

**Government of India**  
**Ministry of Micro, Small and Medium Enterprises (MSME)**  
**Office of the Development Commissioner (MSME)**  
**7th Floor, Nirman Bhavan, New Delhi-110108**

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**SCHEME FOR NATIONAL AWARDS - 2010**  
**RESEARCH & DEVELOPMENT EFFORTS IN**  
**MICRO, SMALL AND MEDIUM ENTERPRISES (MSMEs)**

### 1. OBJECTIVE

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 such 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.

#### 1. National Award for Research & Development Efforts in Micro & Small Enterprises:

- (1) First National Award Rs. 1,00,000/- Cash Prize, a Certificate and a Trophy.
- (2) Second National Award Rs. 75,000/- Cash Prize, a Certificate and a Trophy.

#### 2. National Award for Research & Development Efforts in Medium Enterprises:

- (1) First National Award Rs. 1,00,000/- Cash Prize, a Certificate and a Trophy.
- (2) Second National Award Rs. 75,000/- Cash Prize, a Certificate and a Trophy.

#### 3. Special Recognition Award

MSMEs scoring marks above 80 percent and (50 percent in case of North Eastern Region including Sikkim) will be given Cash prize of Rs. 20,000/- each, a Certificate and a Trophy.

### 3. PERIODICITY & ELIGIBILITY

The Awards will be given for every calendar year to deserving entrepreneurs managing Micro, Small and 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 has since come into force from 2 October 2006. The MSMEs should have been in continuous production during last three years ie. 2007-08, 2008-09 & 2009-10.

#### 4. CRITERIA

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

- (i) Nature of R&D achievement.
- (ii) Infrastructure evolved for in-house R&D effort.
- (iii) Economic potential of the R&D project realized/expected in terms of resource utilization, import substitution, export, energy conservation, environmental protection, cost reduction and other advantages.
- (iv) Status of commercialization project developed.
- (v) Detail of patents/design copyright obtained or applied for.
- (vi) Societal impact/contribution.
- (vii) Growth trends of the MSMEs.
- (viii) No. of persons (Technical & Scientific) engaged in R&D activities and their qualification.
- (ix) Leadership Abilities.
- (x) Strategic Initiatives.

#### 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.                                                          | <b>Chairman</b> |
| (ii) Director of Industries of State/U.T.                                                                          | Member          |
| (iii) Director, Council of Scientific & Industrial Research (CSIR)<br>Laboratory of the State/neighbouring region. | Member          |
| (vi) Director, National Productivity Council of<br>the State.                                                      | Member          |
| (v) Director of the Regional/Govt. Engg. College                                                                   | Member          |
| (vi) Scientist in-charge of Polytechnology Transfer<br>Centre in the State                                         | Member          |
| (vii) Representative of State Level Small Industries<br>Association.                                               | Member          |
| (viii) Director, MSME-DI                                                                                           | Member Convener |

5.1 State Level Selection Committee after proper screening is to select eligible MSMEs in order of merit including at least one each from SC/ST and a woman entrepreneur 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. MSMEs 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 Criteria 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 and 50 percent in case of enterprise from SC/ST and NER including Sikkim There will be no bar for an Awardee to be nominated or considered for a higher Award in the subsequent year. 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 2 October 2006.**

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

5.6 The State Level Selection Committee may send its recommendations along with the applications to the Office of the Development Commissioner (MSME), Ministry of MSME, Govt. of India, 7th Floor, 'A' Wing, Nirman Bhawan, New Delhi-110108 latest by **2nd June, 2011**.

## **6. COMPOSITION OF NATIONAL LEVEL SELECTION COMMITTEE (NLSC)**

The National Level Selection Committee will consist of –

- |       |                                                                                                |          |
|-------|------------------------------------------------------------------------------------------------|----------|
| (i)   | Additional Secretary & Development Commissioner,<br>(MSME) Ministry of MSME, Govt. of India.   | Chairman |
| (ii)  | Two Secretaries, Department of Industries of State Govt.<br>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<br>(CSIR) or his nominee         | Member   |

(v) Nominee of the Secretary, Department of Science & Technology (DST)	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 (MSME)	Member Convenor

## 7. METHODOLOGY

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

- (i) The eligible Enterprises will send their nominations in the prescribed proforma in duplicate (with original/ downloaded only on the prescribed form) to Director, MSME-DI of the State where their MSMEs is registered/ have filed Entrepreneurs Memorandum (EM).
- (ii) State Level Selection Committee will select MSME for the Award- 2010 and award marks on the Criteria proforma (**Form Z**) enclosed.
- (iii) The recommendations of the State Level Selection Committee(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 (NLSC).
- (iv) The applications will further be scrutinized by the technical group of the office of DC(MSME) for evaluating the mark for submitting before National Level Selection Committee for selecting the awardees.
- (v) Qualifying marks as per criteria for consideration by the National Level Selection Committee will be 60% and (50% in case of NER including Sikkim).

