D7.2
Consolidated training needs assessment

Document Data	
Report Title	D7.2 Consolidated training needs assessment
Author(s)	Maxime Forest, Lut Mergaert
Other Contributors	Alain Denis, with partners' contributions
Responsible Project Partner	YW
Due Date	31 August 2019
Delivery Date	31 August 2019
Type	
Dissemination Level	Confidential
Keywords	Gender training ; Capacity building ; Self-Assessment

History			
Author	Date	Reason for Change	Release
Maxime Forest	08.08.2019	V0.1 First draft	
Maxime Forest, Lut Mergaert	09.08.2019	V0.2 Second draft	
Maxime Forest, Lut Mergaert	30.08.2019	Revision by UDeusto	
Lut Mergaert	27.07.2020	Request for change by project officer	

1

GEARING-ROLES project

GEARING-Roles is a four-year (January 2019 – December 2022) Coordination and Support Action project that brings together a pan-European group of academics and industry professionals to collaborate and exchange knowledge, good practices, and lessons learned on designing, implementing, and evaluating 6 Gender Equality Plans (GEPs). The project therefore has a firm objective of challenging and transforming gender roles and identities linked to professional careers and working towards real institutional change. This multidisciplinary, multinational, and multi-sectorial collaboration will be supported by training, mentoring activities, awareness-raising campaigns as well as bi-annual videos and podcasts and annual networking events.

Table of Contents

List of Abbreviations

D	Deliverable
EC	European Commission
EU	European Union
GA	Grant Agreement
GE	Gender Equality
GEP	Gender Equality Plan
WP	Work Package
R&D	Research and Development
RFO	Research Funding Organisation
RPO	Research Performing Organisation
STEM	Science, Technology, Engineering and Mathematics
YW	Yellow Window

1. Introduction

This document is the *Consolidated training needs assessment* (D7.2), compiled by the WP leader Yellow Window (YW). It was supported by the *Checklist and Instructions for gender training needs assessment* (D7.1) presented at the end of April 2019, which was designed to enable each implementing partner to identify at the level of its organization their capabilities in terms of knowledge and skills for carrying out structural change. On the basis of this self-assessment exercise, which aimed at highlighting both available *and* missing capabilities, YW was has assessed the partners' needs in terms of training and capacity-building.

As highlighted in D7.1, the self-assessment that served as a basis for the present report has built upon the reflections carried out under the SUPERA and Gender-SMART projects, under which a similar self-assessment tool has been deployed. GEARING-Roles partners were invited to identify two different groups of change agents: one group defined as "core group of change agents" and comprising in the first place the members of the teams established at each partner institution with the purpose of GEP implementation, and an extended group of allies comprising key persons and/or positions within the organisation that may contribute to define the project's outcomes. The responsibility was left to each partner to determine the composition of this group. Based on the insights gained through its implementation under SUPERA and Gender-SMART, modifications were made to the exercise. One significant change concerned the formal request addressed to the partners to submit a (brief) report about their approach to the self-assessment along with the self-assessment tool itself. Other changes relate to the grouping and formulation of items in the assessment grid.

Implementing partners carried out their self-assessment over the second half of May and the first part of June 2019, submitting the completed tool along with a brief report about the approach followed to perform this exercise. On the basis of submitted documents, YW elaborated the present consolidated needs' assessment, aimed at identifying which capacities need to be built or enhanced, mobilising its experience in supporting Research Performing Organizations (RPOs) and Research Funding Organizations (RFOs) to implement changes for achieving gender equality and integrating a gender perspective in science.

The deliverable consists of a presentation of the scope and purpose of the self-assessment exercise and of the approach that underpinned it (section 2), of a brief presentation of the methodology used for developing the self-assessment tool (section 3) followed by a summary of the process undertaken at each partner institution to fill in the tool, as well as a brief analytical presentation of the result of this exercise per partner institution (section 4). Conclusions are aimed at drawing the way forward to enhance and support capacity-building at the level of each partner and of the consortium, in order to effectively steer institutional change (section 5).

Results are presented under different sections for each partner - and not in an aggregated way, as implementing partners differ from each other as regards their profile (status, size, disciplines covered and type of organisation) and where they stand in terms of capacity for institutional change towards gender equality. Additionally, the criteria on the basis of which the ratings have been decided for each item and notably the degree of self-reflection or "self-critique" may have also differed among the institutions. Another reason supporting this way to present results, was that although it is our primary

purpose to identify common needs in terms of capacity-building, some will necessarily have to be addressed at the level of individual partners through more tailor-made support.

2. Scope and purpose of the self-assessment tool

As stated in the Grant Agreement of GEARING-Roles, under task 7.1, partner institutions are expected to "inventory the resources at their disposal internally in terms of expertise, skills and capacities required for the development and implementation of a GEP within a transformative process. It will include a review of the on-the-job training departments and programmes, where gender training actions should ideally be integrated. Required expertise does not only cover topical knowledge (e.g. on implicit bias, gender sensitive career management, or on the integration of the gender dimension in research disciplines or on fighting sexual harassment) but also a range of soft skills (like facilitation skills, mentoring styles, gender-sensitive communication...)". As foreseen under task 7.1, the checklist and instructions developed under the responsibility of Yellow Window were further elaborated during a workshop gathering experts from different "sister projects" that was conducted online. This resulted in *D7.1 Check list and instructions for gender training needs assessment.*

This document defines 'capabilities' as a combination of knowledge, skills and attitudes (or dispositions). For each of these three categories, required components were identified that together allow to assess whether capabilities are available. In this framework, it is assumed that knowledge - referring to substantive issues, can be acquired, while skills - referring to more technical elements, can be learned. What constitutes an attitude or disposition is yet harder to learn and is rather related to one's personality and experience. Furthermore, it is assumed that capability can be defined and assessed at different proficiency levels, depending on which components (in terms of knowledge, skills and attitudes) are more or less available and developed. The self-assessment tool thus also aims at capturing *proficiency*. It intends to provide a picture of available capacities for conducting change at an early stage of project implementation which can be documented and monitored by regularly updating the data compiled through the self-assessment tool.

