

GOVERNMENT OF INDIA
MINISTRY OF MICRO, SMALL AND MEDIUM ENTERPRISES
OFFICE OF THE DEVELOPMENT COMMISSIONER (MSME)
7th Floor, Nirman Bhavan, New Delhi-110108

NATIONAL AWARDS - 2009
FOR RESEARCH & DEVELOPMENT EFFORTS
IN MICRO, SMALL AND MEDIUM ENTERPRISES

1. For use by SLSC/
NLSC only

Form "Z" Criteria & Proforma for Evaluation and Awarding Marks

Note: For Evaluation and awarding marks , achievements for the period from 1 April 2006 to 31 March, 2009 ie 2006-07, 2007-08 &2008-09 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. TRADE
C. TYPE OF ENTERPRISE
D. STATE

S. No.	Criteria 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	5			
	(i) Product development – 5 Marks				
	(ii) Process / Design Development-3 Marks				
2.	Percentage of Investment in R&D Plant & Machinery/equipment of total Plant & Machinery/equipment(Mark best of any year)	5			
	(i) above 4%- 6 marks				

	(ii) 2-4 %- 4 marks				
	(iii) less than 2% - 2 marks				
3	Whether enterprise has in- house R&D facilities approved by DSIR	5			
	(i) Yes- 5 marks				
	(ii) others- 3marks				
4.	Investment in Plant & Machinery	3			
	(i) Rising – 3 Marks				
	(ii) Stable or $\pm 10\%$ of base year – 2 Marks				
	(iii) Erratic-1 Mark				
	(iv) Falling-0 Mark				
5	Employment	5			
	(i) Rising -5 Marks				
	(ii.) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic -2 Mark				
	(iv) Falling-0 Mark				
6	Annual Sales of Products/ Services/Job work	5			
	(i) Rising – 5 Marks				
	(ii) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic – 2 Mark				
	(iv) Falling-0 Mark				
7	Net Profit (after Taxes)	5			
	(i) Rising - 5 Marks				
	(ii.) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic- 2 Marks				
	(iv) Falling-0 Mark				

8	Percentage of Recurring R&D Expenditure of annual turn over (Mark best of any year)	5			
	(i) above 4%-5 marks				
	(ii) 0.5 to 4 % -3 Marks				
	(iii) less than 0.5%-1 marks				
9	No. of persons engaged in R&D(Scientific and Technical) (Mark best of any year)	5			
	(i) Full Time 5 and above – 5 Marks				
	(ii) Full Time less than 5 – 3 Mark				
	(iii) Part Time/ Outside Consultant – 2 Mark				
10	Qualification of the R&D personnel associated with achievements made by him/her(Mark best of any year)	5			
	(i) Graduate Engineers / Post Graduate and above – 5 Marks				
	(ii) Others – 3 Marks				
11	Obtaining ISO-9000 Series/14000/22000 / HACCP/GMP/equivalent certification – (Marks any one of may be given. 3 years ie.2006-07, 2007-08& 2008-09)	5			
	(i) 3years and above- 5 Marks				
	(ii) less than 3years – 3 marks				

12	Details of patents/design/ copyrights obtained or applied for (Award marks for any one of (i)and(ii) applicable) Note: In case due to specific product / supplies to strategic organizations (viz. Defence etc. where obtaining patents were not permissible full marks may be awarded)	7			
	(i) Obtained – 7 Marks				
	(ii) Applied for – 4 Marks				
13.	Technology	3			
	(i) Indigenous-3 Marks				
	(ii) Imported- 2 Marks				
14	Whether R&D Products are Import Substitution- 2 Marks	2			
15	Whether enterprise has adopted the measures of energy conservation – 3 Marks	3			
16	Whether R&D (product/ process) is eco-friendly – 3 Marks	3			
17	Whether R&D Effort NB: Award marks for anyone of the (i),(ii) and (iii)	10			
	(i) Prototype stage only- 5 Marks				
	(ii) Successfully Developed – 7 Marks				
	(iii) Commercialized – 10 Marks				

18	Providing services after sales during guarantee period	2			
19	Exports of R&D developed products during year 2006-07, 2007-08 & 2008-09 – 5 Marks Note: In case due to specific product /supplies to strategic organizations (viz. Defence etc.) where exports were not permissible full marks may be awarded)	5			
	(i) Rising/stable - 5 Marks				
	(ii) Erratic / Falling – 3 Marks				
20	Customers satisfaction and feed back report	2			
21	Leadership Abilities (Mark anyone)	5			
	(i) A plan in place to develop the enterprise as a cluster/ regional leader in product – 5 marks				
	(ii) Action initiated to adopt the state of the art system/ process in particular business area – 3 marks				
	(iii) No such initiatives taken – 0 marks				
22	Strategic Initiatives (Mark anyone)	5			
	(i) Strategic initiatives taken to transform the enterprise to meet change in business				

	environment in next five years. –5 marks				
	(ii) Vision developed to meet the emerging challenges in business –3 marks				
	(iii) No such initiatives taken – 0 marks				
	Total	100			

Primary consideration while awarding marks should be that

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

Signature of Members of State Level Selection Committee

Name	Designation	Office	Signature

**Signature
Name and Designation of
the officer of the DC (MSME)**