differences between the conditions, situations and needs of women and men in all policies and actions” was reported (EIGE thesaurus) | <i>“The main approach to address gender inequality has been the gender mainstreaming as described above” (Denmark report)</i> |
| gender pay gap | The need to close the gender pay gap was reported. | <i>“The State of Gender Equality and Proposal for Mid-Term Strategic Plan in Gender Equality [...] sums up the actual state and stresses a few problems as vertical and horizontal segregation, gender pay gap” (Czech Republic report)</i> |
| gender perspective in education | The need to include a gender perspective in (higher) education as a transversal issue (and more rarely as specific content i.e. gender studies) was reported | <i>“Cataluña [...] has developed a framework for assessing the inclusion of a gender perspective within university degrees” (Spain report)</i> |
| gender perspective in research | The need to include a gender perspective in research methodology and content was reported. | <i>“Regarding the presence of a gender perspective in the context of research within the projects, the policies state the importance of various actions: [...]” (Italy report)</i> |
| horizontal segregation | The need to overcome the gendered division of students in different study careers was reported (especially related to STEM disciplines). Closely linked with “women in science”. | <i>“There is also an approach to “fixing the knowledge” - Integration of the gender dimension in research and teaching: [...] Reduction of vertical [...] and horizontal segregation” (Austria report)</i> |
| recruitment | The need to address bias in recruitment in research was reported. | <i>“[...] National Strategic Reference Framework (2014-2020) [...] makes mandatory the principles of transparency, non-discrimination and gender equality in recruitment procedures” (Greece report)</i> |
| training | The need to provide specific gender training to leadership, decision-makers, and selection panels was reported. | <i>“The main measures adopted are: balance participation in selection panels and management boards and specific training (e.g. on unconscious bias)” (Belgium report)</i> |
| women in science | The need to include more women in scientific studies and career paths is reported. (closely linked with horizontal segregation). | <i>“Different objectives have been identified and concrete measures foreseen accordingly, among them being: [...] Increasing the participation of women in science and higher education and to improve their status” (Slovenia report)</i> |
| work-life balance | The need to provide solutions for better work-life balance has been reported. | <i>“The Action Plan has [...] the following measures: [...] support universities, science and research institutions in adopting and implementing gender equality strategies including work-life balance” (Slovakia report)</i> |

Table 5 – Codebook for the analysis of identified issues in the national policies and measures on Higher Education and Research



The percentage distribution of the different codes has been calculated, as per the following figure (not present on the D3.3 report).