Although exhaustive, it was clearly indicated that the list of knowledge items, skills and attitudes included in the self-assessment tool was not meant to be fully covered (or even to a large extent) by partners, either internally within the core group or through other potentially accessible resources and individuals. Instead, it was underlined that the purpose of the self-assessment tool was to support self-reflection on capability needs and to identify people who are important to mobilise due to their expertise or institutional role and can be called upon and mobilised throughout the change process.

3. Methology for implementing the self-assessment

The partners were invited to indicate their *proficiency* level for each of the listed 17 knowledge items, 19 skills and 6 attitudes on a four-level scale: absent, weak, fair, good. The partners were requested to reflect not only about the capabilities of the core teams, but also to take into consideration the 'extended' group of supporters and allies, once identified.

The period for carrying out the self-assessment was May-June 2019, with the following timelines:

- May 6th 2019: *D7.1 Check list and instructions for gender training needs assessment* available
- May 6th – June 15th - Implementation of the self-assessment tool
- June 17th 2019: deadline for submission of completed self-assessment files to YW
- June 18th – August 10th: YW consolidates the partners' self-assessments
- August 31st 2019: deadline for submission of deliverable D7.2

YW provided guidance to implementing partners to ensure the quality and consistency of the results of the self-assessment exercise. In addition to practical aspects such as timelines and instructions for filling in respective items of the tool, methodological recommendations were also provided. Those insisted on the interactive nature of this exercise. Referring both to the core and the extended groups of change agents, and depending on the size of each, the following approaches were recommended:

- The rating to be given to each item can be discussed by the full group, seeking to find consensus on ratings, and working its way down the list until the self-assessment is completed.
- Alternatively, the group can be split in two sub-groups who work in parallel on rating first the series of knowledge items, following which the sub-groups are brought back together to compare their assessments and to agree on a shared assessment / rating (and justification) for each item. Next, two new sub-groups are formed to work on the ratings of the skills, after which these are discussed and agreed upon in the full group, to conclude with the attitudes.
- To save time during the workshop, it can be considered to ask the individual core team members who will participate in the workshop to prepare in advance and to think for themselves how they would rate each item.
- To promote clarity on all items, explanations and some references have been provided in the second sheet of the MS Excel file.

In addition, it was recommended to indicate whether or not each of the items in the capabilities' framework features in the professional development programme of the institution, involving the human resources unit or department. Considering the distinct starting points of respective institutions in terms of gender knowledge and expertise, additional specifications were provided with regard to "gender-sensitive" skills. While it was indicated that it was a real plus if gender-sensitive skills were present in the institution, it was also acknowledged that it was not the purpose of the self-assessment to search only for such skills nor to disregard people (especially in the broader GE change group) who have certain skills but have not applied them yet to gender-related issues.

In addition, Skype calls were scheduled with those partners who confirmed the need for it (all but UDeusto and Oxford Brookes). The main purposes of the online meetings were:

- to go through the main steps of the process,
- to confirm the understanding of the concepts used in the analysis grid,
- to exchange on who to involve in the self-assessment exercise,
- to confirm the feasibility of the timeline,
- to answer any remaining questions.

In general, the inputs provided by Yellow Window were well received and only minor aspects of the self-assessment tool were raised, such as the applicability of some items to the institution. Recommendations were also provided about composing the extended group and organising the

assessment process as a whole. At the University of Ljubljana (UL), more substantial aspects were touched upon, such as the timing for establishing the extended group of change agents or the time constraints of the potential respondents to the self-assessment.

4. Approaches to self-assessment and results

4.1 University of Deusto (UDeusto)

Approach to the self-assessment

UDeusto proceeded in two steps, first developing the assessment among the the core group of the project. Each item was discussed by the full group until consensus was achieved, providing a brief explanation when needed.
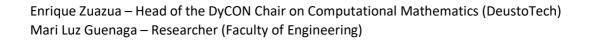
The composition of the **core group**, which comprises 10 women and 4 men, is listed below:

María Silvestre – Scientific Coordinator of the GEARING-Roles Project and Head of the Equality Unit
María López Belloso – Manager of the GEARING-Roles Project
Jon Pizarro – Researcher of RSU - Equality
Lorena Fernández – Head of Digital Identity
María Jesús Pando – Head of the International Relations Office
Toñi Caro – Head of the International Research Project Office
Pilar Rodríguez – Professor and Researcher (Faculty of Social Sciences)
Cristina Gimenez Elorriaga– Fundraising & University-Company Relations (Faculty of Engineering)
David Lamiquiz – Human Resources Management
Dolores Morondo – Researcher (Faculty of Social Sciences)
Borja Sanz – Researcher (Faculty of Engineering)
Ana Vidu – Researcher (Faculty of Law)
Cristina de la Cruz – Head of the Ethic Committee and Researcher (Faculty of Social Sciences)
Leire Gartzia – Researcher (DBS)

The second session of analysis was conducted on 10 June 2019 with the extended group, consisting of 20 women and 7 men, starting with a brief presentation of the assessment tool. The **extended group** proceeded in the same way as described above. Along with the members of the core group, it includes:

Javier Llorente – Manager of the Institute of Human Rights
Lidia Rodriguez – Researcher (Faculty of Theology)
Izaskun Urien – ELA Trade Union representative
Marta Marques – CCOO Trade Union representative
Francisco Javier Ruiz – Rector's Delegate for Identity and Mission and Dean (Faculty of Theology)
Estibaliz Amorrortu – Vice Dean (Faculty of Social Sciences)
Rosa Santibañez – Vice-Rector for Research and Transfer
Luana Ferreira – Researcher (International Research Project Office)
Cecilia Martinez – Head of University Social Responsibility
Felipe Gómez – Vice Dean (Faculty of Law)
Maria José Aranguren – Director (Orkestra – Basque Institute for Competitiveness)

Enrique Zuazua – Head of the DyCON Chair on Computational Mathematics (DeustoTech)
Mari Luz Guenaga – Researcher (Faculty of Engineering)

The last column of the Excel sheet, which captures whether the extent to which the institution's professional development programme covers each of the items, was first completed by the HR department, and later shared for discussion with the extended group.

