

GOVERNMENT OF INDIA
MINISTRY OF MICRO, SMALL & MEDIUM ENTERPRISES
OFFICE OF THE DEVELOPMENT COMMISSIONER(MSME)
7th FLOOR, NIRMAN BHAWAN, NEW DELHI-110108
PHONE : EPABX-011-23063800, 23063802
visit website : www.dcmsme.gov.in **Last Date 31st July, 2013**

NATIONAL AWARDS - 2012
SCHEME FOR RESEARCH AND DEVELOPMENT
IN MICRO, SMALL AND MEDIUM ENTERPRISES (MSME)

1. OBJECTIVES

The Micro ,Small and Medium Enterprises (MSMEs) in India have undergone a vast development in the last five decades. The MSMEs have registered tremendous growth as also the progress in terms of quality production, exports, innovation, product development and import substitution, very much beyond the expected objectives of setting up MSMEs by the planners of industrial production base in the country. Entrepreneurial efforts have made it possible to produce number of items, which hitherto were imported. In quite a few cases new variants so produced are having additional attributes than their original versions and are capable of solving a multitude of user problems.

This all has become possible to encourage wuch in-house R&D efforts and promote this spirit in larger interest of qualitative development of MSMEs with a view to recognise their effort and contribution.

2. AWARDS

The awards will be of following categories, details of which are as under .

i. National Award For Research and Development in Micro & Small Enterprises

1. First National Award: Rs.1,00,000/- Cash Prize, Certificate and a Trophy.
2. Second National Award: Rs.75,000/- Cash Prize, Certificate and a Trophy.
3. Third National Award: Rs.50,000/- Cash Prize, Certificate and a Trophy.

ii. National Award For Research and Development in Medium Enterprises

1. First National Award: Rs.1,00,000/- Cash Prize, Certificate and a Trophy.
2. Second National Award: Rs.75,000/- Cash Prize, Certificate and a Trophy.
3. Third National Award: Rs.50,000/- Cash Prize, Certificate and a Trophy.

3. PERIODICITY & ELIGIBILITY

The Awards will be given for every calendar year to deserving entrepreneurs managing Micro, Small & Medium Enterprises have permanent SSI registration /have filed Entrepreneurs Memorandum Part II with the authorities notified by respective State Governments/UT Administration in accordance with the provisions

contained in the Micro, Small and Medium Enterprises Development (MSMED) Act 2006, which came into force on 2nd October, 2006. The MSMEs should have been in continuous production/services for last three years.

4. CRITERIA

The evaluation for Award is to be done on the basis of and on the Criteria & Performa for Evaluation and Awarding Marks (Form Z) specifically designed for the purpose. The critical areas include:

- (i) Nature of R&D.
- (ii) Growth rate of Annual Sales and profit of R&D Products/Services
- (iii) Obtaining ISO-9000 Series/14000/22000 /HACCP/GMP / equivalent certification
- (iv) Patents/design/ obtained or applied for
- (v) Technology involved
- (vi) R&D in House Facilities approved by DSIR
- (vii) Whether R&D (product/process) is eco-friendly
- (viii) Persons engaged in R&D & their qualifications
- (ix) Export Growth
- (x) Energy Conservation
- (xi) Providing Services after Sales
- (xii) Import Substitution
- (xiii) Future R&D Plan

5. COMPOSITION OF STATE LEVEL SELECTION COMMITTEE (SLSC)

The State Level Selection Committee will consist of ---

- (i) The Secretary, Department. of Industries of State/U.T.-Chairman
- (ii) State Director of Industries, Member
- (iii) Director, Council of Scientific & Industrial Research (CSIR) Laboratory of the State/ neighboring region, Member .
- (iv) Director, National Productivity Council of the State , Member .
- (v) Director of the Regional /Govt. Engg. College ,Member
- (vi) Scientist in-charge of Poly-technology Transfer Centre in the State, Member
- (vii) Representative of State Level Small Industries Association, Member
- (vii) Director, Micro, Small & Medium Enterprises - Development Institute, Member Convener

5.1 State Level Selection Committee after proper screening is to select eligible MSME in order of merit for the consideration of the National Level Selection Committee. Recommendations made by the State/UT Level Selection Committee that do not conform to the above stipulation will not be considered. MSME should be assessed based on the data/information submitted by the entrepreneur after verification.

