

# **Gender Equality Plan of Bernhard Nocht Institute for Tropical Medicine**

**valid from 1<sup>st</sup> January 2021 to 31<sup>th</sup> December 2024**

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## **1. Introduction**

### **1.1 Preamble**

Since 1900 the Bernhard-Nocht-Institute for Tropical Medicine (BNITM) has been researching in the field of tropical diseases and, since 1997, has been a member of the Leibniz Association. In 2008 the legal status of the BNITM was transformed into a foundation under public law and since 2009 it has been under the political responsibility of the Authority of Science, Research, Equality and Districts of the Free and Hanseatic City of Hamburg (FHH). The Board of Directors and the Staff Council stand up for the legal realisation of gender equality of men and women according to Article 3, Paragraph 2 (Basis Law GG).

Since the year 2011, the BNITM has been drawing up and implementing with support from the Equality Affairs Representative, and since 2016 also from the Equal Opportunities Panel, a gender equality plan with target quotas in accordance with the research-oriented gender equality standards specified by the German Research Foundation (DFG), in order to integrate equal opportunities throughout all planning, decision-making and organisational processes at all levels

This is intended to reduce structural disadvantages and improve access and promotion conditions for women, especially in management positions. In accordance with the recommendations of the Leibniz Association, the target quotas in the equality plan have been set since 2016 not only according to pay groups, but also according to management levels.

As a member of the Leibniz Association, the BNITM has been evaluated several times in the past decades, also with regard to gender equality issues.

### **1.2 Legal bases of gender equality policy in Hamburg**

The Hamburg Equality Act serves for the realisation of the constitutional requirements of equality of men and women, which is essentially derived from the Basic Law (Grundgesetz GG) and the constitution of the FHH.

Article 3 (2) and 3 of the Basic Law prohibit discriminating people against or in favouring people because of their sex without sufficient reason. As a matter of principle, gender may not be used as a connecting factor and justification for legal unequal treatment of a disadvantageous or preferential nature. This applies not only to individual measures and actions but also to laws and other legal regulations. Only if unequal treatment is justified by an objective reason and is overall proportionate, it can be permissible by way of exception.

This is also expressed in Article 23 (2) of the Charter of Fundamental Rights of the European Union: "The

principle of equality does not preclude the maintenance or introduction of specific benefits for the under-represented sex". This can be the case when regulations deliberately favour one sex, for example to compensate for de facto disadvantages that predominantly affect one sex due to biological differences or social conditions.

Article 3 (2) Sentence 2 of the Basis Law supplements the prohibition of discrimination by the constitutional mandate of the state to promote the actual implementation of equal rights for women and men and to work towards the elimination of existing disadvantages.

In accordance with the Basic Law, the third sentence of Article 3 (2) of the Constitution of the FHH makes the promotion of legal and actual equality of women and men the goal of all state authority. It is thus one of the fundamental tasks of the FHH to ensure not only legal but also real gender equality, while respecting individual self-determination. A further legal basis for equality policy in Hamburg is the General Equal Treatment Act (AGG), which obliges the FHH to prevent or eliminate discrimination for i. a. gender reasons.

## **2. Staff structural analysis**

### **2.1 Inventory**

The BNITM adopts the Gender Equality Plan for four years according to the Hamburg Equality Act of men and women in the public service.

#### *Creation and Content*

*(1) Each department shall draw up a gender equality plan for four years at a time.*

*(2) The gender equality plan comprises the following contents:*

- 1. Analysis of staff structure including expected fluctuation as well as an analysis of gender distribution concerning the use of training measures;*
- 2. Analysis of the previous objectives and measures of the expiring equality plan*
- 3. Goals and targets in relation to the share of the under-represented gender in strategically important areas as well as*
- 4. Personnel, organisational and training measures to achieve these goals and targets*

*Sentence 1 numbers 3 and 4 refers to the period of validity of the new equality plan.*

*(3) Further details on the equality plan are determined by the authority responsible for equality in the public service in consultation with the authorities and offices.*

*(4) In deviation from Paragraph 1 the authority responsible for school systems will draw up an equality plan covering all types of school for employees at public schools and an equality plan for other employees of their own department and those of their subordinate departments.*

As of 1<sup>st</sup> July and in accordance with the statutes, the Board of BNITM has appointed an Equality Affairs Representative and a deputy for a period of four years. The Equality Affairs Representative is released from work 50% of the working time of a full-time employee.

The Equality Affairs Representative and its deputy actively support the Board of Directors in its commitment to the gender equality of men and women as well as in the implementation and further development reconciliation of family and work life. They report regularly to the Board of Directors and, within the scope of a staff meeting, to the employees.

Since the beginning of 2016, the Equality Affairs Representative has been supported by an advisory panel of representatives from the human resources department, the staff council, the Board staff as well as scientific and technical staff of BNITM. At its meeting on 7<sup>th</sup> April 2016 the Board of Trustees anchored this panel in the statutes of BNITM. This panel is chaired by the Equality Affairs Representative. The panel meets at least quarterly. Guests may be invited to these conferences.