Assessment results

While UDeusto provided its own analysis of the assessment's results in the comprehensive report handed to YW, we primarily based our consolidated assessment upon our reading of the self-assessment. Nevertheless, the remarks made by the core group at UDeusto were also included when considered relevant.

In terms of knowledge, the core group is well equipped, with 11 out of 17 items being rated as "good" and only three as "weak", namely specific gender knowledge such as gender and decision-making, gender in curricula and teaching or gender bias in recruitment, selection and promotion. As highlighted by UDeusto, this is partly due to the presence of people occupying management positions at different institutional levels and positions related to gender issues, and to the presence of experts on issues such as sexual harassment and gender-based violence or feminist theories. The gender dimension in research also appears to be covered by the presence in the core group of several female Principal Investigators and the participation of several core group members to the Deusto Interdisciplinary Gender Platform, which aims at promoting the integration of the gender perspective to the different research teams. Instead, gender in decision-making and gender in curricula and teaching are marked as "weak" in the absence of any coordinated action in this realm at UDeusto. The core group illustrated this situation with the case of gender being addressed in courses only based on the individual initiatives of lecturers.

The situation is more varied on the side of the extended group, with the proficiency on 7 gender knowledge related items being marked as "weak". This seems to be related to the profile of its members, primarily enrolled for the position they hold in the organisation (vice-rector, vice-deans, heads of departments…), rather than any gender expertise, already well represented in the core group. It is considered that their understanding of the institution, the legal context and the stakeholders is good, as the group includes representatives of governing bodies and people occupying different management positions. Knowledge of the organisational culture and work-life balance is marked as fair among the extended group, although they lack of in-depth knowledge and enforcement of the harassment protocols (which implies this item should be marked as "weak", rather than "fair").

With regard to skills, 16 out of 19 are rated as "good" or "fair" among the core group, underlining its capacity to translate knowledge into practice. In particular, skills linked to data collection and analysis, consultation and communication, as well as project and resources management are all marked as "good", which is also the case for more specific skills related to designing and delivering professional gender training. Less developed skills relate to monitoring and evaluation and dealing with resistances. With respect to the latter, the core group highlighted that resistances are especially strong in certain management units, suggesting that more skills are requested to deal with this situation. Marked as "fair" are skills related to strategic framing, negotiation, coalition building or co-creation, highlighting

the need for capacity development in this area, which is key for effectively steering change. This need is especially pronounced as the institution is reported to have a very hierarchical structurel and some degree of inertia, which requires more skills to trigger participation and co-creation.

For the extended group, the situation is similarly contrasted as for knowledge items, also reflecting the profile of the members of this group. As reported by UDeusto, the group pointed out that its members have relatively limited contact with research fields, this being reflected in qualitative and quantitative research methods, data collection, processing and analysis rated as "fair".

Regarding attitudes, a sharp difference again arises between the core and the extended group: whereas the first rated its proficiency as "good" for all listed entries, the extended group struggled with the exercise, considering that attitudes are a personal issue that can hardly be addressed through a consensus-based exercise as this one. As reported by UDeusto, the extended group nonetheless agreed about highlighting that they score lower in adherence to ethical principles or self-reflection and reflexivity, as the group dedicates very little time to generate a shared reflection and evaluation of the actions in which its members are involved. They also considered their social and interpersonal abilities are rather weak, as some departments (DeustoTech) keep a high degree of interpersonal distance which limits opportunities for socialisation.

Finally, the professional development programme appears to be well developed at Deusto, covering a broad range of issues, from developing capacities on gender diversity in research teams, gender in research content or curricula, sexual harassment and gender-based violence, to enhancing skills for data collection and analysis, project and resource management or aspects related to developing social and interpersonal abilities. It was noted that there is not a development plan for each of the staff categories separately, but a general training provision for all three groups (teachers, researchers and administrative staff) which is not linked to professional ranks. This offers ways to further improve the coverage of key aspects relevant to driving structural change and mainstreaming gender knowledge at Deusto.

4.2 Instituto de Geografia e Ordenamento do Território (IGOT)

Approach to the self-assessment

The *Checklist and instructions for gender training needs assessment* (D7.1) was first discussed among the core group and later sent to the whole GEARING-Roles task force, with a view to collecting the individual self-assessment. Yet, informal discussions among the core group and the extended task force led to organising a workshop devoted to carrying out collectively the self-assessment at IGOT. The workshop took place on 29 May 2019, involving 3 out of 7 core group members and 9 out of 15 members of the extended task force. Hence, although those absent provided due justifications for not participating, it should be highlighted that although collectively executed, the self-assessment involved only about the half of the targeted groups.

Here are the members of IGOT **project's core group**:

Maria Lucinda Fonseca – Scientific Coordinator of the IGOT GEARING-Roles team, member of the Scientific Board and the Faculty Council

Margarida Queirós – Associate Professor; Member of the Faculty Council
Jennifer McGarrigle – Assistant Professor; Member of the Faculty Council; ERASMUS Coordinator
Alina Esteves - Assistant Professor
Helena Esteves - Assistant Professor; Member of the Pedagogical Council; ERASMUS Coordinator
Raquel Xavier Rocha - Research Assistant
Franz Buhr – Post-doctoral Research Assistant

The **extended group** was established with the aim to a) increase the perceived legitimacy of the project at the institutional level, b) facilitate communication and visibility of the project across the institution and c) authorise and promote agreed recommendations, procedures and activities. In addition to the above-listed core group members, it consists of:

