

Final of the ex-ante publicity

Prior Information in relation to the study and low value contract < €60,000

STUDY on "Best practice for identifying and assessing the dual-use issues in enabling technologies research"

PP-05 221-2016

This publication is made pursuant to Article 124 of the Rules for Applications of the Financial Regulation that provides for ex ante publication on the Institutions' websites of contracts with a value up to €60 000.

Summary of the study

This preliminary study will identify best practice (e.g. at Member State level) and develop a methodology for identifying and addressing dual-use issues in enabling technologies research. A mitigation strategy shall also be developed to ensure that proposed research activities will remain within the limits of the Horizon 2020 legal base.

The outcome of the study will lead to a service contract (awarded through a separate call for tenders process) which will implement and broaden the proposed methodology arising from the preliminary study, through external expert assistance to selected projects of dual-use relevance, prioritising research related to key Commission priorities, such as the Digital Single Market.

The objectives of the study are as follows:

The issues to be considered within the study are expected to result in clear practical guidelines based on an as-objective-as-possible methodology, meeting the needs of the following audiences:

- for individual partners in H2020 projects, in particular SMEs, to have an efficient and easy accessible instrument that can provide the necessary knowledge and assistance to make informed decisions on the exploitation and dissemination of dual-use relevant results in relevant industry value chains (typically after the end of the H2020 project);
- for H2020 funding applicants to ensure that their proposed research activities will remain within the limits of the legal base of H2020 related to dual-use research (i.e. Article 19(2) of the Horizon 2020 regulation: research and innovation activities carried out under Horizon 2020 shall have an exclusive focus on civil applications;
- for project officers, expert evaluators and project monitors to develop a common understanding and approach to assess the potential dual-use relevancy

(including dual-use research of concern (DURC)) at proposal stage and during the project's lifetime;

- for ethical screening committees to propose a commonly agreed set of effective mitigation measures, where relevant, that would be implemented during the grant preparation phase;
- for policy makers to have a reference framework to assist decision making when discussing dual-use research or the possibility of specific a defence research programme within the next EU research Framework Programme.

The contractor(s) are expected to address specifically the following issues:

1. How can civilian - defence synergies in H2020 projects stimulated in the most efficient manner, given the legal requirements of H2020 which allow dual-use research but focus on the civil applications only?
2. Are the available H2020 guidance documents on dual use sufficient for proposers to identify the dual-use potential of their research (including possible DURC) and ensure compliance with the H2020 legal base? The contractor shall recommend improvements where relevant.
3. Are the available H2020 guidance documents on dual use sufficient for project officers, expert evaluators and project monitors to identify potential civilian –defence synergies on one hand, and to effectively monitor the compliance with possible contractual obligations resulting from an Ethics review? The contractor shall recommend improvements where relevant.
4. Are the available H2020 guidance documents on dual use for the ethical screening committees sufficient for setting up efficient mitigation measures in relation to DURC? The contractor shall recommend improvements where relevant.

Selection criteria

The candidate must have the necessary technical, professional, economic and financial capacity to execute the contract and demonstrate relevant expertise in issues relating to dual-use research and exploitation of research results with a track record of participation in similar studies in the last 5 years.

Award criteria

The tender will be awarded according to the best-value-for -money procedure. The quality of the tender will be evaluated based on the following criteria. The maximum total quality score is 100 points.

- QC1: General approach of the work to be performed (30 points – minimum threshold 50%)
- QC2: Quality and Appropriateness of the methodological approach proposed (40 points - – minimum threshold 50%)
- QC3: Organisation of the work and quality control measures (30 points – minimum threshold 50%)

Tenders must score minimum 50% for each criterion and minimum 60% in total. Tenders that do not reach the minimum quality thresholds will be rejected and will not be ranked.

In order to determine the tender offering the best quality-price ratio to which the contract will be awarded, the total qualitative score will be divided by the total price of the tender, these two aspects having the same weight.

Estimated amount: Maximum: EUR 60 000

Period of execution: Seven months

Estimated launching date: 15/07/2017

Economic operators interested in participating in this call for tenders may express their interest by writing to RTD D3 TENDERS@ec.europa.eu not later than 01/06/2017.

An acknowledgement of receipt will be sent to interested bodies by the EC services in charge of the procedure.

Only the candidates invited by the contracting authority will be admissible to participate in this procedure.