As a special management tool for family-conscious personnel policy the auditing and certification by “berufundfamilie” gGmbH has been successfully implemented since 2016. It is the goal to implement strategically relevant and practical solutions to promote the employees’ quality of life and to increase BNITM’s productivity in relation to the reconciliation of family and work life. The current target agreement dated 18<sup>th</sup> November 2019 can be found in Annex 1 of this equality plan.

## 2.2 Staff structure

Table 1: Number of all employees at BNITM (as of 31 December 2019)

Total Staff*	Total	Total female (% of total)	Limited (% of total)	Limited female (% of female)
Total (%)	274	190 (69%)	132* (48%)	93 (49 )
Third-party funded	79**	56 (71%)	73 (92%)	52 (93%)

*(\*) Dr Mombo-Ngoma, head of CERMEI-department clinical research based in Gabon and Dr Amuasi, head of work group “Global Health and Infectious Diseases” at KCCR based in Ghana have been included here.*

As of 31<sup>th</sup> December 2019 the staff at BNITM consisted of 274 employees, 79 of whom are third party-funded (\*\* of whom six are employed on a permanent basis for a limited period in third-party funded projects). The proportion of women is 69% (student assistants, trainees and employees without pay on parental leave have not been included).

Table 2: Scientific staff at BNITM (as of 31<sup>th</sup> December 2019)

Scientific staff	Total	Total female (% of total)	Limited (% of total)	Limited female (% of female)
Total	120	72 (60%)	95 (79%)	66 (92%)
Third-party funded	55	37 (70%)	55 (100%)	37 (100%)
<b>According to remuneration groups</b>				
C4/ W3	5	0	0	0
W2	1	1 (100%)	1 (100%)	1 (100%)
EG 15	13	5 (38%)	5 (38%)	2 (40%)
EG 14 (*)	29	16 (55%)	20 (69%)	15 (94%)
EG 13 (**)	72	50 (69%)	70 (97%)	48 (96%)
<b>According to position</b>	<b>Total</b>	<b>Total female (% of total)</b>	<b>Limited (% von insg.)</b>	<b>Limited female (% of female)</b>
Board of Directors	3	0	0	0
Head of departments**	2	0	0	0
Work group leaders***	11	4 (36%)	3 (27%)	1 (25%)
Junior research group leader	1	1	1	1
Physicians	10	5	9	5
PostDocs	58	38 (66%)	49 (84%)	35 (92%)
Doctoral Students	29	21 (72%)	29 (100%)	21 (100%)
Non-doctoral scientists	6	3 (50%)	6 (100%)	3 (100%)

\* Dr Mombo-Ngoma, head of CERMEL, department clinical research has been included here.

\*\* Three further heads of departments are shown in the line of Board of Directors.

\*\*\* Dr Amuasi, head of work group "Global Health and Infectious Diseases" at KCCR has been included here.

While there are no women on management levels 1 and 2 (Board of Directors and department heads) except for the managing director, the share of women in management positions in the working and junior group heads is 42% (as of 31<sup>th</sup> December 2019).

**Table 3: Science supportive staff of BNITM (as of 31<sup>th</sup> December 2019)**

Science support staff	Total	Total female (% of total)	Limited (% of total)	Limited female (% of female)
<b>Total</b>	<b>154</b>	<b>118 (77%)</b>	<b>37 (24%)</b>	<b>27 (23%)</b>
Business Management	1	1	1	1
Head of departments*	4	1 (25 %)	0	0
Deputies	3	2 (67 %)	0	0
Laboratory and animal care	72	60 (83%)	22 (31%)	15 (25%)
House services and technology	37	24 (65%)	2 (5%)	1 (4%)
Administration	20	14 (70 %)	3 (15%)	2 (14%)
Others	17	16 (94%)	9 (53%)	8 (50%)

(\* ) Mrs. Ingrid Sobel, Administrative Manager at KCCR with office in Ghana, has been included here.

In the area of science support staff, the proportion of women out of a total of 154 employees is 77%. Women account for 40% of the executive staff (management and department heads).

**Table 4: BNITM Committees of BNITM (as of 31<sup>th</sup> December 2019)**

Committees at BNITM	Total	Female	Male	Female in %	Male in %
Board of Trustees	11	6	5	55	45
Board of Directors	4	1	3	25	75
Scientific advisory board	7	2	4	29	71
Gender Equality	6	4	2	67	33

### 2.3 Staff fluctuation

Since 2015, there has been an addition of 14 people (of which 11 were women) within the pay grades 14 and 15.

## 2.4 Upgrading and termination of fixed-term contracts

As of December 2019, 30% (7 out of 23) of scientists held permanent positions, while only 7.1% (3 out of 42) of female scientists held permanent positions. The aim is to ensure a gender-sensitive allocation of permanent contracts and upgrades for scientific staff with the goal of equal consideration of female candidates. For this reason, in accordance with a resolution of the Board of Directors, the Equality Affairs Representative will be involved in these decision-making processes at an early stage and has the opportunity to comment.