Prazeres Marques - Human resources unit
Elisabete Nunes - Academic Services
Susana Siborro - Research Support unit
Paulo Ferreira - Executive Director
Eusébio Reis - Pedagogical Council (president)
Patrícia Abrantes - Ethics Committee
Nuno Costa - Faculty Council
Jorge Malheiros - Scientific Board
Emanuel Marques - Student Union (president)
Ricardo Coscurão - PhD student
Raquel Rocha - Research assistant
Amandine Desille - Post-doctorate researcher
Katielle Silva - PhD Student
José Manuel Simões – IGOT's Dean
Mário Vale - Research Unit (director)

Assessment results

The self-assessment reflects contrasted situations for knowledge, on the one side, and skills and attitudes, on the other. While capabilities in terms of skills and attitudes are assessed very positively, the picture appears to be less favourable for knowledge, respectively 10 and 11 out of 17 entries being marked as "weak" for the core group and the extended group of change agents. Besides, the rest of items is usually assessed as "fair", with only two items being marked as "good" by the members of both groups, namely ethical principles (K12) and legal and policy context (K15). More generally, knowledge about the own institution and the context in which it operates is thought to be fair, while most of gender-specific knowledge items are marked as "weak", with the exception of Gender diversity in research teams and organisations (K4), Gender bias in recruitment, selection and promotion (K7) and gender-sensitive data collection (K11).

The situation is largely different for skills, respectively 17 and 16 out of a total of 19 items being reported as "good" or "fair" by the two groups of change agents. Only dealing with resistances (S14) and delivering professional training (S18), two specialised skills are (logically) reported as "weak". Instead, skills related to data collection and analysis, project management, implementing ethical

principles and to a lesser extent those related to facilitating the process of change, are believed to be largely available.

Whereas self-assessments from the two groups are broadly aligned for knowledge and skills, some more divergence is reported for attitudes, although the proficieny for 5 out of 6 items is reported either as "good" or "fair", but with a stronger profile for core group members.

However, it should be highlighted: a) that the self-assessment exercise mobilised only about half of all members of the extended task force, which has certainly influenced the result as participants primarily relied upon the inputs of individual respondents and b) that additional comments are not always fully consistent with the rating.

The professional development programme of IGOT does not appear to cover any of the items listed for knowledge, skills and attitudes in the self-assessment tool.

4.3 Faculty of Arts, University of Ljubljana (UL)

Approach to the self-assessment

Several reservations and limitations were expressed in relation to the self-assessment exercise at UL, which were communicated to YW during the Skype meeting held on the 21 May 2019. First, the self-assessment was limited to the core group members and more specifically to people on the payroll of the project, as the extended group of change agents had not been established by that time. This was considered to come too soon in the project. Second, it was agreed to leave blank column H as the Faculty of Arts has not yet developed a professional development programme nor an on-the-job training scheme.

At a first stage, the core group, consisting of four researchers, carried out the analysis. It identified most items as "good" or "fair", and only a few were assessed as "weak". Subsequently, the core group members discussed their own assessment with the Dean of the Faculty of Arts and the Associate Dean for Doctoral Studies and Research, who both largely agreed.

Assessment results

Concerning knowledge, the proficiency of the core group was assessed as "fair" or "good" for 15 out of 17 items. Only gender-sensitive data collection was marked as "weak", while proficiency with SMART and SPICED indicators was not answered. Items for which proficiency was marked as "fair" include those in relation to GEP implementation and theories about organisational change, as well as ethical principles and a few gender-specific knowledge items (gender-sensitive communication, gender bias in recruitment, promotion and selection or gender and diversity in research teams). The core group thus appears to be well endowed in terms of knowledge about the institution, the context in which it operates as well as in terms of gender knowledge.

As regards skills, 15 out of 19 were rated either as "good" or "fair". Items for which the proficiency of the core group was rated as "weak" relate to quantitative research skills, data collection and analysis, as well as designing and delivering professional gender training. This is to be linked to the difficulties

reflected by the project team at UL during the audit process, as little capacities were available for data collection. Although marked as "fair", the specific skill to deal with resistance appear to be largely missing, as reflected in the comment attached to this box of the self-assessment tool. As this is consistent with the request expressed to learn more about the attitude not to take resistances personally, this highlights a need that might be crucial for the core group to steer change. Indeed, during the Skype held for the purpose of supporting the implementation of the self-assessment, the core group members referred to several resistances they either encountered or anticipated in relation to the agenda of the project.

Beyond dealing with resistances, another crucial need in terms of capacity-building can be inferred, although not matching with the self-assessment results. On the one hand, all items in relation to the facilitation of the change process are marked as "good", based on the (unspecified) experience of core group members from previous projects and their experience of working with bodies at various Slovenian Ministries and Institutes. On the other hand, unlike other GEARING-Roles partners, UL had not yet identified its extended group of change agents, and exchanges held over Skype during the self-assessment phase reflected serious concerns about the possibility to engage individuals with the gender equality agenda of the project, either due to personal resistances (gender equality not being relevant) or to their current workload. Hence, further enhancing skills about strategic framing, negotiation, coalition-building or participatory techniques might reveal useful to overcome such difficulties and broaden the circle of stakeholders involved. To some extent, a similar remark may apply to further enhancing attitudes and dispositions relevant to steering institutional change, such as enthusing people, although all being rated as "good" by the core group members.

4.4 Sabanci University (SU)

Approach to the self-assessment

As reported by SU, in order to conduct the self-assessment, core group members initially filled in the self-assessment sheet individually and later came together and discussed each criterion, sharing the reasons behind their own ratings.

At Sabanci University, the core group is composed of three people: Ayşe Gül Altınay, Professor of Cultural Anthropology, Zeynep Gülru Göker, Researcher in Political Science and İlayda Ece Ova, Project Officer. The identification of the extended group members with various backgrounds and seniority levels was based on the experience of core group members in working with different academic and administrative staff. Members of the extended group plan to work in five different groups, respectively devoted to: 1) Human Resources Management; 2) Research and Innovation; 3) Curriculum and Teaching; 4) Everyday Interactions and 5) Support Mechanisms and STEM & Gender.