## 8. PRIVILEGES

The Award winners are given second AC sleeper Class, Railway fare for to and fro journeys performed by them by the shortest route from the location of the unit and daily allowance as per govt. rules to attend the Award Function. The winners of the Award shall have the privilege of using the symbol of the Award in their letter heads and their employees can wear labels, pins, ties or other distinctive badges with Award symbol indicating the year of the Award. The amount of Cash Prize received by the Winners of the National Award 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 proforma 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 Director, MSME-DI through Director of Industries of State/General Manager, District Industries Centre but it should reach the Director MSME-DI by the last date submission of application **ie 2nd May, 2011.** (Visit Website:- [www.dcmsme.gov.in](http://www.dcmsme.gov.in))



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**7th Floor, Nirman Bhavan, New Delhi-110108**

**Last Date - 2nd May, 2011**  
**N.B. Original/Downloaded Application**  
**Form should only be used**  
**(Website: [www.dcmsme.gov.in](http://www.dcmsme.gov.in))**

**NATIONAL AWARDS - 2010**  
**RESEARCH & DEVELOPMENT EFFORTS IN**  
**MICRO, SMALL & MEDIUM ENTERPRISES (MSMEs)**

(Application Form to be submitted in duplicate)

**IMPORTANT**

1. Please carefully read instructions sheet attached at the end of 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.



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**Last Date: 2<sup>nd</sup> May, 2011**  
Application fee Rs. 250/- (General category)  
Rs. 125/- (SC/ST category)  
(Payable through Demand Draft only drawn in  
favour of Pay & Accounts Officer (MSME)  
payable at New Delhi)

**NATIONAL AWARDS - 2010**  
**RESEARCH & DEVELOPMENT EFFORTS IN**  
**MICRO, SMALL & MEDIUM ENTERPRISES (MSMEs)**

(Application Form to be submitted in duplicate)

Please affix one passport size photo and attach two extra in a plastic cover: write your name on the reverse of two extra photos

To  
The Director,  
MSME - DI (formerly SISI)

1. **Name of the Entrepreneur (in Hindi i.e. Devanagari script and English (Roman) script in CAPITAL Letters) Sh./Ms./Smt.**

In Hindi (Devanagari) :


In English (Roman)






4. Type of Enterprise as on (please ✓ mark)
- (i) Micro Enterprises engaged in manufacturing/rendering services
  - (ii) Small Enterprises engaged in manufacturing/rendering services
  - (iii) Medium Enterprises engaged in manufacturing/rendering services

5. Attach Brief Profile of the enterprise. **Enclose as Annexure-1**

**6. Date of birth of entrepreneur**

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

7. **Whether the Entrepreneur belongs to SC/ST** Yes/No  
**If Yes, attach certificate of Competent Authority** **Enclose as Annexure-2**

8. **Brief Profile of the entrepreneur** **Enclose as Annexure-3**

9. Permanent SSI Registration No. & Date (Enclose copy of Certificate) **Enclose as Annexure-4**

(a)

Number																		
Date																		

(b) Entrepreneurial Memorandum Part-II No. & Date (Enclose Certificate) **Enclose as Annexure-4a**

Number																		
Date																		

(c) Date of Commencement of production/Services. 