Table 1: Temporal overview of fixed-term contracts assignments and upgrades, broken down by gender, in relation to scientific personnel

Year	Termination of fixed-term contracts		Upgrades	
	Women	Men	Women	Men
2017	0	1**	0	1
2018	0	2	4	0
2019	0	2	2	2
2020	2**	1	2*	0

(\*) for a project term

(\*\*) at 50%

## 3. Staff recruitment and development

### 3.1 Application and staffing

#### Recruitment and applicant selection procedure

The "Implementation of the recruitment and applicant selection process" is governed by a corresponding service agreement, which was last updated in 2015. Committees are formed for each upcoming filling of a position, in which the Equality Affairs Representative must also be involved in addition to the representatives of the department and the Staff Council. Vacancies are always advertised in a gender-neutral manner, and the underrepresented gender is expressly invited to apply. A guideline for gender-sensitive language is being worked on and is already largely applied. All positions are also always advertised as suitable for part-time work, provided that there are no compelling official reasons for not doing so. Since October 2017, job advertisements have included a reference to support for work-life balance using the berufundfamilie audit logo.

### **“Shared leadership”**

Since June 2019, the Institute has committed to explicitly mentioning the possibility of splitting scientific leadership positions into two positions in job advertisements (professorships are excluded from this, as the splitting of a professorship is not provided for in Germany). Since women often face greater challenges with regard to the professional compatibility of leadership tasks and the associated time commitments due to family reasons, the proportion of women in the applicant pool is to be increased through this "shared leadership". At the request of the institute's management, a concept for implementing shared leadership should be presented during the application process. The equipment of scientific working group leaderships has become more flexible, which makes the individual distribution or overlapping of working hours of both leaders possible. Furthermore, the Board of Directors has determined that new working groups will be provided with a personnel budget instead of job quotas.

Application statistics are kept and regularly evaluated in order to comply with the Hamburg Act on Equality of Women and Men in Public Service.

### **“Dual Career”**

In order to offer attractive career opportunities to working partners of excellent researchers who would like to come to the Institute, the BNITM has become a member of the network "Dual-Career Hamburg + the North". Around 30 institutions from the Hamburg metropolitan region joined forces in 2018 to promote dual careers. Cross-institutional advisory and support services are intended to help to offer job prospects to the (highly) qualified partners.

### **“Onboarding”**

A further expansion of information services for new employees is envisaged. A comprehensive "welcome package" with information on all employment-related topics and offers for balancing work and family/private life is intended to smooth the way for new employees in the future.

## **3.2 Promotion of scientific junior research staff**

In 2008, a structured PhD program was introduced, the purpose of which is to ensure careful and objective supervision of BNITM-PhD students.

A spokesperson is elected annually from among the PhD students, and two persons of trust are elected from among the scientists, who support and advise the PhD students in cases of conflict. The needs and wishes or feedback on the PhD program are evaluated annually in a survey questionnaire designed by the

PhD students themselves. The results are presented to the Board of Directors and the institute conference.

As of 31<sup>st</sup> December 2019 the BNITM employed 21 female and 8 male doctoral students.

There is an incentive system for doctoral students and supervisors that rewards, i. a., short doctoral periods of up to three years. This policy was updated in December 2019 to support the professional compatibility of doctoral students. Among other things, the deadline for receiving a bonus payment was extended to include periods of leave or reduction in working hours due to childcare or caregiving, or periods of taking parental leave and a ban on employment under the Maternity Protection Act.

### **3.3 Promotion of postdoctoral researchers**

For postdoctoral students, there are various qualification offers, including a mentoring program, a budget for individual as well as for in-house group trainings as well as offers to participate in the BNITM management training. In 2016, the Board of Directors and the Staff Council signed the "Service Agreement for Supporting the Professional Development of scientific staff at BNITM". This helps to steer the scientific career in a targeted manner and supports the development of subject-specific networks as well as the performance of management tasks. Individual support can be provided by self-selected internal or external mentors, who offer personal talks or give advice. Participation in external funding programs for the targeted support of women's scientific careers is also financially supported. We are a member of the Hamburg Research Academy, thus our employees have access to various training and coaching programs.

Starting in 2021, the Board of Directors will implement a personnel development plan for scientists with doctoral degrees at the BNITM (see chapter 3.6 Personnel development). The existing qualification offers as well as the accompanying support measures will be revised in consultation with the postdocs, expanded if necessary, and combined into a transparent concept. The visibility of independent junior research groups, for which own third-party funding has been obtained, has already been increased by mapping them in the institute's organizational chart.

### **3.4 Measures to promote women in management positions**

Since October 2019, job sharing is also possible in scientific leadership positions (see 3.1. "Shared leadership").

Participation in support programs is fostered by the Board of Directors. The Competence Centre Pro Exzellenzia, for example, qualifies women for leadership positions. The concept consists of scholarship programs, workshops, coaching, lecture events, application advice and networking, and is intended to

increase the proportion of women in management positions in companies and public institutions. A particular focus is on early, strategic and sustainable career planning that encourages, motivates, makes visible and effectively qualifies and networks women.