5.2 For the purpose of evaluation by the State/UT Level Selection Committee, the Evaluation for awarding marks (Form Z) is enclosed. The recommendations of the State/UT Level Selection Committee should also accompany the break-up of marks on Form Z (duly completed).

5.3 Minimum qualifying marks as per criteria for consideration by the National Level Selection Committee for any type of Award will be 60 percent. There will be no bar for an Awardee to be nominated or considered for a higher Award in the subsequent year(s). The Awardees should not be nominated or considered for the same or lower Award in the subsequent 5 year(s).

5.4 State/UT Level Selection Committee while recommending the names for National Awards would institute such inquiries as may be necessary to satisfy themselves that the entrepreneur has been abiding by all statutory requirements in vogue, is maintaining the proper documentation and is also not involved in any economic/other offence for which enquiry/legal action is pending. The MSME status of the enterprise for the Award year be specifically verified and certified keeping in view the investment limit permissible in Plant & Machinery as also other norms in vogue and in accordance with the provisions contained in the Micro, Small and Medium Enterprises Development (MSMED) Act, 2006, which has since come into force from 2nd October, 2006.

5.5 A Committee consisting of the representative of Director, MSME-DI and a representative of the Directorate of Industries of the State/U.T. may visit the MSME to verify (on behalf of Selection Committee) the information furnished in the application form including details of technology, performance, quality, MSME status, growth rate/trend etc. and prepare a report for consideration of SLSC while finalising its recommendations.

5.6 State Level Selection Committee may send original copy of application duly recommended by alongwith evaluation of marks as per criteria format (duly completed) to the office of the Development Commissioner (MSME), Ministry of MEME, Govt. of India, 7th Floor, A-Wing, Nirman Bhawan, New Delhi-110108, latest by **14th August, 2013**.

6. COMPOSITION OF NATIONAL LEVEL SELECTION COMMITTEE(NLSC)

The National Level Selection Committee will consist of ---

- (i) Additional Secretary & Development Commissioner, (MSME), Ministry of MSME, Govt. of India.--Chairman
- (ii) Two Secretaries, Department of Industries of State Govt to be nominated by Govt. of India. - Member
- (iii) Director General, National Productivity Council or his nominee, Member
- (iv) Director General, Council of Scientific & Industrial Research(CSIR)or his nominee, Member
- (v) Secretary, Department of Science & Technology (DST), or his Nominee Member
- (vi) Managing Director, National Research Development Corporation (NRDC), or his nominee, Member
- (vii) Dean, Indian Institute of Technology (IIT) New Delhi. or his nominee, Member
- (viii) Managing Director, Small Industries Development Bank of India(SIDBI). or his nominee , Member
- (ix) President, Laghu Udyog Bharti , Member

- (x) President, Federation of Associations of Small Industries of India(FASII), Member
 - (xi) Additional Development Commissioner O/o DC(MEME)- Member Convener
- NLSC will select the awardees on the basis of merit and its decision will be final.

7. METHODOLOGY

For purposes of selecting MSME for consideration for awards, the following procedure will be observed :-

- (i) The eligible Enterprises will send their nominations in the prescribed Performa in duplicate (with original only on the prescribed form) to Director, MSME-DI of the State where their MSMEs is registered/have filed Entrepreneurs Memorandum (EM)-Part-II.
- (ii) State Level Selection Committee will select MSME for the Award-2012 and award marks on the Criteria proforma (**Form Z**) enclosed.
- (iii) The recommendations of the SLSC received without break-up of marks on Form Z and those on Application form will not be considered by the National Level Selection Committee.
- (iv) The applications will further be scrutinized by the technical group of the office of the DC(MSME) for evaluating the mark for submitting before NLSC for selecting the awardees
- (v) Qualifying marks as per criteria for consideration by the National Level Selection Committee will be 60%.

8. PRIVILEGE

The Award winners are given second AC sleeper class Railway fare for to and fro journey performed by them by shortest route from location of the enterprise and daily allowance as per rules to attend the award function. The winners of the awards shall have the privilege of allowing their employees to wear labels, pins, ties or other distinctive badges with the symbol of the Awards indicating the year of Award inscribed on it. The entrepreneurs can also use the symbol on their letterheads or any advertisement issued along with the year of the award. The amount of cash prize received by winners is exempted under section 10(17) of Income Tax Act 1961.