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(d) Also enclose photo of Front view of Building of Enterprise showing name Board etc. **Enclose as Annexure-4b**

10. **A. Product (s) manufactured/service (s) rendered by the enterprise.**  
**enclose photos/leaflets as** **Annexure-5**


**B. Product(s)/service(s) developed in-house for which R&D has been claimed**  
**enclose photos/leaflets as** **Annexure-5a**


**11. Technical & Financial Collaborations, if any :**

Year of collaboration	
Nature of Assistance provided by collaborator : Technical/Financial/ Marketing/Management	

(Enclose collaboration agreement)

**Enclose as Annexure-6**

**12. Details of the investment, employment, production & profit of the enterprise.**

Item	2007-08	2008-09	2009-10
*Original investment in Plant & Machinery (Rs. in Lakh) cumulative upto 31 <sup>st</sup> March			
No. of Employees as on 31 <sup>st</sup> March (i) Technical & Scientific			
(ii) others			
Value of Annual Sales of Product/ Job Work (Rs. in Lakh)**			
Net Profit (Rs. in Lakh)**			
R & D Expenditure (Rs. in Lakh) (i) Investment in Plant M/c, & equipment for R&D			
(ii) Recurring R&D expenditure			

\* Please refer to para 8 of the Instructions Sheet for filling up Form

\*\* Enclose Audited Balance Sheet for each year. Enclose details of Recurring R&D expenditure for each year.

**Enclose as Annexure-7**

**13. 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 certificate as Annexure-8**

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

**Enclose as Annexure-9**

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

**Enclose as Annexure-9a**

Note: Please enclose all the documents Valid for the period 2007-08, 2008-09 & 2009-10.

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

**14. Details of R&D Work involving**

Product/Design attributes/Process Modification/Innovative services

(Please enclose a write-up on your above mentioned R&D work indicating steps of evolution of in-house R&D efforts including need for R&D) **Enclose as Annexure-10**

**15. Need and objective for R&D work (please specify in detail using separate sheets) highlighting points mentioned below including :**

- (i) Names/Brand Names of competing products/process (indigenous/international) **Enclose as Annexure-11**
- (ii) Names of the customers **Enclose as Annexure-12**
- (iii) Comparison of technology/product/process, its competitive/qualitative advantage, benefits in usage, savings, cost, environmental protection, pollution/emission level, serviceability, ease in maintenance. **Enclose as Annexure-13**

**16. No. of persons engaged in R&D (Scientific & Technical & others) **Enclose as Annexure-14****

- (a) Full time
- (b) Part time and
- (c) Outside (consultant) (Please give the documentary evidence)

**17. Qualification of the R&D personnel associated with achievements made by him/her in the R&D (attach certificate of qualifications) **Enclose as Annexure-15****

**18. Details of patents/designs/copyrights obtained or applied for (attach the certificate/documentary evidence) **Enclose as Annexure-16****

**19. Societal relevance of the projects realized/expected to be realized in future with respect to :**

a. Resource utilization

	<u>Indigenous</u>	<u>Imported</u>
(i) Technology		
(ii) Raw material		
(iii) Machinery		

- Whether R&D products are **Enclose as Annexure 17**
- b. Import substitution **— Enclose as Annexure 18**
- c. Measures of energy conservation adopted by the unit **— Enclose as Annexure 19**
- d. Impact of R&D (product/process) in Conservation of energy **— Enclose as Annexure 20**
- e. Measures of environmental protection adopted by the unit **— Enclose as Annexure 21**

- f. Impact of R&D (product/process) in environmental protection/eco-friendly. — **Enclose as Annexure 22**
- g. Price competitiveness/Price reduction — **Enclose as Annexure 23**
- h. Export potential of the product/process developed — **Enclose as Annexure 24**
- j. Other advantages — **Enclose as Annexure 25**

**N.B. Please give relevant details in the above Annexures.**

**20. Status of R&D Effort (Please specify in detail)**

- a. Whether :
  - i) Prototype stage only
  - ii) Successfully developed **Enclose as Annexure 26**
  - iii) Commercialized (if yes, give details of product/service)

- b. Additional investment made in R&D Plant, Machinery & equipment, give details. like name of plant/M/c & Equipments and investment in three years i.e.