### **3.5 Awareness-raising and training on the subject of gender equality**

Under the heading "Human Resources Development, Career Advancement and Equality," lectures and workshops on the topic of gender roles and equal opportunities in science are intended to raise awareness of this issue. Executives are thus supported in fulfilling their responsibility for gender-appropriate, family-conscious and successful human resources work. Lectures on the topics of "Unconscious Bias" and "Sexual harassment in academia" have already been attended with great interest and further training courses are being planned.

Senior scientists can also take part in gender and diversity awareness training courses offered by the Leibniz Association.

### **3.6 Personnel development**

In the meantime, the BNITM has become a member of a career development program ("Research Academy") of the Hamburg Universities, in order to enable BNITM postdoctoral scientists to participate in corresponding offers. In addition, internal career counselling is planned with regard to further education and training. A personnel development concept is also being developed specifically for postdoctoral researchers.

### **3.7 "Maternity & Re-Entry Support"**

The BNITM Board of Directors has recognized the particular challenges faced by scientists during pregnancy and parental leave and provides targeted support for employees in this stage of life. Since October 2019, scientists who wish to reduce their working hours during pregnancy and when returning to work after parental leave can apply for an internal support budget, the "Maternity & Re-Entry Support", of up to 24,000 Euro per person and event as part of an internal support option. Personnel funds (e. g. for the performance of laboratory activities by a technical assistant in the laboratory) or material funds can be used freely for a period of up to twelve months.

### **3.8 Nominations**

Nominations of women are explicitly supported within the BNITM. The participation of the Equality Affairs Representative in joint nomination procedures is stipulated in the cooperation agreements with the universities. At least 30 percent of the voting members in the joint appointment committee of the BNITM and the university are women. Proactive procedures for targeted identification of suitable female candidates for professorships should be a part of every nomination procedure (see 3.1). In order to continuously and swiftly increase the proportion of women in scientific management positions in accordance with the principles of gender equality, the BNITM proactively identified an excellent female candidate with a highly relevant research topic and submitted a funding application to the Leibniz female Professors Program, which has since been approved. In 2021, the establishment of a new scientific department with the first female head at BNITM is to take place. The proactive nomination process was accompanied by an international public call for applications and thus meets the requirements of the Leibniz Recruitment Standards.

For reasons of transparency and quality assurance, techniques for joint nominations are documented in all phases of the procedure according to the cooperation agreements with the universities. Personal data are treated confidentially. Furthermore, care is taken to ensure that the persons involved in the nomination procedures are impartial. Relevant criteria such as scientific excellence, future potential, significant experience, leadership and management skills, teaching competence, and success in academic communication and in technology and knowledge transfer in the international context of the respective field are taken into consideration in the evaluation of the candidates. Compliance with equal opportunity standards is enforced throughout the application process. To ensure equal opportunities in the selection process, at least two female professors are represented on the nomination committees. If additional external opinions are obtained, at least one of the minimum of three reviews should be from an internationally renowned female scientist.

## **4. Reconciliation of work and family life**

### **4.1 Service agreement working hours**

The new "Service Agreement on Working Hours", which was adopted on 12<sup>th</sup> December 2018, enables even more flexible working hours at the Institute for the majority of the workforce. Instead of the previous core working hours, functional times to be determined and implemented independently apply to the individual work areas (exceptions: service times for employees at the reception and in the technical area), a generous flexitime regulation with a traffic light system (up to 80 overtime hours or 40 minus hours) that can be designed even more individually, and very flexible time compensation (hourly, for a full day or several days, before or after vacations). Foreseeable overtime or extra hours must be

approved by the Board of Directors and the Staff Council and verified by time recording. Compensation is possible through time off or pay. Work on weekends and holidays is possible in consultation with supervisors and is compensated with time bonuses regulated by collective bargaining agreements.

A new service agreement for compensation through overtime for foreign assignments is in progress and is expected to be concluded before the end of 2020.

#### 4.2 Flexible Working Hours

The BNITM Board of Directors generally grants conversions from full-time to part-time employment without reservation. With a share of women of 60% in science and 77% in administration (as of 31<sup>th</sup> December 2019), this flexible career planning measure is given high priority. Not only women and men with family-increase, but also women and men with family members in need of care are supported in their forms of part-time work. The 126 part-time employees (46% of the workforce, 85% of whom are female) take advantage of a total of 32 different formats of part-time employment. Since the end of 2015, the number of women working part-time at more than 50% of the regular hours has increased from 53 to 71.

Job sharing (see 3.1. "shared leadership") has also been possible in academic leadership positions since June 2019 and allows for an individual distribution or overlapping of the working hours of both managers.