It is worth underlining that unlike for other partners, the assessment of the capabilities of the extended group was performed by core group members, based on their knowledge and experience of those people assigned to the extended group, and the discussions on gender and education that took place during the project launch event. As such, the assessment of the capabilities of the extended group of change agents at SU should be considered an estimate and could possibly be refined by further discussing this assessment with its members.

Assessment results

Based on this self-assessment (for core group members) and estimate (for extended group members), it appears that the first is significantly more endowed with capabilities, especially in terms of skills. Another generic comment is that the extended group does not appear to bring any additional or complementary knowledge or skills to the core group (except on institutional specifics). This does not mean that this extended group is not in the capacity to power structural change due to its very composition that was not further detailed in the brief report handed to YW.

In terms of knowledge proficiency, 8 out of 17 items are marked as "good" and only two as "weak" (about SMART and SPICED indicators, and theories of organisational change) for the core group. A situation that sharply contrasts with the one of the extended group, for which a majority of items are scored as "weak", while only three are marked as "good": knowledge about institutional specifics and the wider stakeholders' and policy context. Gender knowledge appears to be largely available to the core team, including on tackling gender-based violence and sexual harassment, or about gender and feminist theories.

Regarding skills, the core group self-assessed its own proficiency as "good" for 9 out of 19 items and "weak" only for two of them, namely operationalizing monitoring and evaluation criteria, and quantitative research methods, which are not fully compensated from the side of the extended group. Strong capabilities are notably reported for qualitative research methods, co-creation techniques, project management or designing and delivering professional gender training.

Interestingly, all items referring to attitudes are rated as "good" for both groups' members. This might either be due to an incomplete grasp of what those less quantifiable entries entail or to the fact that these aspects are covered by the professional development programme of SU, thus building internal capacities. At the same time, most of the items related to knowledge and skills (except skills on ethics, project and resource management) are left uncovered by this professional development programme, which points to possibilities for enhancing and further embedding in-house capacities.

4.5 Oxford Brookes University (OBU)

Approach to the self-assessment

At OBU, a three steps process was followed to complete the self-assessment exercise: the tool was first examined and filled in internally in the core group, by Laure Humbert, Reader and Director of the Centre for Diversity Policy Research and Practice, and Kate Clayton-Hathway, Research Fellow at the Centre for Diversity Policy Research and Practice on 8 May 2019. This first version was then shared and discussed with other members of the GEARING-Role task force (Simonetta Manfredi, Professor and Assistant Dean for Research and Knowledge Exchange at Oxford Brookes Business School; and Jane Butcher, Equality Diversity and Inclusion Officer, HR Department). Initial ratings were generally agreed upon, although some minor adjustments were made in relation to the broader group. At a third stage, the ratings were shared and discussed with Mary Kitchener, in her capacity of Educational Developer and Senior Lecturer within the Oxford Centre for Staff and Learning Development. Only one

minor adjustment was made following this, relating to professional development programmes at Oxford Brookes University. The final self-assessment, which relied upon a large consent, was completed on 11 June 2019.

Hence, the self-assessment does not appear to have mobilised the full task force, athough reflecting different perspective and capacities, nor has it been carried out in a fully collaborative way, but through two successive iterations.

Assessment results

A first remark is that the core group is reported to be significantly more proficient than the extended one, meaning that on a daily basis GEARING-Roles can rely upon a robust body of knowledge and skills at OBU. Another general observation is that the situation somewhat differs for knowledge and attitudes, all but one being marked either as "good" or "fair" by both groups, and skills, of which a larger proportion is scored as "fair" or even "weak". This might reflect a task force which, although granted with a vast body of (gender) knowledge and proactive attitudes towards structural change, is not yet fully in the capacity to translate these into practice.

Still, the self-assessment shows a core group well versed in gender and feminist knowledge, ethical principles and the broader context in which OBU operates as a research institution. Only a few more specific items are marked as "fair", such as GEP implementation, the gender dimension in research, gender-sensitive communication or gender in curricula and teaching, for which room for improvement exists. This knowledge is complemented by the extended group which has a good command of OBU's institutional specifics.

Regarding skills, those in relation to (sex-disaggregated) data and analysis, project management, applying ethical requirements or designing and delivering professional gender training are virtually all marked as "good" among the core group and usually feature as "fair" among the extended group. Instead, proficiency in operationalising monitoring and evaluation criteria and dealing with resistances is marked as "weak" for both groups.

The record for attitudes is similar for both group, those being considered largely available, with the exception of the ability not to take resistance on a personal level, which thus deserves attention along with dealing with resistances at amore aggregated level.

Quantitative and qualitative research methods, addressing gender bias in recruitment, promotion and selection, as well as project and resources management appear to be covered by the professional development training programme of OBU, although ample room still exists for enhancing in-house capacities.

4.6 Estonian Research Council (ETAg)

Approach to the self-assessment

At ETAg, two meetings were organised in order to: 1) Assess the capabilities listed in the tool with the core group and decide about the composition of the extended group; 2) Introduce the extended group to the background and value of the project and of the assessment, and both groups to work jointly on the capabilities assessment.

The core group meeting for assessing its own capabilities and deciding on the composition of the extended group took place on 20 May 2019. The whole group meeting (in which the members of the core-group and extended group of change agents participated) took place on 28 May. In between, the members of the extended group had been sent the materials and introductory overview of the purpose of the self-assessment. They were also encouraged to ask further questions to the core group about the upcoming assessment. During the meeting on 28 May, the role of the extended group was thoroughly discussed and the self-assessment spreadsheet was completed with the members of the extended group of change agents.

Both groups are brought together in the GEARING-Roles task force.