Total Investment Plant & Machinery Rs.in lakh	2007-08	2008-09	2009-10	<b>Enclose as Annexure-27</b>
Investment R & D Plant & Machinery Rs.in lakh				

- c. Sales of R&D developed product/services in India in terms of quantity & value Please attach documentary evidence. **Enclose as Annexure-28**

Year	Sales (Rs in lakh)
2007-08	
2008-09	
2009-10	

- d. Exports of R&D developed product/services (year-wise, country-wise in terms of quantity & value) Please attach documentary evidence. **Enclose as Annexure-29**

Year	Exports (Rs in lakh)
2007-08	
2008-09	
2009-10	

- 21.** Is your enterprise accredited with ISO-9000/14000/18000/22000/HACCP/GMP/other equivalent Certification? **Enclose as Annexure-30**

If yes, give details and attach documentary proof. (for the period 2007-08, 2008-09 and 2009-10)

- 22.** Please give details of groups (i.e. defence, ISRO, others) benefited by R&D products. **Enclose as Annexure-31**

23. Whether Enterprise has in house R&D facilities approved by DSIR? if yes, give documentary evidence. **Enclose as Annexure-32**
24. Do you provide services after sales during guarantee period? if yes, give documentary evidence. **Enclose as Annexure-33**
25. Do you have customers satisfaction and feed back report? if yes, give documentary evidence. **Enclose as Annexure-34**
26. Leadership Abilities
- (i) Do you have any plan/vision to emerge the enterprise as a leader in the product segment/cluster and action taken in this regard. if yes, give details. **Enclose as Annexure-35**
27. Strategic Initiatives
- (i) Whether any initiatives have been taken to tranform the enterprise to meet the change in business environment in next 5 year, if yes, give details. **Enclose as Annexure-36**
28. Future developmental plans in respect of R&D efforts, if any, give details. **Enclose as Annexure-37**

### **DECLARATION**

I certify that all particulars furnished by me are correct. I undertake to refund the cash prize, return the trophy & 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 action under the law of land for any false declaration.

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

**Place :**

**Date :**

## RECOMMENDATIONS OF THE STATE-LEVEL SELECTION COMMITTEE

**State Name :**

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

The duly verified form(s) must be sent along with Criteria & Proforma for Evaluation & Awarding Marks duly filled in the prescribed format and a covering letter giving the names of the entrepreneurs/enterprise in order of merit.

**Recommendation :-** Certified that M/s..... is a Micro, Small or Medium Enterprise as per declared limits for investment in plant & machinery and other norms and is located at ..... We have gone through the submissions made by the entrepreneur and after thorough scrutiny have found the entrepreneur is not involved in any economic/other offence for which any enquiry/legal action is pending and considered the entrepreneur is not involved in any economic/other offence for which any enquiry/legal action is pending and considered it to be a fit case for consideration by the National Level Selection Committee for National Award 2010 for R&D Efforts in MSME.

Name	Designation	Recommended	Signature
	Chairman &		

**\*\* Recommendation sent without the break up of total marks awarded as per details required at Proforma Z will not be considered by the National Level Selection Committee.**

- 1 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.

## **INSTRUCTIONS FOR FILLING UP THE APPLICATION FORMS**

Dear Entrepreneur,

Kindly ensure that while filling the form following instructions are strictly adhered to.

1. Application forms are provided free of cost. However, while submitting the application, applicant must ensure that they enclose a demand draft of Rs. 250/- or Rs. 125/- (as the case may be) payable at New Delhi in favour of 'Pay & Accounts Officer (MSME)'. Write on the back of DD your enterprise's name, station and scheme of Award under which claim has been applied. Enclose a photocopy of Demand Draft with the application form.
2. Write on the back of extra photographs, your name in Block Capital.
3. The application should be accompanied with the printed brochures, technical literature of the product and a write-up on the product(s) and the enterprise. Answers to the different columns of the application form should be specific and non-evasive. It is compulsory to enclose appropriate documentary evidences in support of the claims made.
4. Type/print in capital letters, your name, the name and address of the small scale enterprise (both in Hindi & English) set up by you against which the award is being claimed. Give all the details of District/Taluka, State, and Pin Code etc.
5. In case you belong to SC/ST category, please ensure to attach documentary proof, duly attested, failing which the benefits on that account may not be given.
6. Enclose attested photo copy of the permanent SSI registration/Entrepreneurial Memorandum (EM) part-II issued by District Industries centre/competent Authority.
7. Please specify product(s) manufactured or services rendered. (Ref. Col. 10)
8. Please type/print the required figures for production, profits, etc. in rupees lakhs only. Ensure to provide original investment in rupees lakhs in plant and machinery. (Do not take depreciated value). In case, decimal points are to be used they should be clearly visible. Do not include investment in land, building, consumables, jigs/fixtures, moulds/dies pollution control equipment and captive power generation sets, while providing figures of investment in plant and machinery. (Ref. Col. 12). Please also enclose Affidavits Annexure 8 & 9.
9. Entries under column 14 to 19 of the form should be made in such a manner as to specifically indicate the step by step evolution of Research & Development Efforts which is to be distinctly different from normal production

process, and ensure that in-house R&D efforts get vividly exhibited, their impact become visible for being considered suitable for award.

