

14th November, 2011



R F D

RESULTS-FRAMEWORK DOCUMENT

for

**Department of Scientific and Industrial Research
Ministry of Science and Technology**

(April 2011 – March 2012)

SECTION 1: VISION, MISSION, OBJECTIVES AND FUNCTIONS

Vision:

Enabling India to emerge as global industrial research and innovation hub.

Mission:

- Attracting industrial research in the country through industry and institution centric motivational measures and incentives;
- Creating an enabling environment for development and utilization of new innovations.
- Enhance innovations through its resources and channelize benefits thereof to the people.

Objectives:

1. To promote and nurture research and development in industry with a view to enhance industry's share in national R&D expenditure;
2. To promote innovations through its resources and channelize benefits for public good.
3. To assess R&D and Innovation Output of the industry;
4. Promotion and support for development of new and innovative products, processes and technologies and for improving industrial competitiveness;
5. To setup a Sectoral Innovation Council;
6. To empower women with technological support;
7. Capacity building of Asia Pacific region through Asian & Pacific Centre for Transfer of Technology (UN ESCAP-APCTT);
8. To implement e-Governance initiatives.

Mandatory

- Efficient functioning of the RFD system;
- Improving internal efficiency / responsiveness / service delivery of Ministry/Department;
- Ensuring compliance to the Financial Accountability Framework.

Functions:

1. To function as the administrative government department for Council of Scientific and Industrial Research - CSIR (an autonomous body) and sanctioning of grants for approved programmes/schemes of CSIR.
2. To function as the administrative government department for National Research Development Corporation - NRDC (a Public Sector Enterprise), including liaisoning on behalf of NRDC with all other government departments & agencies, seeking approval of the NRDC programmes/schemes from competent authority and sanctioning of grants thereof.
3. To function as the administrative government department for Central Electronics Ltd. - CEL (a Public Sector Enterprise), including liaisoning on behalf of CEL with all other government departments & agencies, seeking approval of the CEL programmes/schemes from competent authority and sanctioning of grants thereof.
4. To function as the administrative government department for Consultancy Development Centre - CDC (an autonomous body), including liaisoning on behalf of CDC with all other government departments & agencies, seeking approval of the CDC programmes/schemes from competent authority and sanctioning of grants thereof.
5. Recognition of In-house R&D units of industry and Scientific and Industrial Research Organizations (SIROs);
6. Implementation of fiscal incentives to industry;
7. To launch studies and surveys that will help the department in promoting innovations and channelizing benefits thereof to the people;
8. To hold periodic meetings with industries to review their R&D and innovation work and analyze the data obtained;
9. To promote and support industry for development of new products, processes and technologies;
10. To encourage the spirit of creativity and innovativeness in individuals and scientist entrepreneurs;
11. To prepare a white paper, outlining the roadmap for Sectoral Innovation Council;
12. To provide technology based support to programmes aimed at benefiting women;
13. To provide infrastructural and programme support to UN-APCTT (Asian Pacific Centre for Transfer of Technology);
14. Implementation of Enterprise Resource Planning (ERP) solution;
15. Monitoring of Sevottam Complaint Citizen Charter and Grievance Redress Mechanism.

SECTION – 2

Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
To promote & nurture research & development in Industry with a view to enhance industry's share in national R&D expenditure	20 %	Recognition and renewal of R&D Centres	Recognition & registration to new in-house R&D units; Scientific & Industrial Research Organisations (SIRO); Public Funded Research Institutions (PFRI)	Nos.	8 %	230	225	210	200	190
			Renewal of recognition & registration to in-house R&D units; SIROs; PFRI	Nos.	5 %	715	700	650	620	580
		Fiscal incentives for Scientific Research	Approving new companies for availing fiscal benefits	Nos.	7 %	68	65	60	57	54

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
To promote innovations through its resources and channelize benefits for public good	20%	Study on identification and commercialization of socially relevant innovative technologies, available nationally as well as internationally	Satisfactory completion of study	Date	4	15.1.12	31.1.12	15.2.12	29.2.12	15.3.12
		Study on promotion of knowledge based enterprises in the country, based on people's innovations	Satisfactory completion of study	Date	3	15.1.12	31.1.12	15.2.12	29.2.12	15.3.12
		Study on nurturing the innovative potential of technical institutions in the country	Satisfactory completion of study	Date	3	15.2.12	29.2.12	15.3.12	22.3.12	31.3.12
		Study on creating an enabling environment for promoting innovation based start-ups	Satisfactory completion of study	Date	3	15.2.12	29.2.12	15.3.12	22.3.12	31.3.12
		Study on promotion of innovations in export oriented SMEs for enhancing their exports	Satisfactory completion of study	Date	3	15.3.12	22.3.12	27.3.12	31.3.12	7.4.12
		Study on promotion of innovations in select manufacturing industry sectors for global competitiveness	Satisfactory completion of study	Date	4	15.3.12	22.3.12	27.3.12	31.3.12	7.4.12