Table 5: Part-time work (as of 31<sup>th</sup> December 2019)

Scope of employment	Full-time	Part-time More than 50%	Part-time = 50%	Part-time Less than 50%
T	148	78	39	9
Women	83	71	31	5
Doctoral Students	0	8	21	0

In principle, all employees with work that can be relocated have the option of setting up individual home working days and working outside the institute. Many employees, especially in science, have a notebook for mobile work. The budget of the Equality Affairs Representative was used to purchase two additional laptops that can be borrowed as needed. A "work station" consisting of a Mac mini, monitor, keyboard and mouse is available for setting up a home working place during parental leave.

The service agreement on teleworking, which outlines the forms of mobile work with the organisational and technical requirements, is currently being updated; the employment regulation on case-by-case mobile work from home or another location outside the Institute was adopted in December 2020. An employment regulation on regular working from home with a fixed workplace at home is planned for the beginning of 2021.

#### **4.3 Child care**

The BNITM grants employees receiving pay according to the collective agreement a tax- and social security-free allowance of up to 50 Euro per month for each child under 13 years of age (or 18 years of age in the case of special care needs) who is cared for in a kindergarten or comparable institution or by a day-care mother outside the employee's own household. Furthermore, since 2018, the BNITM reimburses up to 80% of extra care costs (for example, for the use of a babysitter, day-care mother or day-care centre) incurred due to extra work, appointments or business trips. Not only care services but also travel costs (for caregivers, accompanying persons or extra journeys) will be considered. A higher amount may be reimbursed for trips abroad or longer business trip.

Since April 2017, it has been possible to bring children along on a case-by-case basis if regular care is not available by using a parent-child or family room with furnishings tailored to their needs.

A reservation is made via the in-house online room booking system; spontaneous use is possible at any time, provided the room is available.

#### **4.4 Inclusion of professionals on leave in staff planning and development**

Employees who interrupt their professional activities to care for children or for other family reasons will continue to be specifically informed by the BNITM via circulars sent by e-mail. Being bound to the BNITM with regard to further training offers, congress participation, seminar attendance, closed meetings, working group activities, etc., the employees on leave are given the opportunity to maintain or expand their professional qualifications.

#### **4.5 Audit berufundfamilie**

In order to present more clearly and expand BNITM's structures and concepts in the areas of female promotion, equal opportunities and reconciliation of work and family life, the BNITM has been certified by the "berufundfamilie" audit since August 2016. In the first three years of certification, procedures were defined and communicated for "compatibility cases" such as parental leave or care leave, a parent-

child room was established, the topic of professional compatibility was made more present in the Institute through regular reporting, regulations were made to make working hours more flexible and to compensate for overtime, the subsidisation of childcare costs was expanded, an employee survey and feedback discussions were conducted, leadership guidelines were adopted, the training of conflict mediators was initiated and a "Maternity & Re-Entry Support" was established. The re-auditing process for the years 2020-2022 was successfully completed. In the next audit phase, the Institute is striving above all to further structure reconciliation situations and to provide needs-based support for managers in family-conscious personnel work as well as for scientists with regard to the compatibility of an academic career and family. It is also important to offer suitable solutions for technical and administrative employees. The new target agreement was signed by the Board of Directors on 18<sup>th</sup> November 2019 and submitted to berufundfamilie GmbH. It can be found in Annex 1 of this equality plan. The new certification by the independent board of trustees of the "berufundfamilie" audit was granted on 15<sup>th</sup> March 2020. In the following three years, the agreed goals and measures will be implemented and an annual implementation report will be submitted to berufundfamilie GmbH.

#### **4.6 Visibility and communication**

Since 2017, regular reports on the latest developments in the area of gender equality and work-life balance have been included in the quarterly report of the Board of Directors and in other staff meetings. In the annual staff appraisals, employees are also asked about their satisfaction and ways to optimise their work-life balance.

Internal conflict counselling is offered to employees in the areas of science and administration. Trained conflict counsellors can be consulted in the event of conflicts with colleagues or supervisors.

### **5. Targets and future measures**

#### **5.1 Cascade model**

The proportion of women among BNITM's scientific staff has remained relatively constant at around 60% for ten years. While the proportion of women among doctoral researchers and postdoctoral scientists is still 72 and 66% respectively (effective date 31<sup>th</sup> December 2019, see Table 2 on page 7), women continue to be underrepresented at management level. Although the situation has slightly improved since the last Leibniz evaluation in 2016, the existing employment contracts left little scope for increasing the proportion of women in BNITM's management positions. Nevertheless, based i. a. on the goals and measures explicitly stated in the target agreement of the berufundfamilie audit, the BNITM is striving to gradually increase the proportion of women in department and working group management positions.

**Table 6: Cascade model to increase the proportion of women among BNITM'S scientific personnel:**  
Scientific staff of BNITM financed from institutional funding according to pay grades, excluding scholarship holders and guests (as of 31<sup>th</sup> December 2019).