10. Under Col. 14 while mentioning details of R&D work it should be specified whether the development resulted changes in attributes of the product, uses of the product and the design of the product or it involved modification in the manufacturing process or in case of servicing units whether any innovative servicing techniques useful for the user have become possible by virtue of the R&D.
11. Under Col. 14 existing products/services as per the available technologies should first be specified. Effort should be made to outline the names/brands of competing products/processes/services, the names of the customers, a brief write-up on need and objectives of R&D work should be specified as also the comparison of advantages achieved by virtue of the development work undertaken by the unit for which the details have been mentioned in the column.
12. Col. 15, 16 & 17 are self -explanatory. Under Col. 18 which exhibits the relevance of the R&D work in terms of utilisation of technology, raw material, machinery, under the resources and import substitutions, energy conservation, environmental protection or any other advantage which have become possible by the development work undertaken need be clearly specified/presented with details and supporting documents etc.
13. Under Col. 19 it is intended to note the commercial advantages achieved by virtue of R&D work undertaken and the specific details for the same be given.
14. It is to be emphasized that R&D efforts are additional achievements aimed at strengthening the present structure/performance in terms of product/production process/techniques. The initial achievements of product/process development while setting up of the unit are not to be included for eligibility as research input intended to be awarded under this scheme.
15. Each & every document should be properly tagged and given page number.

***Note : In order to ensure proper evaluation, appropriate annexures be prepared to substantiate and support the claims made in different columns. In house R&D and evolution of research effort should get established systematically through entries in different columns.***



**Addresses of MSME-DIs (Earlier S.I.S.I ) where Application Forms of National award to be submitted.**

<b>S.No</b>	<b>Enterprises located at States/UTs</b>	<b>Addresses of MSME-DIs ( Application Forms of National award to be submitted)</b>	<b>Tel No.</b>
1	Andhra Pradesh	Director MSME-DI Narasapur Cross Rd., Bala Nagar <b>Hyderabad-500037 (Andhra Pradesh)</b>	040- 23078857 23078131/32/33
2	Assam/ Meghalaya/ Arunachal	Director MSME-DI Industrial Estate, Bamunimaidan <b>Guwahati-781021 (Assam)</b>	0361- 2654042 2655542 2550298
3	Bihar	Director MSME-DI Patliputra Indl. Estate, <b>Patna-800013 (Bihar)</b>	0612- 2262186 2262719 2262211
		Director MSME-DI Goshala Road, Ramna <b>Muzaffarpur-842002 (Bihar)</b>	0621- 2282486 2284425
4	Chhattisgarh	Director MSME-DI Opp. Chhattishgarh Club Civil Line <b>Raipur-492001 (Chhattishgarh)</b>	0771- 2422312 2427719
5	Delhi	Director MSME-DI Opp. Okhla Indl. Estate, <b>New Delhi-110020</b>	011- 26847223 26838118
6	Goa	Director MSME-DI P.O. Box No.334, Opp. Konkan Railway Station <b>Margao-403601 (Goa)</b>	0832- 2705092 2710525 2705093/94
7	Gujarat / Dadar Nagar Haveli / Daman & Diu	Director MSME-DI Harsiddh Chambers, 4 <sup>th</sup> Floor Ashram Road, <b>Ahmedabad-380014 (Gujarat)</b>	079- 27540619 27544248 27543147
8	Haryana	Director MSME-DI 11-A, Indl. Development Colony, Near ITI Campus, Kunjpura Road., <b>Karnal-132001 (Haryana)</b>	0184- 2230910 2231862
9	Himachal Pradesh	Director MSME-DI Electronics Complex, Chambaghat, <b>Solan-173213 (H.P)</b>	01792- 230766 230265