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
To assess R&D and Innovation Output of the industry	5 %	Periodic meetings with industries to review their R&D and Innovation work and analysis of data	Assessment of new Patents filed	Date	2 %	31.12.11	15.1.12	31.1.12	15.2.12	29.2.12
			Assessment of new products commercialized	Date	3 %	31.12.11	15.1.12	31.1.12	15.2.12	29.2.12
Promotion and support for development of new & innovative products, processes and technologies and for improving industrial competitiveness	26 %	Technical and partial financial support to industrial R&D and technology development & demonstration projects through Technology Development and Demonstration Programme (TDDP)	Approval of fresh projects	Nos.	7 %	37	35	30	25	20
			Product prototype or process developed & demonstrated	Nos.	7 %	4	3	2	1	0
		Support to individuals for conversion of science based innovative ideas into workable prototypes/processes through Technopreneur Promotion Programme (TePP)	Approval of fresh projects	Nos.	6 %	95	90	80	70	60
			Product prototype or process demonstrated	Nos.	6 %	40	37	34	30	27
To setup a Sectoral Innovation Council	6 %	To develop a white paper outlining the roadmap for creation of sectoral innovation council	Stakeholder discussions	Date	3 %	30.6.11	7.7.11	14.7.11	21.7.11	28.7.11
			Drafting of the white paper	Date	3 %	31.8.11	7.9.11	14.9.11	21.9.11	28.9.11

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
To empower women with technological support	3 %	To provide technology based support to programmes aimed at benefiting women	Number of organizations supported	Nos.	3 %	9	8	6	4	3
Capacity building of UN ESCAP-APCTT	3 %	To provide infrastructural and programme support	Number of activities/projects supported	Nos.	3 %	3	2	1	-	-
To implement e-Governance initiatives.	2 %	Design, Development, Validation and Certification of Enterprise Resource Planning (ERP) solution	Finalization of system study, specifications, information architecture, Graphical User Interface (GUI) validation and User Acceptance Test (UAT) Certification	Date	2 %	10.12.11	15.12.11	20.12.11	24.12.11	31.12.11

Mandatory Objectives and Success Indicators

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
Efficient Functioning of the RFD System	3 %	Timely submission of Draft for Approval	On-time submission	Date	2%	Mar. 7 2011	Mar. 8 2011	Mar. 9 2011	Mar. 10 2011	Mar. 11 2011
		Timely submission of Results	On-time submission	Date	1%	May 1 2011	May 3 2011	May 4 2011	May 5 2011	May 6 2011
Improving Internal Efficiency / responsiveness / service delivery of Ministry / Department	10 %	Implementation of Sevottam	Resubmission of revised draft Citizens' / Clients' Charter	Date	2%	Dec. 15 2011	Dec. 20 2011	Dec. 25 2011	Dec. 28 2011	Dec. 31 2011
			Independent Audit of Implementation of Grievance Redress Mechanism	%	2%	100	95	90	85	80
		Ensure compliance with Section 4(1)(b) of the RTI Act, 2005	No. of items on which information is uploaded by February 10, 2012	No	2.0	16	15	14	13	12
		Identify potential areas of corruption related to departmental activities and develop an action plan to mitigate them	Finalize an action plan to mitigate potential areas of corruption.	Date	2%	Feb. 10 2012	Feb. 15 2012	Feb. 20 2012	Feb. 24 2012	Feb. 29 2012
		Develop an action plan to implement ISO 9001 Certification	Finalize an action plan to implement ISO 9001 certification	Date	2%	Feb. 10 2012	Feb. 15 2012	Feb. 20 2012	Feb. 24 2012	Feb. 29 2012

Objective	Weight	Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
1	2	3	4	5	6	7	8	9	10	11
Ensuring compliance to the Financial accountability Framework	2%	Timely submission of ATNS on Audit paras of C&AG	Percentage of ATNs submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year.	%	0.5	100	90	80	70	60
		Timely submission of ATRs to the PAC Sectt. on PAC Reports.	Percentage of ATRs submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year.	%	0.5	100	90	80	70	60
		Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2011	Percentage of outstanding ATNs disposed off during the year.	%	0.5	100	90	80	70	60
		Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2011	Percentage of outstanding ATRs disposed off during the year.	%	0.5	100	90	80	70	60

SECTION-3
TREND VALUE FOR SUCCESS INDICATORS

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
To promote & nurture research & development in Industry with a view to enhance industry's share in national R&D expenditure	Recognition and renewal of R&D Centres	Recognition & registration to new in-house R&D units; Scientific & Industrial Research Organisations (SIRO); Public Funded Research Institutions (PFRI)	Nos.	187	225	225	240	245
		Renewal of recognition & registration to in-house R&D units; SIROs; PFRIs	Nos.	600	625	700	775	785
	Fiscal incentives for Scientific Research	Approving new companies for availing fiscal benefits	Nos.	30	65	65	67	70
To promote innovations through its resources and channelize benefits for public good	Study on identification and commercialization of socially relevant innovative technologies, available nationally as well as internationally	Satisfactory completion of study	Date	-	-	31.1.12	-	-