<i>Effective date:</i> 31 <sup>th</sup> December 2019	<b>Total</b>	<b>Male</b>	<b>Female</b>	<b>Female (%)</b>	<b>Target quota 2021 (%)*</b>	<b>Target quota 2024 (%)*</b>
<b>Institute Management</b>						
<b>1<sup>st</sup> Executive level (Institute managements)</b>	3	3	0	0	33	33
<b>Scientific Staff</b>						
<b>2<sup>nd</sup> Executive level (Department managements)**</b>	2	2	0	0	20	33
<b>3rd Executive level Supervision of junior staff and working groups (***)</b>	12	7	5	42	44	47
<b>Based on pay groups:</b>						
<b>Level 5: W3/C4</b>	5	5	0	0	29	29
<b>Level 4: W2</b>	1	0	1	100	50	50
<b>Level 3: EG 15</b>	13	8	5	38	45	50
<b>Level 2: EG 14 (****)</b>	29	13	16	55	50	50
<b>Level 1: EG 13 (***)</b>	72	22	50	69	-	-

(\*) The target quotas for 2021 and 2024 refer to the forecast totals in these years (these are partly different from those in 2019).

(\*\*) Three further heads of scientific departments are shown in the line Institute Management.

(\*\*\*) Dr Amuasi as head of working group "Global Health and Infectious Diseases" at KCCR has been included here.

(\*\*\*\*) Dr Mombo-Ngoma as head of CERMEL's clinical trials department has been included here.

Since 2018, the Board of Directors, which has been expanded by deputies, has included a female scientist, for there is a 17% quota of women on the expanded scientific Board of Directors (six scientists). On 30<sup>th</sup> September 2021, the current Chair of the Board of Directors will retire. Therefore, a change in personnel or a re-appointment of the scientific board members is due in 2021. They are expected to be

appointed for a period of at least three years (i. e. until 2024). The aim is to appoint one female scientist to the Scientific Board of Directors and thus to achieve a quota of 33% of women from October 2021. The proportion of women among the deputy members of the Board of Directors is also to be increased or at least maintained.

Currently, only men are represented in the second management level (department management; three other male department managers are shown in management level 1). In 2020, an additional male-led department was established (promotion of a previous head of working group, see below). In 2021, at least one of two planned professorships and the associated department heads is to be filled by a woman (see 3.8. Appointments). In addition, the aim is to fill the successor professorship and departmental management of the current Chair of the Board of Directors with a woman in order to achieve a proportion of women of 33% by 2024.

At the third management level, a new research group unit, the Junior Research Group, was introduced in 2019. These are independent groups within departments whose excellent scientific leaders themselves have raised third-party funding for their work. The first Leibniz Junior Research Group, established in 2019 and funded until mid-2023, is headed by a woman.

In 2020, two further BNITM-funded junior research groups had been set up and planned for at least five years until the end of 2025, one under female and one under male leadership. A new Leibniz Junior Research Group was approved for 2021, and another is planned for 2022. In the next few years there will be changes and increases in the working groups. In 2020, one working group under male leadership was reclassified as a department (see above). As part of the development of a new programme area, a new working group under female leadership was established in 2020. One working group under male leadership will expire in 2023 due to retirement. In 2021 and 2022, the establishment of five new working groups is planned. The aim is to have equal numbers of women and men at the head of each working group in order to increase the proportion of women in management level 3 to at least 47% in 2024.

At present, only male professors are represented in level 5 of the remuneration groups. The BNITM aims to fill at least one of the two new W3 professorships to be staffed in 2021 as well as the expected successor professorship of a male member of the Board of Directors (see above) with women. Therefore, the target quota for level 5 (W3/C4) explicitly shows 29% from 2021.

In level 4, a new male W2 professorship will be established in Gabon at the beginning of 2021. Currently, no further W2 professorships are planned at BNITM. The aim is to maintain at least a 50% share of women in level 4.

The proportion of women in levels 3 and 2 of the pay grades is to be increased or stabilised in the next few years and should be at least 50% in 2024.

Level 1 is dominated by female doctoral students. With a female share of 69%, there is no need for measures and targets to increase the share of women at this level.

## **5.2 Proactive measures for targeted identification of female managers**

The BNITM is committed to using proactive operations for future appointment procedures to identify suitable female candidates, thereby attracting female professors through active and targeted recruitment measures. In proactive operations, a targeted search for suitable female candidates is made at home and abroad, as these often cannot be reached even through international advertisements in different channels. In order to ensure transparent competition, the proactive operations should in any case be accompanied by public, international calls. Proactive recruitment measures to attract suitable female candidates should also be carried out as a matter of principle for all positions in the Institute's management (members of the Board of Directors), the scientific departments and the scientific working groups.

## **5.3 Diversity**

The active promotion of gender equality and diversity is an overarching strategic goal of the Leibniz Association. It is based on the conviction that discrimination in any form runs contrary to the fundamental principle of science and research. Researchers should reflect the different experiences, realities of life and ideas of a society.

The BNITM will appoint a new gender equality and diversity affairs representative on 1<sup>st</sup> January 2021 in order to raise awareness of the issue and break down structural and cultural barriers (unconscious bias). A diversity policy may be developed for this purpose.

The Institute's gender-neutral job advertisements use the male, female and diverse job titles. As there are no inter- or diverse-gendered persons working at the Institute so far, the third gender is not taken into consideration in structural surveys in this plan.