10	Jammu & Kashmir	Director MSME-DI Digiana Indl. Estate, <b>Jammu-Tawi-180010 (J &amp; K)</b>	0191-2431077 2455529 2450035
11	Jharkhand	Director MSME-DI Industrial Estate, <b>Kokar Ranchi-834001</b>	0651- 2544743 2544161
12	Karnataka	Director MSME-DI Rajaji Nagar, Industrial Estate, <b>Bangalore-560044(Karnataka)</b>	080- 23151540 23151581
		Director MSME-DI P.Box No.1016, Indl. Estate Gokul Road, <b>Hubli-580030 (Karnataka)</b>	0836- 2332334 2335634
13	Kerala / Lakhsadweep	Director MSME-DI Kanjani Road, Ayyanthole, <b>Thrissur-680003 (Kerala)</b>	0487- 2360216 2360686
14	Madhya Pradesh	Director MSME-DI 10, Indl. Estate, Pologround, <b>Indore-452015 (M.P)</b>	0731- 2420723 2421048
15	Maharashtra	Director MSME-DI Kulra Andheri Road Saki-Naka, <b>Mumbai-400072 (Maharashtra)</b>	022- 2633048 2485430
		Director MSME-DI CGO Complex, Seminary Hills, <b>Nagpur-440006 (Maharashtra)</b>	0712- 2511985 2510352
16	Manipur/ Nagaland	Director MSME-DI, Takyelpat-Industrial Estate, <b>Imphal-795001 (Manipur)</b>	0385- 2220584 2223096
17	Orissa	Director MSME-DI Vikas Sadan, College Square, <b>Cuttack-753003 (Orissa)</b>	0671- 2332307
18	Punjab / Chandigarh	Director MSME-DI Industrial Area B, <b>Ludhiana-141003 (Punjab)</b>	0161- 2533225 2531733
19	Rajasthan	Director MSME-DI 22, Godown, Indl. Estate, <b>Jaipur-302006 (Rajasthan)</b>	0141- 2210553 2213099

20	Sikkim	Director MSME-DI Tadong, <b>Gangtok-737102 (Sikkim)</b>	03592- 231262 231880
21	Tamil Nadu / Puducherry	Director MSME-DI 65/1, GST Road, Guindy, <b>Chennai-600032 (T.N)</b>	044- 22501011 22501014
22	Tripura/ Mizoram	Director MSME-DI Advisor Chowmuhani, Krishna nagar Road <b>Agartala-799 001 (Tripura)</b>	0381- 2322640 2326570
23	Uttar Pradesh	Director MSME-DI 107, Indl. Estate, Kalpi Road, Fazalganj, <b>Kanpur-208012 (U.P)</b>	0512- 2220831 2295070/73
		Director MSME-DI 34,Industrial Estate, Nunhai, <b>Agra- 282006 (U.P)</b>	0562- 2280879 2280882
		Director MSME-DI E-17/18, Industrial Estate,Naini, <b>Allahabad-211009 (U.P)</b>	0532- 2697468 2695156
24	Uttarakhand	Director MSME-DI Kham Bangla, Kaladungi Road <b>Haldwani-263139 (Uttarakhand)</b>	05946- 228353 221053
25	West Bengal/ Andaman & Nicobar	Director MSME-DI 111-112, B.T.Road <b>Kolkata-7000108 (W.B)</b>	033- 25775531 25770595/98

**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 - 2010  
FOR RESEARCH & DEVELOPMENT EFFORTS  
IN MICRO, SMALL AND MEDIUM ENTERPRISES**

1. For use by SLSC/  
NLSC only

**Form 1Zi Criteria & Proforma for Evaluation and Awarding Marks**

**Note:** For Evaluation and awarding marks , achievements for the period from 1 April 2007 to 31 March, 2010 ie 2007-08, 2008-09 & 2009-10 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/PRODUCTS .....**  
**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.	<b>whether R&amp;D is (Anex-10)</b>	5			
	(i) Product development – 5 Marks				
	(ii) Process / Design Development-3 Marks				
2.	<b>Percentage of Investment in R&amp;D Plant &amp; Machinery/equipment of total Plant &amp; Machinery/equipment(Mark best of any year) (Ref. Annex-27)</b>	5			
	(i) above 4%- 5 marks				
	(ii) 2-4 %- 4 marks				
	(iii) less than 2% - 2 marks				