The core group consists of:
- Kadri Raudvere, R&D Analyst, Department of R&D Analysis
- Maarja Sillaste, Head of Department, Department of R&D Analysis
- Karin Jaanson, Executive Director

The extended group also includes:
- Leelo Muru, Human Resources Officer
- Krista Tamm, Communications Officer
- Helen Biin, TeaMe+ Programme Manager, Department of Science and Communication (has an MA degree in Gender Studies from Central European University (Budapest, supervisor Milica G. Antic – UL colleague at GEARING-Roles project) and is a PhD student at the University of Tartu with focus on Gender Studies)
- Priit Tamm, Manager of Research Infrastructures, Department of Research Funding
- Katrin Kello, Senior Adviser, Department of International Research Cooperation (also contact point for the ERA-Net Gender-Net_Plus project at the Estonian Research Council)

It was reported that all people nominated to the extended group expressed a positive attitude towards the project and being involved into the group. Despite the preparatory work led by the core group, some items received different interpretations, often context-based, that were carefully reported or clarified in the comments column of the self-assessment tool so as to support the consolidated assessment. It is worth underlining that the self-assessment tool was thoroughly filled in by ETAg, providing useful contextual elements for the present consolidated assessment by YW.

Assessment results

The self-assessment exercise carried out at ETAg reflects two groups of change agents endowed with some relevant capacities to drive structural change for gender equality. Respectively 11 and 10 out of 17 knowledge items are marked either as "good" or "fair" by the two groups. If taking into account the comments provided to support the assessment of K13 (SMART and SPICED Targets/Indicators) for core group members, it appears that this knowledge component should be rather assessed as weak, thus fully aligning both groups in terms of available knowledge. This somewhat contradicts the statement held in the brief report submitted by ETAg along with their self-assessment, which indicated that altogether, "the capabilities of the members of the extended group were assessed more positively than those of the core group members, who are responsible for the project on an every-day basis". A statement which is not supported either by the assessment of capabilities in terms of skills and attitudes, both largely similar for both groups, with minor variations.

The members of both groups are especially endowed with knowledge about their own organisation (K1) and the context in which it operates (K14/K15), as well as gender-specific knowledge on aspects such as gender and decision-making, gender and diversity in research teams, gender in research contents and to a lesser extent about gender-sensitive communication or data collection. Logically, knowledge regarding GEP implementation is marked as weak provided that ETAg had no GEP in place and that only one Estonian RPO has developed a GEP so far. Other gender knowledge items for which proficiency is marked as weak include gender bias in recruitment and promotion, and gender and feminist theories. Knowledge about gender in curricula is not applicable to ETAg, while no specific knowledge has been built so far on sexual harassment which although considered an important issue, is reported not to have been dealt with to date at ETAg. Instead, knowledge proficieny in relation to work-life balance and organisational culture, and theories of organisational change, is marked as fair.

With regard to skills, 17 out of 19 items are reported as "good" or "fair", thus highlighting that both groups are relatively prepared for conducting structural changes. Skills related to data collection and analysis or evaluation are all marked as "good" by both groups, whereas those related to facilitation are marked as "fair". Only skills related to designing and implementing gender training are assessed either as weak or absent by respective groups. Since the knowledge item in relation to ethics (K12) is reported as weak, it appears quite counter-intuitive that the proficiency level indicated for the skill to apply ethical requirements is reported as "good".

All attitudes referred to in the tool are assessed as "good" by both groups, which could possibly reflect a relative lack of self-reflection to that respect and/or a lower degree of understanding of what each item entails. No additional comment was put for attitudes, thus making it difficult to further assess to which degree those are available at ETAg.

Regarding the coverage of the different capability components by the professional development programme of ETAg, none but the knowledge about its institutional specifics appear to be currently covered, thus leaving an ample room for building in-house capacities on gender and organisational change.

5. Conclusions and ways forward

5.1 General conclusions

Rather than being submitted to pre-established, consolidated groups of change agents, the self-assessment served as an opportunity to identify resource persons (beyond project team members) or further consolidate such groups, in the perspective of formally setting them up. Project teams have been in charge of this preliminary stage, which reflects in the fact that at most partner institutions, the self-assessment tool was first tentatively completed by project team members, before being shared either via e-mail or during a dedicated working session with the additional members of the core and extended groups of change agents. This was the case at ETAg, where two meetings were held for each group to complete the self-assessment, but also at IGOT, after a first attempt to let the members of the extended group complete the self-assessment individually via e-mail. At OBU and UDeusto, a third step was added, consisting in consulting HR or on-the-job training departments about the coverage of the different capability components by the professional development programme of the organisation. SU and UL had yet different approaches to the exercise: while at SU, the self-assessment was fully completed by the core group members based on an estimate of the capabilities of the extended group members, at UL it was completed only for core group members, in the absence of an extended group of change agents.

This first step helped triggering self-reflection not only about the knowledge, skills and attitudes available among the core group, but also about each institution, how it actually works, what are the key (decision-making or facilitating) functions and where are the main capabilities located in terms of knowledge and skills. The second step revealed useful to further introduce the project to the extended group, identify their own capabilities and appreciate their degree of commitment with the project's objectives. At ETAg and UDeusto, all members of the extended groups were mobilised and exchanges appear to have been relatively thorough. At IGOT and OBU, not all members of the extended task forces could participate, conflicts of agenda being mentioned for IGOT, while at SU and UL, no member of the extended group (not yet in place at UL) wase mobilised. A lower or absence of involvement of the extended group may have affected the quality of the self-assessment results, which should therefore be considered an estimate to be fine-tuned later in the project.

All partners opted for constituting their extended groups with representatives of key departments (such as HR, research or communication) and different levels of decision-making (including vice-rectors or deans). As a consequence, extended groups are generally less endowed in terms of capabilities for change, especially for gender-specific skills or knowledge, but also more practically for driving institutional change. On the other hand, their high-level composition shall provide the project and the future GEPs with increased legitimacy and capacity to embed planned actions into daily practices and to widely communicate about them.

Another crucial feature is the fact that most core groups report a high level of proficiency with respect to the internal specifics of their institution and to the surrounding legal and policy contexts. This is important to effectively identify problems as well as opportunities for change and for institutionalising measures aimed at enhancing gender equality. It will be necessary to mobilise this knowledge to the greatest possible extent so as to provide timely and tailored interventions through the GEPs. The self-

assessment further evidences that partner institutions are to some extent familiar with organisational change and that both knowledge and skills in that field are available that can be usefully mobilised to support structural change for gender equality.