## **5.4 Development of measures for gender balanced awarding of permanent contracts and upgrades**

The aim is to set up a gender-equitable allocation of permanent contracts and upgrades for academic staff with the goal of equal consideration of female candidates. By resolution of the Board of Directors the Equality Affairs Representative is involved in these decision-making processes at an early stage with an opportunity to comment. Binding criteria are to be developed for a transparent procedure and equal

allocation of permanent contracts and upgrading, where the structural characteristics of female academics are also taken into consideration.

## 5.5 Further measures

### Support of Committee Work

The participation of women scientists in committees and decision-making processes should "give women the same access to key positions (...) as men". Furthermore, this is intended to bring "the potential of female scientists into the science system in the best possible way" and to achieve good decisions that are comprehensible and suitable for as many people as possible through the broadest possible diversity of perspectives.

The higher education laws of the Federal States provide for an "appropriate" to equal participation of female academics in the bodies of academic self-administration. In order to relieve the burden on female academics with above-average committee activities in particular, compensation is examined where necessary.

### Abuse of power

Abuse of power in the workplace, such as tokenism, discrimination, workplace-related or sexual harassment and bullying, will not be tolerated at BNITM. As a first preventive measure, a guideline is planned that defines a code of conduct with appropriately expected behaviours and standards that reflect BNITM's values on this sensitive issue.

## 5.6 Target agreement berufundfamilie

The target agreement concluded on 18<sup>th</sup> November 2019 between the BNITM Board of Directors and the berufundfamilie GmbH is part of this equality plan as Annex 1.

Components of the target agreement are in particular:

- Optimisation of a structured and transparent approach to reconciliation requirements, also by anchoring the topic more firmly in the management organisation.
- Needs-based support of managers in family-conscious personnel work.
- Continuous expansion of information offers and their integration into the onboarding process.
- Further development of support for academic career and work.

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There is a continuous preparation, transparent presentation and communication of all options for reconciling career and family in the BNITM, for example through easily accessible information in the bilingual intranet area, in the quarterly reports of the Board of Directors and via e-mail circulars to all employees.

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Signed by the BNITM Board of Directors on 19<sup>th</sup> January 2021 in Hamburg

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**Enclosure**

**Annex 1: Target Agreement berufundfamilie audit**

**Unterzeichnung durch den BNITM-Vorstand am 19.01.2021 in Hamburg**

Prof. Dr. Eibert Tannich

Name

Vorstandsvorsitzender

Funktion

Eibert Tannich

Unterschrift

Prof. Dr. Stephan Günther

Name

Mitglied des Vorstands

Funktion

StG

Unterschrift

Prof. Dr. Jürgen May

Name

Stellv. Vorstandsvorsitzende

Funktion

Jürgen May

Unterschrift

Birgit Müller

Name

Geschäftsführung

Funktion

B. Müller

Unterschrift

**Anlagen:**

**Anlage 1: Zielvereinbarung Audit berufundfamilie**

# Agreement on objectives to confirm the certificate of the audit berufundfamilie

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**Bernhard Nocht Institute for Tropical Medicine**

**Re-Audit**

**Auditor:**

Dr Georg Barzel

**Date:**

18 November 2019

## Preamble

The Bernhard Nocht Institute for Tropical Medicine sees itself as an employer that takes special care for its workforce, in particular with regard to the needs of families. Family is where long-term personal responsibility for others is perceived. This includes in particular children, parents, life partners, siblings, grandchildren and grandparents. Here the diversity of life forms is taken into account. As far as operationally possible, family concerns are given high consideration in the organisation of working conditions. Accordingly, flexible forms of work have long been common practice.

With the implementation of the first target agreement for the audit berufundfamilie, the framework has been expanded and consolidated since 2016, both structurally in terms of working conditions and in terms of dealing with compatibility issues, also i. e. in the "Institutes Culture". The re-auditing continues to pursue the goal of maintaining the established good handling independent of the acting persons and to ensure that work-life-balance will be well supported in all areas of the Institute. The focus here is on a "matter of course" consideration of family concerns as a marginal condition. This is not about „levelling down“ and „everything for everyone“ but about „equal treatment in comparable situations“. It is particularly important to offer solutions both for the scientific sector with its special challenges and the technical and administrative staff. And it must be ensured that the solutions for some are not permanently at the expense of others.

As a result, the Institute should be perceived by employees and potential applicants as family-conscious because family demands can be balanced with professional ones as far as possible. This is a promising positioning as a good employer.

## 1. HF1: Working Time

*No targets and measures were agreed in this field of action.*

## 2. HF2: Work Organisation

### 2.1 Objective: Structurally dealing with compatibility issues

**Measuring criteria:** *Transparency about the roles and tasks of all participants*

#### 2.1.1 Action:

It is set and communicated in a suitable manner that the responsibility for shaping situations of work-life-balance, i. e. the search for appropriate solutions taking into account the team members' interests, is a joint task of the team.