9. TO WHOM TO APPLY

The eligible enterprises will send their nominations in the prescribed Performa in duplicate to Director, MSME-DI of the State where their MSME is registered/have filed Entrepreneurs Memorandum. The application could also be routed to Convener through Director of Industries of State/General Manager, District Industries Centre by ensuring that it reaches to the Convener by the last date of submission of application ie. **31st July, 2013**.





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NATIONAL AWARDS - 2012
APPLICATION FORM FOR RESEARCH AND DEVELOPMENT
IN MICRO, SMALL AND MEDIUM ENTERPRISES (MSME)

(Application Form to be submitted in duplicate
Original for DC (MSME) and duplicate for MSME-DI)

Last Date : 31st July, 2013
N.B. : Original or downloaded
Application Form in same colour should only be used.
Application Fee Rs. 250/- (General category)
Rs. 125/- (SC/ST category)
(through Demand Draft only drawn in
favour of 'Pay & Accounts Officer (MSME)
payable at New Delhi

IMPORTANT

1. Please carefully read instructions given in the application form, before fillings up the same. Application is liable to be rejected if deviation from instructions are noticed.
2. The completed application form in original or downloaded on same colour paper in duplicate alongwith Annexures etc. be submitted to Director, MSME-DI (formerly SISI) located in the State.
3. All the claims should be supported with documents/reports/certificates/notifications/ Photos etc.
4. Each & every document should be given page no. and properly tagged/perfect binding/ spiral binding alongwith Application Form.

(Application Form to be submitted in duplicate)

PART-I

Please affix one passport size photo and attach two extra in a plastic cover. Write your name on the back of the extra photos.

To
The Director,
MSME-DI (formerly SISI)

1. Name of Entrepreneur (Both in Hindi - Devanagri and English - Roman Script)

(Hindi): -----

(English): -----

2. Name and address of Enterprise

(Hindi): -----

जिला ----- राज्य ----- पिनकोड -----

(English): -----

District ----- State -----

Pin Code -----

STD Code & Telephone Numbers :

Tel. (O) : -----

Tel. (R) : -----

Mobile No. : -----

Fax No. -----

E-mail -----

3. Details of Demand Draft submitted
 - (a) DD No. & Date
 - (b) Name, address of Issuing Branch
 - (c) Amount

Note : Please write on the back of Demand Draft enterprise's name, address & the Scheme of National Award for which the Draft is submitted. Enclose a photo copy of the Demand Draft also.

4. Date of Birth :

d	d	m	m	y	y		years
						Age (in years)	

5. Whether the Entrepreneur belongs to SC/ST? YES / NO
 If yes, attach certificate **Enclose as Annexure-1**

6. Educational/Professional Qualification of Entrepreneur
 (if required use separate sheet and attach the documentary proof) **Enclose as Annexure-2**

7. Type of Enterprises Please (✓) Mark : (Micro / Small / Medium)
 (as on 31 March 2012)

8. Permanent MSME Registration No. / E.M.No. of Enterprise: **Enclose as Annexure-3**
 (Enclose copy of Certificate)

(a) Number :													
(b) Date :													

9. Date of Commencement of production/Services. -----

10. Name of R&D Products (Enclosed Photos/Leaflets also): **Enclose as Annexure-4**

11. Enclose photo of Front View of Building of Enterprise showing name Board etc. **Enclose as Annexure-5**

12. Have you ever been awarded R&D Award earlier by this Ministry, Yes/No
 if yes, please give the name and year of Award. Enclose copy of certificate **Enclose as Annexure-6**

13. Please give an affidavit on non-judicial stamp paper duly attested by Notary that you have cleared your income tax dues.

Enclose as Annexure-7

Please give an affidavit on non-judicial stamp paper duly attested by Notary that Enterprise/entrepreneur is not involved in any Economic or other offence for which legal action/enquiry is pending.

Enclose as Annexure-8

Note : Please enclose all the documents Valid for the period from 1st April, 2009 to 31st March, 2012. (2009-10, 2010-11 & 2011-12)

All the claims should be supported with documents/reports/certificates/notifications/Photos etc.

Part-II

Items	2009-10	2010-11	2011-12
Original investment in Plant & Machinery/ Equipment(Rs. in lakh) cumulative upto 31 st March			
No. of Employees as on 31 st March			
(i) Technical & Scientific			
(ii) Others			
Value of Annual Sales of Products/Services/ Job Work(Rs.in lakh)			
Net Profit (after taxes) (Rs. in lakh)			
Export-Direct /(Rs.in lakh)			
R & D Expenditure (Rs. in Lakh)			
(i) Investment in Plant & Machinery & Equipment for R & D			
(ii) Recurring R & D expenditure			

Enclose Audited Balance Sheet for each year. Above figures should be highlighted in balance sheet.