3	<b>Whether enterprise has in- house R&amp;D facilities approved by DSIR (Ref. Annex-32)</b>	5			
	(i) Yes- 5 marks				
	(ii) others- 3marks				
4.	<b>Investment in Plant &amp; Machinery</b>	3			
	(i) Rising – 3 Marks				
	(ii) Stable or $\pm 10\%$ of base year – 2 Marks				
	(iii) Erratic-1 Mark				
	(iv) Falling-0 Mark				
5	<b>Employment</b>	5			
	(i) Rising -5 Marks				
	(ii.) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic -2 Mark				
	(iv) Falling-0 Mark				
6	<b>Annual Sales of Products/ Services/Job work</b>	5			
	(i) Rising – 5 Marks				
	(ii) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic – 2 Mark				
	(iv) Falling-0 Mark				
7	<b>Net Profit (after Taxes)</b>	5			
	(i) Rising - 5 Marks				
	(ii.) Stable or $\pm 10\%$ of base year-- 3 Marks				
	(iii) Erratic- 2 Marks				
	(iv) Falling-0 Mark				

8	<b>Percentage of Recurring R&amp;D Expenditure of annual turn over (Mark best of any year)</b>	5			
	(i) above 4%-5 marks				
	(ii) 0.5 to 4 % -3 Marks				
	(iii) less than 0.5%-1 marks				
9	<b>No. of persons engaged in R&amp;D( Scientific and Technical) (Mark best of any year) (Ref. Annex-14)</b>	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	<b>Qualification of the R&amp;D personnel associated with achievements made by him/her (Mark best of any year) (Ref. Annex-15)</b>	5			
	(i) Graduate Engineers / Post Graduate and above – 5 Marks				
	(ii) Others – 3 Marks				
11	<b>Obtaining ISO-9000 Series/14000/22000 / HACCP/GMP/equivalent certification (Marks any one of may be given. 3 years ie. 2007-08, 2008-09 &amp; 2009-10 ) (Ref. Annex-30)</b>	5			
	(i) 3 years and above- 5 Marks				
	(ii) less than 3 years – 3 marks				

12	<b>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) (Ref. Annex-16)</b>	7			
	(i) Obtained – 7 Marks				
	(ii) Applied for – 4 Marks				
13.	<b>Technology (Ref. Annex-17)</b>	3			
	(i) Indigenous-3 Marks				
	(ii) Imported- 2 Marks				
14	<b>Whether R&amp;D Products are Import Substitution- 2 Marks (Ref. Annex-18)</b>	2			
15	<b>Whether enterprise has adopted the measures of energy conservation ñ 3 Marks (Anex-19)</b>	3			
16	<b>Whether R&amp;D (product/ process) is eco-friendly ñ 3 Marks (Ref. Annex-22)</b>	3			
17	<b>Whether R&amp;D Effort NB: Award marks for anyone of the (i),(ii) and (iii) (Ref. Annex-26)</b>	10			
	(i) Prototype stage only- 5 Marks				
	(ii) Successfully Developed – 7 Marks				
	(iii) Commercialized – 10 Marks				

18	<b>Providing services after sales during guarantee period (Ref. Annex-33)</b>	2			
19	<b>Exports of R&amp;D developed products during year 2007-08, 2008-09 &amp; 2009-10 ñ 5 Marks</b> <b>Note: In case due to specific product /supplies to strategic organizations (viz. Defence etc.) where exports were not permissible full marks may be awarded)</b> <b>(Ref. Annex-29)</b>	5			
	(i) 3 years export - 5 Marks				
	(ii) 2 years export – 4 Marks				
	(iii) 1 years export – 2 Marks				
20	<b>Customers satisfaction and feed back report (Ref. Annex-34)</b>	2			
21.	<b>Leadership Abilities</b> <b>A plan in place to develop the enterprise as a cluster/ regional leader in product</b> <b>(Ref. Annex-35)</b>	5			
	<b>(Mark anyone)</b>				
	(i) Excellent leadership abilities/plan with supporting documents. – 5 marks				
	(ii) Good leadership abilities/plan. – 3 marks				
	(iii) No such initiatives taken – 0 mark				



22.	<b>Strategic Initiatives</b> Strategic initiatives taken to transform the enterprise to meet change in business environment in next five years. <b>(Ref. Annex-36)</b>	<b>5</b>			
	<b>(Mark anyone)</b>				
	(i) Excellent Strategic initiatives with supporting documents. – 5 marks				
	(ii) Good Strategic initiatives ñ 3 marks				
	(iii) No such initiatives taken – 0 mark				
	Total <b>100</b>				

**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

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