

## **Cooperation Agreement Concerning a Joint Doctoral Initiative**

between

Faculdade de Ciências e Tecnologia, Universidade Nova de Lisboa, Portugal

and

Institute for Technology Assessment and Systems Analysis, Karlsruhe Institute of Technology,  
Germany

### Preamble

A cooperation protocol between the Faculdade de Ciências e Tecnologia (hereinafter FCT) of the Universidade Nova de Lisboa (UNL) and the Institute for Technology Assessment and Systems Analysis (hereinafter ITAS), was signed in 2008 and it envisaged the promotion of the exchange of post-graduate students (art. 1), the teaching/research staff mobility (art. 2), common co-ordination and supervision (art. 5) and the education and science materials exchange (art. 8), among other topics.

To establish this academic collaboration, the FCT-UNL, with legal domicile in Monte de Caparica, (Portugal), represented by its Dean, Prof. Fernando Santana, and the ITAS, Karlsruhe Institute of Technology with legal address Karlstr. 11, 76021 Karlsruhe (Germany) represented by its Director, Prof. Armin Grunwald, hereby agree as follows:

### Article 1 – Aim of the agreement

This agreement defines the framework conditions and mutual commitment of FCT and ITAS in establishing a Joint Doctoral Initiative (hereinafter Initiative), developed and organized jointly by the parties.

### Article 2 – The FCT-ITAS Initiative

- a) The participation of each student in the doctoral Initiative should not exceed four years. On the average, students shall spend half of their study time at each institution.
- b) A number of four (4) calls for applications for the Initiative are foreseen for the next two years, one in each semester.
- c) A student enrolled in this Initiative will be registered as a doctoral student at both FCT and ITAS. Students should comply with the rules established by each institution concerning its doctoral programs in general.

- d) The Initiative is structured in terms of Focus Areas and includes between 20 and 30 ECTS credits of coursework in addition to the research component leading to the dissertation.
- e) Each student will be supervised by advisors from both institutions, who will jointly define and supervise the PhD research project, as well as the educational curriculum.
- f) After the final PhD examination process, students will obtain one doctoral diploma jointly awarded by ITAS and FCT.

#### Article 3 – Dissertation

- a) The dissertation shall be co-supervised by professors or researchers of both institutions (hereinafter the co-advisors), according to the existing rules at each institution.
- b) The dissertation shall be written and defended in English.
- c) There will be a single final examination process, held either at FCT or at ITAS, as agreed by the thesis advisors.
- d) The final examination jury shall include members from both institutions, in addition to external reviewers.

#### Article 4 – Student selection process

The student selection process is based on shared responsibility between both parties, as follows:

- a) The selection process will involve representatives from both ITAS and FCT, including the Focus Area Coordinators, who will jointly establish the criteria to be fulfilled by the students to be admitted into this Initiative.
- b) The criteria for acceptance of a candidate will be based on the excellence of his/her academic record and motivation: the applicant's academic and scientific curriculum, statement of purpose and letters of reference. Additionally, candidates may be invited for an interview, either in person or by telephone.
- c) Final acceptance will be subject to approval by both institutions according to their respective rules and practices.
- d) The selection process is detailed in Annex B.

#### Article 5 – The Focus Areas

The Initiative is organized in terms of the following Focus Areas:

1. Sustainability and environment
2. Innovation processes and impacts of technology
3. Knowledge society and knowledge policy
4. Energy - resources, technologies, systems

These Focus Areas result from the identification of areas of mutual interest between ITAS and FCT, as described in “Annex A – Technical assessment of the FCT-ITAS Collaboration”. Although Annex A does not describe rights and obligations of the parties, it explains the methodology adopted to identify the proposed Focus Areas and the faculty members and researchers involved in this process. New Focus Areas may be defined and agreed upon by both institutions.

#### Article 6 – The Scientific Areas of the Doctoral Diplomas

The scientific areas of the doctoral diplomas are described in the following table.