Enclose as Annexure-9

1. Details of Research and Development -

Please explain whether R & D is product development or process / design development. What exactly, is novel about your R & D ?

(Please enclose a write-up on your above mentioned R & D work indicatngs steps of evolution in-house R & D efforts including need for R & D)

Enclose as Annexure-10

2. Give the investment of total plant machinery/equipment certified by C.A. for each year
Enclose as Annexure-11
3. Whether Enterprise has in house R&D facilities approved by DSIR/ if yes, **Enclose as Annexure-12**
give documentary evidence
4. Additional investment made in R&D Plant, Machinery & equipment, give **Enclose as Annexure-13**
details like name of plant/M/c & Equipments and investment in three years.
5. Please give the details of the annual sales of products / process of last 3 years certified by Chartered
Accountant. **Enclose as Annexure-14**
6. Please give the details of the net profit (after taxes) of products of last 3 years certified by Chartered
Accountant. **Enclose as Annexure-15**
7. Give the details of Recurring R&D expenditure for last three years **Enclose as Annexure-16**
certified by CA
8. No. of persons engaged in R&D (Scientific & Technical & others) **Enclose as Annexure-17**
(a) Full time
(b) Part time and
(c) Outside (consultant)(Please give the documentary evidence)
9. Qualification as on 31.03.2012 of the R&D personnel associated with **Enclose as Annexure-18**
achievements made by him/her in the R&D (attach certificate of qualifications)
10. Is your enterprise certified for ISO-9000/14000/18000/22000/HACCP/GMP/other equivalent
Certification? If yes, give details and attach documentary proof, (for the period 2009-2010, 2010-2011
& 2011-12) **Enclose as Annexure-19**
11. Details of patents/designs/copyrights obtained or applied for
as on 31.03.2012 (attach the certificate/documentary evidence) **Enclose as Annexure-20**
12. Please give detail, whether technology involved in R&D is a completely new technology or new
combination of existing technology (attach the certificate/documentary evidence)
Enclose as Annexure-21
13. Whether R&D products are Imports substitution ? (attach the certificate/documentary evidence)
Enclose as Annexure-22
14. Whether R&D conserves energy? If yes, give details with supporting documents.
Enclose as Annexure-23
15. Please give details, whether R&D is eco-friendly. Please attach documentary evidence.
Enclose as Annexure-24
16. Status of R&D Effort (Please specify in detail) **Enclose as Annexure-25**
Whether :
(i) Prototype stage only
(ii) Successfully developed
(iii) Commercialized
please give details and attach the documentary evidence.

17. Do you provide services after sales? If yes, give details with supporting documents.

Enclose as Annexure-26

18. Whether you have exported products directly during the years 2009-10, 2010-11 & 2011-12 – Yes/No.
If yes, give details with supporting documents.

Enclose as Annexure-27

19. Are you direct exporter? If yes, give details of last 3 years duly supported with documentary evidence and country to whom exported. In case due to specific product / supplies to strategic organization i.e. Defense etc. where export not permissible, please give the details of the last 3 years products supplied to Strategic Organization. Please give details and attach the documentary evidence.

Enclose as Annexure-28

Year	Value of Products Exported/Supplied to Strategic Organizations (Rs./lakh)	Name of Products
2009-10		
2010-11		
2011-12		

20. Do you maintain customers satisfaction and feed back report related to R&D products? If yes, give details with supporting documents.

Enclose as Annexure-29

21. Do you have any future R&D plan/vission? If yes, give details with supporting documents. Give roadmap for continuous R&D efforts in organization. Other R&D undertaken / under pipelines.

Enclose as Annexure-30

22. Strategic Initiatives

Enclose as Annexure-31

(i) Whether any initiatives have been taken to transform the enterprise to meet the change in business environment in next 3 years through R&D, if yes, give details

23. Please give write up of not more than 300 words about yourself, your enterprise and the products(s) manufactured/service(s) rendered by indicating your achievements to justify as to why your application deserves to be considered for the award.