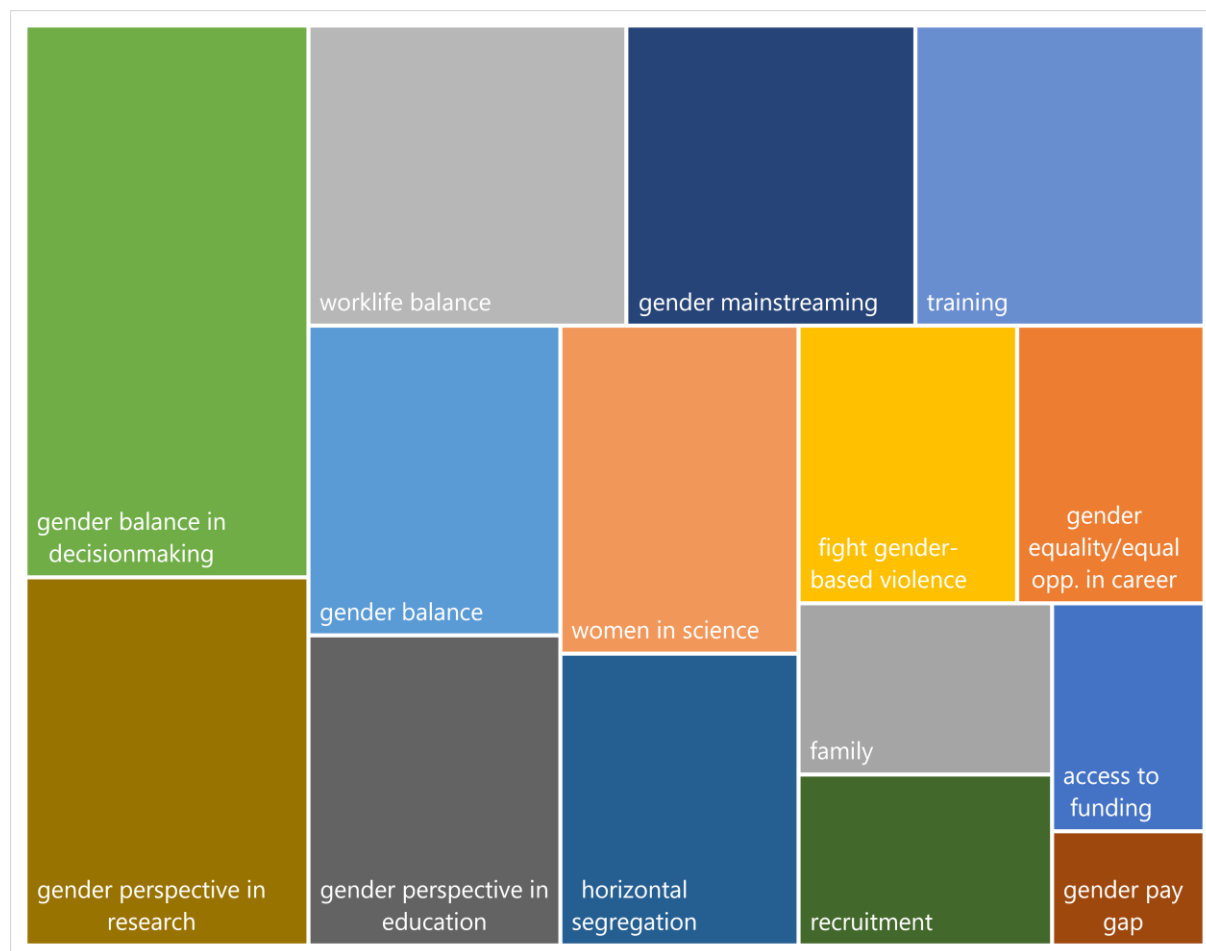


Figure 16 – Identified issues in national policies and measures on Higher Education and Research (codes distribution)

As this figure was possibly too detailed for the scope of the short overview in which it was set, the codes have been grouped in 5 areas, thus leading to the pie chart in Figure 3 of the report.

The areas, or “areas of concern in national policies and measures” were: Supporting work-life balance, Balanced workforce in research/HE, Equal opportunities in careers and leadership, Gender perspective and content in research/HE, fight gender-based violence, Gender training and gender mainstreaming.

It must be noted that grouping the different codes in this specific manner has been a methodological choice of the data analysts based on a semantic categorisation of the listed issues and areas, as informed by the codebook’s definitions. The methodological choice is also further justified in the D3.3 report.

The division in areas was completed as depicted in the following table.

| | | | | | |
|---|-----------|-----------------------------------|-----------|---|-----------|
| family | 5 | horizontal segregation | 8 | gender equality/equal opp. in career | 6 |
| worklife balance | 11 | recruitment | 5 | gender balance in decisionmaking | 18 |
| Supporting work-life balance | 16 | women in science | 9 | gender pay gap | 2 |
| | | gender balance | 9 | access to funding | 4 |
| | | Balanced workforce in research/HE | 31 | Gender equality in careers and leadership | 30 |
| | | | | | |
| gender perspective in education | 9 | fight gender-based violence | 7 | gender mainstreaming | 10 |
| gender perspective in research | 12 | | | training | 10 |
| Gender perspective and content in research/ | 21 | | | Gender-training and gender mainstreaming | 20 |

Table 6 – grouping methodology for the reported issues in areas of concern

The values of each area (in light green) informed the Figure 3 graphic, a pie chart which represents the “weight” of each area in relation to the overall areas of concern.