In terms of available knowledge, the results of the self-assessment are relatively varied: four partners (OBU, SU, UDeusto and UL) positively assessed their proficiency in many of the knowledge items listed in the tool, thus evidencing a greater readiness for developing and implementing a GEP, while two (IGOT and ETAg) showed lower confidence, with a majority of items listed as weak for the former and about the half rated as absent or weak for ETAg. This also reflects in the capabilities directly related to gender issues. Those are widely available to four of the six partners, highlighting a relatively high level of gender expertise in the consortium. Yet, they are more unevenly distributed across thematic issues, with more limited knowledge about gender in curricula, gender in research content, gender-sensitive communication and sexual harassment or, to a lesser extent, gender bias in recruitment and promotion or gender in decision-making. More importantly, knowledge components required for the project are much less present at two partners: ETAg and IGOT.

In terms of skills, most of those listed in the tool are thought to be widely available at all partners. This contrasts sharply with the lower proficiency reflected for knowledge items at ETAg and IGOT, thus implying that *practical* knowledge can be nonetheless mobilised. It is worth mentioning that negotiation skills and those skills aiming at strategic framing are reported to be widely present, which should help to steer structural change. Skills related to data collection and analysis are also relatively common among respective core groups, with the exception of UL and SU. Yet, those related to evaluation and monitoring, co-creation techniques or delivering gender training are largely missing or underdeveloped and most core groups reported little proficiency with dealing with resistances.

In terms of attitudes and dispositions for carrying out a transformative GEP, those are thought to be widely available within core and extended groups. Such dispositions as enthusing people, self-reflection and reflexivity or pro-active thinking will certainly be of great help to generate engagement with the project's objectives, adapt to constraints and opportunities and anticipate risks. Ensuring that these more individual dispositions are mobilised efficiently and in a sustainable way will thus be important. Nevertheless, the high degree of confidence displayed by the respective teams may also imply, as pointed out at UDeusto, that such attitudes are more difficult to (self-)assess or define.

Finally, the coverage of the different components of the capabilities' framework by the professional development programmes appears to be relatively limited. While no such programme exists at the level of the Faculty of Arts of UL, most programmes are limited to building capacities for project management, quantitative data collection and processing and, more occasionally, developing interpersonal skills. Only UDeusto seems to have a more comprehensive professional development programme, also covering gender knowledge.

5.2 Identified needs at consortium level

Based on the self assessments, **some needs clearly apply to the consortium as a whole:**

First, although to different degrees, all partners require support to **deal with individual and organisational resistances**, both as part of the process of change itself and at a more personal level. This is especially important for those institutions where a strongly hierarchical structure and a certain degree of inertia are reported but also for those teams which already experienced resistances while working on their audits.

Second, several partners reflected lower proficiency with **monitoring and evaluation**, expressing less confidence with defining and implementing monitoring and evaluation criteria or exerting evaluative thinking. This could also be addressed at consortium level, so as to emphasise that monitoring and evaluation instruments can be devised at each step of setting up and implementing a GEP and this, from its very design and that properly monitored and evaluated actions are more likely to deliver expected outputs. This need is to be tackled by, or in close consultation with, the responsible consortium partner Radboud University of Nijmegen.
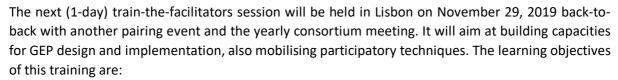
Third, **building internal capacities for gender training** also appears to be relevant to most partners, which can possibly take the form of a specific train-the-trainers session at consortium level, as one of the train-the-facilitators sessions foreseen in task 7.2. It remains, though, that most capacities in this realm should be built within the framework of in-house on-the-job training schemes and paying attention to domestic (institutional, legal and policy) contexts in order to be sustainable.

Last but not least, although less salient in the self-assessments due to their lack of experience in implementing a Gender Equality Plan, all partners require some degree of support to build capacities **for driving change through participatory processes and methods**.

Along with the operationalisation of the helpdesk, training and capacity-building activities carried out by YW already consisted in a 2-day joint training session for change agents, addressed to core team members and held back-to-back with the institutional pairing event at Oxford Brookes University on June 19-20, 2019. This generic train-the-facilitator session was aimed at providing a first introduction to the GEP process, focusing on gender analysis and GEP design, in combination with the use of participatory techniques. The learning objectives of this training were the following:

- Inform participants about the concept of institutional change and what it covers
- Sensitize on the importance of institutional structures, procedures and processes for promoting gender equality in research and higher education
- Familiarize with the process of developing, implementing, monitoring and evaluating a Gender Equality Plan
- Familiarise with participative and design techniques
- Build and strengthen facilitation skills
- Inspire about possible actions that can be undertaken in different topical areas
- Indicate key success factors and guiding principles for implementing institutional change
- Indicate ways on how to overcome obstacles
- Equip participants to take up an active role as change agent

The next (1-day) train-the-facilitators session will be held in Lisbon on November 29, 2019 back-to-back with another pairing event and the yearly consortium meeting. It will aim at building capacities for GEP design and implementation, also mobilising participatory techniques. The learning objectives of this training are:

- Exchange on the experience with Gearing-Roles' Participatory Gender Audits
- Sensitize on the importance of institutional strcutures, procedures and processes for promoting gender equality in research and higher education
- Empower participants to use strategic framing to obtain managment support for the GEP
- Build confidence for using participative and co-creation techniques
- Build and strengthen facilitation skills

A third session will be held at UL on June 18-19, 2020, which shall address one or several of the three first priorities listed above. Adressing organisational and individual resistances (including unconscious bias), as those will be likely to arise over early GEP implementation, might be required, for which further enhancing the core team members' capacities to use participatory and co-creation techniques would also be useful. As four thematic training sessions have been foreseen, a fourth could be devoted either to a training-of-trainers or to monitoring and evaluation of the change process, then to be coordinated with WP9 leader, Radboud University. In the latter case, this session should in particular be articulated with task 9.3 (Assessment and reporting of GEP design and impact), foreseen to be a participatory process.