Enclose as Annexure-32

I certify that the above information furnished by me is correct. I undertake to refund the cash prize, return the trophy and certificate, if awarded to me, in case it is ever found that the information furnished above was incorrect. Further I may also be liable for any action under the law of the land for any false declaration.

**SIGNATURE OF THE ENTREPRENEUR
SEAL OF THE ENTERPRISE**

Place :

Date :

Addresses of MMSE-DIs where Application Forms of National Award to be submitted

S. No.	State	Address	Telephone No.
1.	Andhra Pradesh	Director, MSME-DI, Narsapur Cross Roads, Bala nagar, Hyderabad-500037	Ph :040-23078857, (Tel. Fax) 040-23078131/32/33 dcdi-hyd@dcmsme.gov.in
2.	Assam	Director, MSME-DI, Industrial estate Bamuni Maidan, Guwahati -781 021.	Ph :0361-2550052, 2550073 Fax :0361-2550298 dcdi-guwahati@dcmsme.gov.in
3.	Arunachal Pradesh	Director, MSME-DI, Apidfc building, 'C' sector, Itanagar -791111.	0360-2291176, brsisiitanagar@yahoo.co.in
4.	Andaman & Nicobar Islands	Director, MSME-DI, VIP Road, Jungle Ghat, Post box no.547, Portblair-744103	Ph : 03192-252308
5.	Bihar	Director, MSME-DI, Goshala Road, P.o. Ramna, Muzaffarpur-842 002.	Ph :0621-2282486, Fax:- 2284425 dcdi-mzfpur@dcmsme.gov.in
		Director, MSME-DI, Patliputra Industrial, Estate, Patna -800 013.	Ph : 0612-2262719, 0612-2262186 0612- 2262208, Fax :0612-2261677 dcdi-patna@dcmsme.gov.in
6.	Chhattisgarh	Director, MSME-DI, Near urkala railway station, Girgaon, Raipur	Ph :0771-2102700 dcdi-raipur@dcmsme.gov.in url:-www.msmediraipur.com
7.	Dadra & Nagar havelli	Director, MSME-DI, Masat Industrial Estate, Silvassa-396230	0260-2640933,2643103 brdcdi-silv@dcmsme.gov.in
8.	Delhi	Director, MSME-DI, Okhla Industrial Estate, New Delhi -110 020.	Ph :011-26847223,26838118/269 Fax :011-26838016 dcdi-ndelhi@dcmsme.gov.in
9.	Goa	Director, MSME-DI, Opp. Konkan railway station. (Kepem Road), P.O.Box 334, Margao-403601	Ph :0832-2705092/93,2725979 Fax :0832-2705094 dcdi-go@dcmsme.gov.in
10.	Gujarat	Director, MSME-DI, Harsiddh chamber, 4 th floor, Ashram Road, Ahmedabad-380014	Ph :079-27540619 , 079-7544248 079-7543147 dcdi-ahmbad@dcmsme.gov.in
11.	Haryana	Director, MSME-DI, Industrial Development colony, Near ITI, Kunjpura Road, Karnal -132 001.	Ph :0184-2230910 Fax :0184-2231862 dcdi-karnal@dcmsme.gov.in
12.	Himachal Pradesh	Director, MSME-DI, Electronics Complex Chambaghat, Solan -173213.	Ph :01792-230766, Fax :01792-230265 dcdi-solan@dcmsme.gov.in
13.	Jammu & Kashmir	Director, MSME-DI, Digiana Industrial Estate Jammu -180 004.	Ph :0191-2431077 Fax :0191-2450035 dcdi-jammu@dcmsme.gov.in
14.	Jharkhand	Director, MSME-DI, 3rd Floor, (RIADA), Numkum Industrial Area, Samlong, Ranchi -834010.	Ph :0651-2544161/392 Fax :0651-2544743 dcdi-ranchi@dcmsme.gov.in
15.	Karnataka	Director, MSME-DI, Rajaji nagar, Industrial Estate Bangalore -560 044.	Ph : 080-23151540/582/583 Fax :080-23144506 dcdi-bang@dcmsme.gov.in
		Director, MSME-DI, Industrial Estate, Gokul Road,Hubli -580 030	Ph :0836-2332334/2330589/2335634 Fax :0836-2330389 dcdi-hubli@dcmsme.gov.in url : www.sisihubli.com
16.	Kerala	Director, MSME-DI, Kanjany Road,,A yyanthole, Thrissur -680 003.	Ph :0487-2360216/686 Fax :0487-2360216 dcdi-thrissur@dcmsme.gov.in