Focus Areas	FCT	* ITAS
Sustainability and environment	<ul style="list-style-type: none"> <li>• Interactive methods of participation and decision</li> </ul>	<ul style="list-style-type: none"> <li>• Sustainable development</li> <li>• Transdisciplinary research</li> <li>• Participation process</li> </ul>
Innovation processes and impacts of technology	<ul style="list-style-type: none"> <li>• Methods of Foresight Analysis</li> <li>• Interactive methods of participation and decision</li> <li>• Innovation economics and management</li> <li>• Social factors of innovation</li> <li>• Methods of Decision Analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Ethics</li> <li>• Systems analysis</li> <li>• Participation process</li> <li>• Transdisciplinary research</li> </ul>
Knowledge society and knowledge policy	<ul style="list-style-type: none"> <li>• From analog to digital (history of S&amp;T)</li> <li>• Interactive methods of participation and decision</li> <li>• Evaluation of Science and Technology</li> <li>• Methods of Foresight Analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Theory of Science and Philosophy of Technology</li> <li>• Policy advice</li> <li>• Science, Technology in Society</li> <li>• Reflexions on TA</li> <li>• Transdisciplinary research</li> </ul>
Energy - resources, technologies, systems	<ul style="list-style-type: none"> <li>• Methods of Foresight Analysis</li> <li>• Methods of Decision Analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Systems analysis</li> <li>• Transdisciplinary research</li> <li>• Research Training Group on “Energy Scenarios - Construction, Assessment and Impact”</li> </ul>

\* The mentioned doctoral topics are indicative. The final choice of the doctoral program will be made on the basis of the scientific orientation of the project.

#### Article 7 – Students rights and obligations (tuition and funding)

- a) A set of doctoral scholarships can be awarded by Portuguese Ministry of Education and Science, through the Fundação para a Ciência e a Tecnologia (Portuguese Foundation for Science and Technology) to outstanding candidates that apply for the UNL doctoral programme on Technology Assessment. The complete regulations applicable are

available at [www.fct.pt](http://www.fct.pt) (Fellowships and Grants Regulations for Advanced Training and Qualification of Human Resources).

- b) Similar set of doctoral scholarships can be awarded by several institutions for the PhD students that will be enrolled at ITAS for this Initiative
- c) In case of discontinuation or annulment of this Initiative, the grant will allow the student to pursue his/her studies until the achievement of the PhD.
- d) While carrying out his/her activities at one of the two institutions, the participating student will have the same rights and obligations as the other students of that institution.
- e) Tuition, admission or registration fees are due at FCT for the period of work at FCT. Tuition, admission, incidental costs or registration fees are due at KIT for the period of work at ITAS.
- f) Students are responsible for covering travel and living costs during their stay, including accommodation, books, health and travel insurance and other personal expenses arising out of the Initiative.

#### Article 8 - Governance

Each institution will appoint a person responsible for the Initiative (hereinafter the Initiative Directors). The Directors will meet on a regular basis in order to:

- ☐ Monitor the execution of the program and ensure the highest possible quality standards
- ☐ Coordinate the candidate selection process
- ☐ Report on activity of the program.
- ☐ Propose new initiatives.

Both parties will designate Focus Area Coordinators who will ensure the proper coordination and development of the activities within each area and participate in the student selection process.

The parties may seek additional funding to increase financial support of the Initiative.

#### Article 9 – Conflict Resolution

In case of disagreement between the parties concerning the interpretation or the application of this cooperation agreement, the difference will be settled in good faith by mutual agreement, either between both presidents of FCT and ITAS, or by their specially appointed representatives, towards a solution that respects the collaborative spirit of the agreement. At all times, the intentions of the parties and the interest of the students will be kept in mind.

#### Article 10 – Contract validity

The Initiative shall come into effect immediately after the signature of this Agreement and of the “Annex B: Detailed Procedures”.

The agreement shall be valid for five years and will automatically be renewed every year unless requested otherwise, by either party, three months before the term.

Either party may terminate the present agreement at any time with a written notice of six months. In the event of the agreement being terminated, any activities in progress shall be allowed to run to completion.

#### Article 11 – Applicable Law

Portuguese Law is applicable

#### Article 12 - Signature

Two originals of the present agreement shall be signed, one for each of the signatories of the contract. Each original shall have equal validity.

Signed at \_\_\_\_\_ on \_\_\_\_\_

For the FCT-UNL

For the ITAS-KIT,