In all cases, the scope of the two training sessions to be implemented in 2020/2021 will be further agreed with the coordinator and respective partners, to ensure the best use of available resources and the greatest possible impact on GEP development and implementation processes.

Complementing the operationalisation of the helpdesk and the four thematic train-the-facilitators sessions, webinars will also be held in order to address above-listed priorities. Webinars will for instance provide more specific guidance for partners confronted with resistances to change, familiarise them with the use of SMART & SPICED indicators, or further address experiences and practices identified as part of the institutional pairing process.

5.3 Identified needs at partner level

Other needs appear to be more **partner-specific**:

ETAg being an RFO, its core team appears to struggle a bit to define which aspects of the project are applicable to the organisation, and in which sense. This could be supported by enhancing capabilities to deal with gender bias in recruitment, selection and promotion (wich also applies to selecting and funding research projects), in relation to implementing ethical principles, which also require to be enhanced.

At **IGOT**, most knowledge items related to gender (in decision-making, research content, curricula), work-life balance and fighting sexual harassment and gender-based violence are rated as "weak", thus potentially requiring capacity-building on every aspect. From additional comments provided by this partner and as suggested by its fairly good self-assessment in terms of skills and attitudes, it should be however considered that the assessment by IGOT of the available knowledge, was possibly

excessively self-critical. For these reasons, priorities should thus be set up on the basis of the audit and the training programme to embrace as many related issues as possible.

As it stands from its self-assessment, **OBU** does not seem to require specific support at this stage (beyond capacities to be enhanced at consortium level), although further enhancing facilitation skills (notably co-creation and participatory techniques) might reveal useful.

Well endowed in terms of knowledge and skills, **UDeusto** also requires limited specific support. Yet, YW could offer support (in the form of training and/or referencing existing resources) to build capacities in dealing with the gender dimension in decision-making and in research contents.

As it stands from the self-assessment, the needs of **SU** are likely to be primarily covered by capacity-building activities to be offered at consortium level, notably to support monitoring and evaluation.

Regarding **UL**, although proficiency with change facilitation skills was rated as "good", some, such as negotiation skills, strategic framing or participatory techniques, could deserve to be further enhanced so as to ensure that stakeholders are involved and that the gender equality agenda of GEARING-Roles features high on the agenda of the faculty and the university as a whole. Additionnally, both internal and external resources should be pursued, to enhance capacities for sex-disaggregated data collection and analysis, and to make these sustainable.

These additional topics will be discussed with partners based on their respective assessments and those will be encouraged, also via the helpdesk, to complement the resources provided by YW with both intra-institutional and external capacity-building support, as well as to pursue institutionalisation, notably via their respective professional development programmes where those exist. Once released, the present deliverable will be discussed both at the level of the consortium and at partner level, in order to agree on further priorities and timing.

Annex 1. Capabilities framework

Below is the list of required capabilities, whereby 'capability' is understood as a composition of knowledge, skills and attitudes. Next are the lists of knowledge items, skills and attitudes. Clarifications of the concepts are provided in the second sheet of the MS Excel file.

Required capabilities

Stages in the change / GEP cycle:	Required capabilities:
(Throughout the cycle)	Mobilising actors & stakeholders
	Dealing with resistances
	Creating ownership
Institutional gender audit / assessment	Diagnostic capacity (of institutional needs & challenges - also beyond gender)
	Action research
Planning for institutional change for gender equality	Setting priorities
	Identifying adequate actions / initiatives
	Identifying and accessing resources (people, money, time, expertise)
	Setting SMART and SPICED targets
Implementing sustainable institutional change for gender equality	Facilitation of change processes
	Connecting to strategic institutional objectives & challenges
	Embedding actions into existing policy frameworks and daily routines
Monitoring and evaluating progress towards gender equality	Developing M&E criteria
	Developing M&E instruments
	Fostering self-reflection and reflexivity
	Reporting and communicating M&E results
	Fostering M&E results' influence and usage

Knowledge items

K1   Institutional specifics / functioning

K2   GEP & implementation (steps, processes, possible interventions, obstacles, resistances, sustainability)

Topic areas / Issues at stake:

K3   Gender & decision-making (participation / processes)

K4   Gender & diversity in research teams and organisations

K5   Gender dimension in research content

K6   Gender in curricula and teaching

K7   Gender bias in recruitment, selection, promotion

K8   Organisational culture & work-life balance

K9   Sexual harassment and gender-based violence

K10   Gender-sensitive communication and media work

K11   Gender-sensitive data collection about the institution

K12   Ethical principles (of institution and of GEARING-Roles)

K13   SMART & SPICED targets / indicators

K14   Wider stakeholder context (beyond institution)

K15   Legal and policy context (national / regional)

K16   Gender and feminist theories (such as standpoint theory, intersectionality, gender policy analysis…)

K17   Theories about organizational change

Skills

Research and evaluation

S1   Qualitative research methods

S2   Quantitative research methods

S3   Collection of sex-disaggregated data

S4   Elementary data processing

S5   Data analysis

S6   Operationalising M&E criteria

S7   Evaluative thinking

Facilitation of change processes

S8   Communication (actor-specific, gender-sensitive, responsive)

S9   Consultation techniques

S10   Strategic framing (capacity to strategically frame the change process)

S11   Negotiation skills

S12   Coalition building (long term)

S13   Participatory facilitation and co-creation techniques (for workshops, focus groups, etc)

S14   Dealing with resistances

Miscellaneous

S15   Project management skills

S16   Applying ethics requirements

S17   Developing training for GE

S18   Delivering professional training for GE

S19   Resource management (identifying and managing knowledge and technical resources for change)

Dispositions and attitudes

A1   Enthusing people

A2   Social and interpersonal abilities

A3   Self-reflection and reflexivity

A4   Pro-active thinking

A5   Ability not to take resistances personally

A6   Adherence to ethical principles