S. No.	State	Address	Telephone No.
17.	Lakshadweep	Director, MSME-DI, Nucleus cell, Amini island, Lakshadweep-682552	04897-273345 brdcdi-laks@dcmsme.gov.in
18.	Madhya Pradesh	Director, MSME-DI, 10, industrial estate, polo, ground, Indore -452 003	Ph :0731-2420723 /2421048 dcdi-indore@dcmsme.gov.in
19.	Maharashtra	Director, MSME-DI, Kurla Andheri Road, Saki Naka, Mumbai -40072	Ph.:022-28576090/28573091/28579092 Fax:022-28570663 dcdi-mumbai@dcmsme.gov.in
		Director, MSME-DI, C- Block, CGO Complex, seminary hill,, Nagpur -440 006.	0712-2511985/2510352 dcdi-nagpur@dcmsme.gov.in
20.	Manipur	Director, MSME-DI, C-17/18, Takyelpat Industrial Estate, Imphal -795 001.	Ph :0385-2449096 / 2449096(fax) dcdi-imphal@dcmsme.gov.in
21.	Meghalaya	Dy.Director, MSME-DI, Lower lachimiere, Shilong-793001	0364 2223349 brdcdi-shil@dcmsme.gov.in
22.	Mizoram	Dy. Director, MSME-DI, Upper Republic Road, Aizwal	0389-2323448 brdcdi-aizw@dcmsme.gov.in
23.	Nagaland	Dy. Director, MSME-DI, Industrial Estate, Dimapur-795001, Nagaland	03862-248552 brdcdi-dima@dcmsme.gov.in
24.	Odisha	Director, MSME-DI, Vikas Sadan, College square, Cuttack -753 003.	Ph :0671-2548006/077/049 Fax :0671-2611958 dcdi-cuttack@dcmsme.gov.in
25.	Punjab/ Chandigarh	Director, MSME-DI, Industrial Area -B, Ludhiana -141 003	Ph :0161-2531733/735, Fax :0161-2533225 dcdi-ludhiana@dcmsme.gov.in url : www.msmedildh.gov.in
26.	Rajasthan	Director, MSME-DI, 22, Godown, Industrial Estate, Jaipur-302 006.	Ph :0141-2212098/3099/ 0553 Fax :0141-2210553 dcdi-jaipur@dcmsme.gov.in
27.	Sikkim	Director, MSME-DI, Tadong housing colony, P.o. Tadong,Gangtok -737102	Ph :03592-231262 /880 Fax :03592-231262 dcdi-gangtok@dcmsme.gov.in
28.	Tamil Nadu	Director, MSME-DI, 65/1,GST Road, Guindy, PB- 3746, Chennai -600 032	Ph :044-22501011 , 044-22501475 044-22501785, Fax :044-22541014 dcdi-chennai@dcmsme.gov.in url : www.msmedichennai.com
29.	Tripura	Director, MSME-DI, 21,Harish Thakur road, Agartala -799001	Ph :0381-2322640, Fax :0381-2326570 dcdi-agartala@dcmsme.gov.in Url:- www.tripura.nic.in/msmediagartala
30.	Uttar Pradesh	Director, MSME-DI, 107, industrial estate, Kalpi road, Kanpur -208 012.	Ph :0512-2295070 , 0512-2295071 0512-2295073, Fax :0512-2220831 dcdi-kanpur@dcmsme.gov.in
		Director, MSME-DI, 34, Industrial Estate, Nunhai, Agra -282 006.	Ph :0562-2280879, Fax :0562-2280882 dcdi-agra@dcmsme.gov.in
		Director, MSME-DI, E-17/18, Industrial estate, Naini, Allahabad -211 009.	Ph :0532-2697468/6810 Fax :0532-2696809 dcdi-allbad@dcmsme.gov.in
31.	Uttrakhand	Director, MSME-DI, Kham Bungala , campus,kaladungi Road, Haldwani -263139.	Ph :05946-228353 Fax :05946-221053 dcdi-haldwani@dcmsme.gov.in
32.	West Bengal	Director, MSME-DI, 111 & 112, B.T. Road, Kolkata -700 035.	Ph :033-25770595/598 Fax :033-25775531 dcdi-kolkatta@dcmsme.gov.in

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NATIONAL AWARDS - 2012
FOR RESEARCH & DEVELOPMENT
IN MICRO, SMALL AND MEDIUM ENTERPRISES

(Form "Z" Criteria & Performa for Evaluation and Awarding Marks)

Note: For Evaluation and awarding marks, achievements for the period from 1st April 2009 to 31st March, 2012 ie, 2009-10, 2010-11 & 2011-12 or as specified in the application form for all points should only be considered. Marks should be awarded on the basis of documentary evidence.