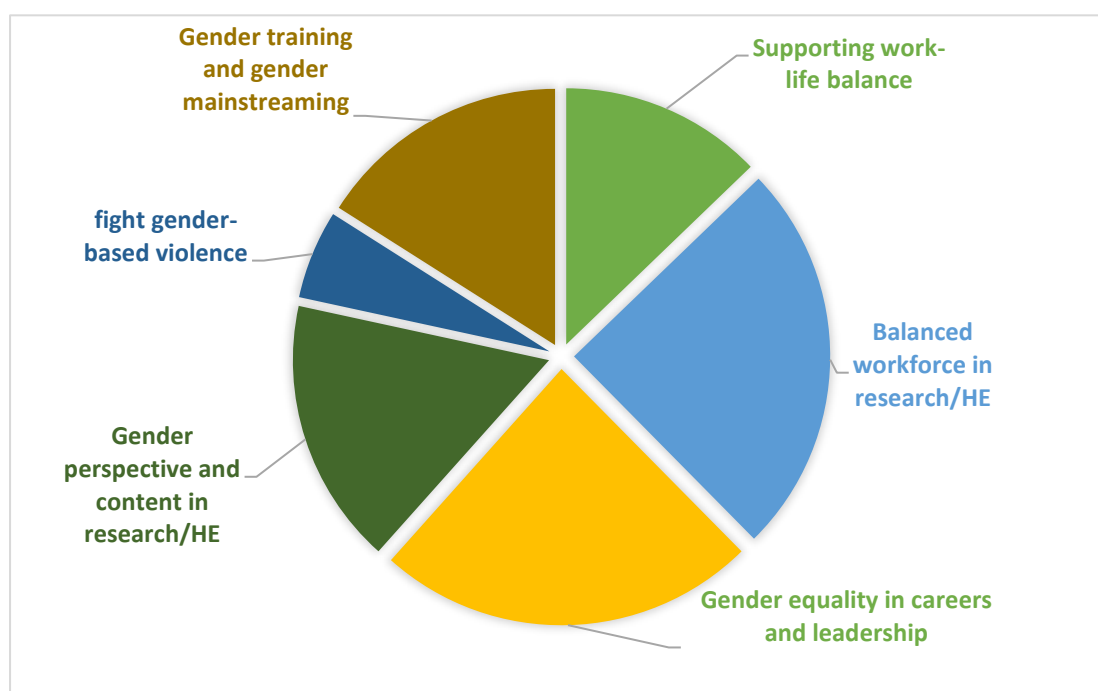


Figure 3 (reposted): identified areas of concern in national policies and measures

4.4. Annex 4 Disaggregated representation of main forms of assessment

In the report, Figure 9 represents the main forms of assessment of the CAS in an aggregated manner. The following figure shows the forms of assessment as they have been collected by the researchers.