**Target group:** *All employees*

**Implementation by:** *Report 1*

#### 2.1.2 Action:

Requirements on work-life-balance will become a fixed part of the agenda of work meetings or the department/ work groups choose another suitable form of communication.

**Target group:** *All employees*

**Implementation by:** *Report 2*

#### 2.1.3 Action:

The Human Resources Department offers concrete support for dealing with compatibility situations.

**Target group:** *All employees*

**Implementation by:** *continuous*

### 3. HF3: Work Place

*No targets and measures were agreed in this field of action.*

### 4. HF4: Information and Communication

#### 4.1 Objective: Good access to all information on compatibility of work and family

*Measuring criteria: Visibility of the subject*

##### 4.1.1 Action:

Information related to work-life-balance are integrated into the onboarding-process.

*Target group: All new employees joining the Institute*

*Implementation by: Report 1*

##### 4.1.2 Action:

A fast retrieval of information in the internet is optimised.

*Target group: All employees and the interested external public*

*Implementation by: Report 1*

##### 4.1.3 Action:

Exchange of information on work-life-balance issues is supported, especially in the (social) media (e. g. Slack).

*Target group: All employees*

*Implementation by: continuous*

### 5. HF5: Leadership

#### 5.1 Objective: Managers support employees' work-life-balance

*Measuring criteria: Anchoring in the management organisation (structures/processes)*

##### 5.1.1 Action:

Issues on compatibility become an integral part of the annual performance review.

*Target group: All managers*

*Implementation by: Report 1*

## 5.1.2 Action:

Support services for managers in dealing with compatibility situations will be expanded as needed within the scope of possibilities.

**Target group:** *All managers*

**Implementation by:** *continuous*

## 5.1.3 Action:

Exchange of information between managers on practices in dealing with compatibility situations is encouraged.

**Target group:** *All employees*

**Implementation by:** *continuous*

## 5.2 Objective: The compatibility of management and family will be supported.

**Measuring criteria:** *Practical support in the design of leadership tasks*

### 5.2.1 Action:

Managers are offered opportunities for further training and reflection on leadership tasks, for example, on differentiating the various leadership functions into personnel, technical leadership and "clerical" management, or on the ability to substitute their tasks.

**Target group:** *All managers*

**Implementation by:** *Report 1*

### 5.2.2 Action:

Good practice/„Role models“ of the compatibility of leadership and family from BNITM or other institutes are collected, processed and communicated.

**Target group:** *All managers*

**Implementation by:** *continuous*

## 6. HF6: Personnel Development

**6.1 Objective:** The professional development/"career" takes into account the family situation

**Measuring criteria:** *Suitable offers of support*

### 6.1.1 Action:

The parental leave process is structured and prepared in four phases (before and during leave, before and after return)

**Target group:** *All employees*

**Implementation by:** *Report 1*

### 6.1.2 Action:

The "development paths" for the individual functions, including responsibilities (reciprocal rights and obligations) are described and, where possible, underpinned with criteria/benchmarks.

**Target group:** *All employees*

**Implementation by:** *Report 2*

### 6.1.3 Action:

It will be examined whether and in which form an independent consulting for PostDocs is reasonable and feasible and, if so, established.

**Target group:** *PostDocs*

**Implementation by:** *Report 3*

### 6.1.4 Action:

The different formats of continuing training and education will be presented (inhouse/extern compatibility, etc.)

**Target group:** *All employees*

**Implementation by:** *continuous*

**7. HF7: Remuneration components and non-cash benefits**

*No targets and measures were agreed in this field of action.*

**8. HF8: Service for families**

*No targets and measures were agreed in this field of action.*

## Strategy and structure of implementation

The structure for implementing the target agreement, established in the first three years, has been proven its worth and will be continued:

- The strategic responsibility lies at the level of the Institute's management, the coordination is carried out by the Science Management staff unit (Executive Board Officer).
- The operational control is assumed by the Equal Opportunities Committee.
- The departments responsible for the individual measures (e.g. Human Resources, Public Relations) and, if necessary, other persons are involved.

The focal points and the order in which the individual measures are processed result from the target agreement.

I hereby declare my agreement with the objectives and measures defined within the scope of the re-audit as well as the implementation strategy and structure.

**Prof. Dr. med. Egbert Tannich**

\_\_\_\_\_  
Name

**Chairman Board of Directors**

\_\_\_\_\_  
Function

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Place

**Birgit Müller**

\_\_\_\_\_  
Name

**Executive  
Manager**

\_\_\_\_\_  
Function

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Place

Hiermit erkläre ich mich mit den im Rahmen der Re-Auditierung definierten Zielen und Maßnahmen sowie der Umsetzungsstrategie und -struktur einverstanden.

Prof. Dr. med. Egbert Tannich

Name

Vorsitzender des Vorstands

Funktion

Unterschrift

18.11.2019

Datum

Hamburg

Ort

Birgit Müller

Name

Geschäftsführerin

Funktion

Unterschrift

18.11.2019

Datum

Hamburg

Ort