- A. Name of the Enterprise** _____
- B. Products** _____
- C. Type of Enterprise (Micro or Small or Medium)** _____
- D. State** _____

S. No.	Parameters for Awarding Marks	Maximum Marks	Marks allotted by State Level Selection Committee	Marks suggested by Technical Division	Brief comments
(1)	(2)	(3)	(4)	(5)	(6)
1.	Whether R&D is (Ref. Annex- 10)	4			
	(i) Product development - 4 Marks				
	(ii) Process / Design Development-2 Marks				
2.	Percentage of Investment in R&D Plant & Machinery/equipment of total Plant & Machinery/ equipment (Mark best of any year) (Ref. Annex- 11)	4			
	(i) above 4%- 4 marks				

	(ii) 2-4 %- 3 marks				
	(iii) less than 2% - 2 marks				
3	Whether enterprise has in- house R&D facilities approved by DSIR (Ref. Annex- 12)	5			
	(i) Yes- 5 marks				
	(ii) others- 3marks				
4.	Growth rate of Investment in Plant & Machinery (Ref. Annex- 13)	3			
	(i) Rising - 3 Marks				
	(ii) Stable or 10% of base year-- 2 Marks				
	(iii) Erratic-1 Mark				
	(iv) Falling-0 Mark				
5	Growth rate of Annual sales of 3 years (Ref. Annex-14)	8			
	(i) Average growth rate up to 10%- 2 Marks				
	(ii) Average growth rate above 10% to 20%- 4 Marks				
	(iii) Average growth rate above 20% to 30%- 6 Marks				
	(iv) Average growth rate above 30%- 8 Marks				
	(v) No growth - 0 mark				
6	Growth rate of Net Profit (after Taxes) of 3 years (Ref. Annex-15)	8			
	(i) Average growth rate up to 10%- 2 Marks				
	(ii.) Average growth rate above 10% to 20%- 4 Marks				
	(iii) Average growth rate above 20% to 30%- 6 Marks				
	(iv) Average growth rate above 30%- 8 Marks				
	(v) No growth - 0 mark				
7	Percentage of Recurring R&D Expenditure of annual turn over (Mark best of any year) (Ref. Annex-16)	4			
	(i) above 4%-4 marks				

	(ii) 0.5 to 4 % -3 Marks				
	(iii) less than 0.5%-1 marks				
8	No. of persons engaged in R&D (Scientific and Technical) (Mark best of any year) (Ref. Annex-17)	5			
	(i) Full Time 5 and above - 5 Marks				
	(ii) Full Time less than 5 - 3 Mark				
	(iii) Part Time/ Outside Consultant - 2 Mark				
9	Qualification of the R&D personnel (as on 31st March, 2011) associated with achievements made by him/her (Mark best of any year) (Ref. Annex-18)	4			
	(i) Graduate Engineer/Post Graduate and above -4Marks				
	(ii) Others - 2 Marks				
10	Obtaining ISO-9000 Series/14000/22000 /HACCP/ GMP / equivalent certification - (Marks any one of may be given 3 years ie. 2008-09, 2009-10 &2010-11) (Ref. Annex- 19)	5			
	(i) 3years and above-5 Marks				
	(ii) less than 3years - 3 marks				
11	Details of patents/design/ obtained or applied for (as on 31st March,2011) Award marks for any one of (i)and(ii) applicable Note: In case due to specific product /supplies to strategic organizations (viz. Defense etc. where obtaining patents not permissible, full marks may be awarded) (Ref. Annex-20)	7			
	(i) Obtained - 7 Marks				
	(ii) Applied for - 4 Marks				
	(iii) No initiative- 0 Mark				
12.	Technology involved in R&D (Ref. Annex-21)	4			
	(i) Completely new Technology -4 Marks				
	(ii) New combination of existing Technology - 2 Marks				