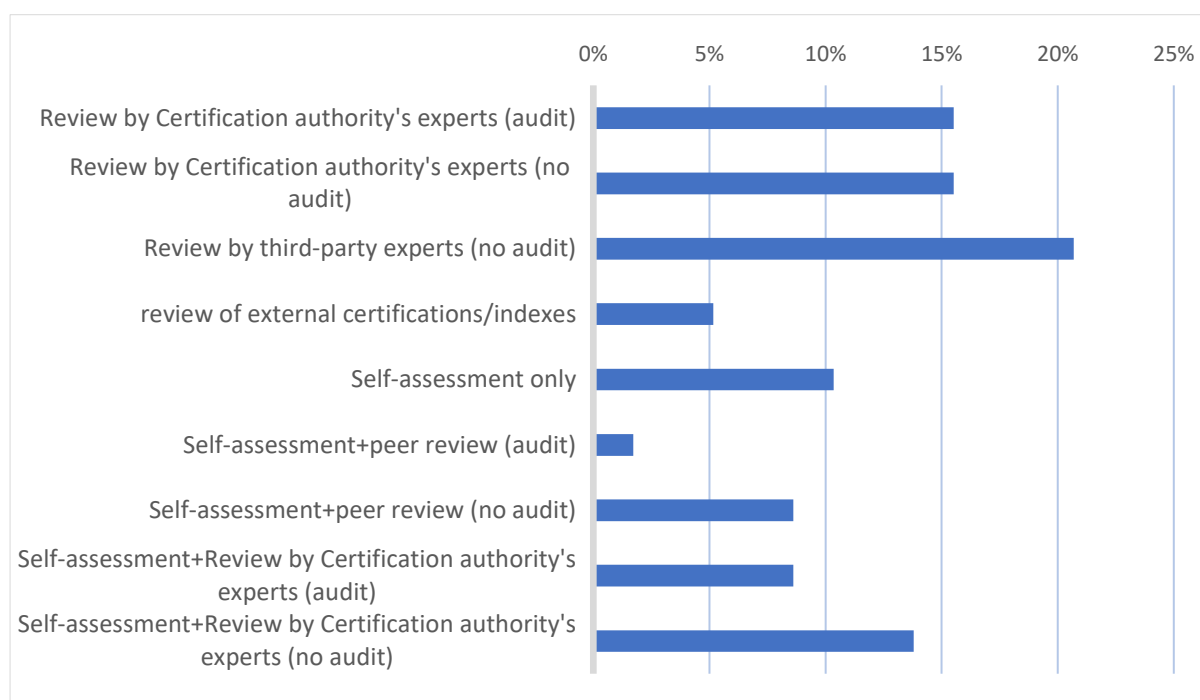


Figure 17 – Main assessment methods (disaggregated; audit=audit on site)

For the discussion of the results, the labels utilised in this figure were grouped in the following way, to highlight which are the main assessors, also including cases in which self-assessment was given a major role:

| | | | |
|--|-------|---|-------|
| Review by Certification authority's experts (audit) | 15,5% | Review by third-party experts (no audit) | 20,7% |
| Review by Certification authority's experts (no audit) | 15,5% | Self-assessment+peer review (audit) | 1,7% |
| Self-assessment+Review by Certification authority's experts (audit) | 8,6% | Self-assessment+peer review (no audit) | 8,6% |
| Self-assessment+Review by Certification authority's experts (no audit) | 13,8% | third-party/peer review | 31% |
| Awarding institution experts review | 53% | | |
| Self-assessment only | 10% | review of external certifications/indexes | 5% |
| only self-assessment | 10% | review of external sources | 5% |

Table 6 – Grouping methodology for the main forms of assessment



The values of each area (in light green) informed the Figure 9 graphic, a pie chart which represents the “weight” of each area in relation to the sum of each form of assessment. This chart highlights which is the main assessor/reviewer, but it also “hides” the role of auditing and of self-assessment (even though the in-text description goes more into detail).



Figure 9 reposted– HEIs and Research main assessment methods

For this reason, figure 10 and figure 11 highlight the presence of self-assessment and on site auditing, respectively.



Figure 10 has been calculated by counting all labels which included “self-assessment” either as a single form of assessment or in combination with another form of assessment, and calculating its percentage over the total.

Figure 10 – Self-assessment role

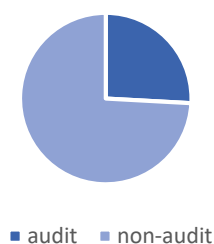


Figure 11 has been calculated by counting all labels which included “audit”, thus calculating its percentage over the total (“only self-assessment” and “review of external certifications/indexes” were counted as “no audit”).

Figure 11 – use of on-site audits