13	Whether R&D Products are Import Substitution- 2 Marks (Ref. Annex-22)	2			
	i. Yes, with supporting documents - 2Marks				
	ii. No- 0 Mark				
14	Whether adopted the measures of energy conservation - (Ref. Annex-23)	3			
	i. Yes, with supporting documents - 3Marks				
	ii. No- 0 Mark				
15	Whether R&D (product/process) is eco-friendly - 3 Marks (Ref. Annex-24)	3			
	i. Yes, with supporting documents - 3Marks				
	ii. No- 0 Mark				
16	Whether R&D Effort NB: Award marks for anyone of the (i),(ii) and (iii) (Ref. Annex- 25)	10			
	(i) Prototype stage only-5 Marks				
	(ii) Successfully Developed - 7 Marks				
	(iii) Commercialized - 10 Marks				
17	Providing services after sales during period (Ref. Annex-26)	2			
	i. Yes, with supporting documents - 2Marks				
	ii. No- 0 Mark				
18	Exports of R&D developed products during year 2008-09, 2009-10 & 2010-11 - Note: In case due to specific product /supplies to strategic organizations (viz. Defence etc. where exports not permissible, full marks may be awarded) (Ref. Annex- 27)	3			
	(i) 3 years export - 3Marks				
	(ii)) 2 years export -2Marks				
	(iii) 1 year export- 1 Mark				
	(iv) No export - 0 Marks				

19	Value of Exports (Direct) during the period. Note: In case due to specific product /supplies to strategic organizations (viz. Defense etc. where exports not permissible, marks may be awarded on the basis of average growth rate of supply to strategic organizations. (Ref. Annex- 28)	8			
	(i) Average growth rate up to 10%- 2 Marks				
	(ii.) Average growth rate above 10% to 20%- 4 Marks				
	(iii) Average growth rate above 20% to 30%- 6 Marks				
	(iv) Average growth rate above 30%- 8 Marks				
	(v) No growth - 0 mark				
20	Customers satisfaction and feed back report related to R&D products (Ref. Annex-29)	2			
	i. Yes, with supporting documents - 2Marks				
	ii. No- 0 Mark				
21	Future R&D Plan/Vission (Vission to develop the products / process in future (Ref. Annex- 30)	3			
	(i) Excellent with supporting documents-3 marks				
	(ii) Good -2 marks				
	(iii) No such initiatives taken -0 marks				
22	Strategic Initiatives (Strategic initiatives taken to transform the enterprise to meet change in business environment in next 3 years though R&D) (Ref. Annex-31)	3			
	(i) Excellent with supporting documents-3 marks				
	(ii) Good -2 marks				
	(iii) No such initiatives taken -0 marks				
	Total	100			

Primary consideration while awarding marks should be that

- Gradual evolution of R&D effort as distinctly varied from normal production should only get suitably recognized/ awarded.**
- In-house R&D effort if established should only get recognized.**
- Use of resources and achievement on successful commercialization are suitable rewarded only if these relate to products improvised by the R&D effort.**

Example : Average growth rate = Ist year II year III year
Rs. 10.00 Lakh Rs. 12.00 Lakh Rs. 20.00 Lakh

$$\text{Growth rate I to II year} = (12 - 10) \frac{2 \times 100}{10} = 20\%$$

$$\text{Growth rate II to III year} = (20 - 12) \frac{8 \times 100}{20} = 40\%$$

$$\text{Average growth rate} = \frac{20 + 40}{2} = 30\%$$

2

Signature
Name and Designation of
Marks Evaluation Officer
of MSME-DI/ DC(MSME)

RECOMMENDATIONS OF THE STATE/UT LEVEL SELECTION COMMITTEE (SLSC)

Name of the enterprise : -----

State : -----

Marks Awarded out of 100	
Position in order of merit in case more than one unit is being recommended from the State/UT	

Recommendation :- Certified that M/s is a Micro or Small or Medium Enterprise duly registered with State Directorate of Industries/have filed EM and is located at We have gone through the submissions made by the entrepreneur and after thorough scrutiny have found it to be a fit case for consideration by the National Level Selection Committee for National Award for Micro, Small & Medium Enterprise. Further that the entrepreneur/his Enterprise is not involved in any case of economic or other offence for which enquiry/ legal action is pending.

Name & Address of the Members	Designation	Recommended	Signature
	Chairman		

Note: Status of MSMEs will be considered in accordance with the provisions contained in the Micro, Small and Medium Enterprises Development (MSMED) Act. 2006, which has since come into force from 2 October 2006.