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
	Study on promotion of knowledge based enterprises in the country, based on people's innovations	Satisfactory completion of study	Date	-	-	31.1.12	-	-
	Study on nurturing the innovative potential of technical institutions in the country	Satisfactory completion of study	Date	-	-	29.2.12	-	-
	Study on creating an enabling environment for promoting innovation based start-ups	Satisfactory completion of study	Date	-	-	29.2.12	-	-
	Study on promotion of innovations in export oriented SMEs for enhancing their exports	Satisfactory completion of study	Date	-	-	22.3.12	-	-
	Study on promotion of innovations in select manufacturing industry sectors for global competitiveness	Satisfactory completion of study	Date	-	-	22.3.12	-	-
To assess R&D and Innovation Output of the industry	Periodic meetings with industries to review their R&D and Innovation work and analysis of data	Assessment of New Patents filed	Date	-	-	15.1.12	-	-
		Assessment of new products commercialized	Date	-	-	15.1.12	-	-

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
Promotion and support for development of new & innovative products, processes and technologies and for improving industrial competitiveness	Technical and partial financial support to industrial R&D and technology development & demonstration projects through Technology Development and Demonstration Programme (TDDP)	Approval of fresh projects	Nos.	2	30	35	37	39
		Product prototype or process developed & demonstrated	Nos.	7	5	3	8	10
	Support to individuals for conversion of science based innovative ideas into workable prototypes / processes through Technopreneur Promotion Programme (TePP)	Approval of fresh projects	Nos.	68	90	90	91	92
		Product prototype or process demonstrated	Nos.	10	32	37	40	42
To setup a sectoral innovation council	To develop a white paper outlining the roadmap for creation of sectoral innovation council	Stakeholder discussions	Date	-	-	7.7.11	-	-
		Drafting of the white paper	Date	-	-	7.9.11	-	-
To empower women with technological support	To provide technology based support to programmes aimed at benefiting women	Number of organizations supported	Nos.	0	8	8	9	10
Capacity building of UN ESCAP-APCTT	To provide infrastructural and programme support	Number of activities/projects supported	Nos.	1	3	2	3	3

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
To implement e-Governance initiatives.	Design, Development, Validation and Certification of Enterprise Resource Planning (ERP) solution	Finalization of system study, specifications, information architecture, Graphical User Interface (GUI) validation and User Acceptance Test (UAT) Certification	Date	-	-	15.12.11	-	-
Efficient Functioning of the RFD System	Timely submission of Draft for Approval	On-time submission	Date	-	-	08.03.2011	-	-
	Timely submission of Results	On-time submission	Date	-	-	03.05.2011	-	-
Improving Internal Efficiency / responsiveness / service delivery of Ministry / Department	Implementation of Sevottam	Resubmission of revised draft Citizens' / Clients' Charter	Date	-	-	20.12.2011	-	-
		Independent Audit of Implementation of Grievance Redress Mechanism	%	-	-	95	-	-
	Ensure compliance with Section 4(1)(b) of the RTI Act, 2005	No. of items on which information is uploaded by February 10, 2012	No	-	-	15	-	-

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
	Identify potential areas of corruption related to departmental activities and develop an action plan to mitigate them	Finalize an action plan to mitigate potential areas of corruption.	Date	-	-	15.02.2012	-	-
	Develop an action plan to implement ISO 9001 Certification	Finalize an action plan to implement ISO 9001 certification	Date	-	-	15.02.2012	-	-
Ensuring compliance to the Financial accountability Framework	Timely submission of ATNS on Audit paras of C&AG	Percentage of ATNs submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year.	%	-	-	90	-	-
	Timely submission of ATRs to the PAC Sectt. on PAC Reports.	Percentage of ATRs submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year.	%	-	-	90	-	-
	Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2011.	Percentage of outstanding ATNs disposed off during the year.	%	-	-	90	-	-

Objective	Actions	Success Indicator	Unit	Actual Value for FY 09/10	Actual Value for FY 10/11	Target Value for FY 11/12	Projected Value for FY 12/13	Projected Value for FY 13/14
	Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2011	Percentage of outstanding ATRs disposed off during the year.	%	-	-	90	-	-

SECTION 4:
Description and Definition of Success Indicators and Proposed Measurement Methodology

Success Indicators	Actions	Description and Definition	Measurement Methodology
Objective 1			
To promote & nurture research & development in Industry with a view to enhance industry's share in national R&D expenditure	Recognition and renewal of R&D Centres	Applications for In-house R&D are scrutinized in the department and those recommended by the Screening Committee are approved by the Competent authority for recognition / registration. Similarly applications for renewal of recognition are scrutinized in the department and approved by the competent authority.	The number of new in-house R&D centres, SIROs and PFRIs recognized / registered or the recognition renewed
	Fiscal incentives for Scientific Research	As per Income Tax Act, Secretary, DSIR is the prescribed authority for approval of companies for claiming weighted deduction on R&D expenditure. The department certifies the expenditure eligible for weighted tax deduction to DGIT (E).	The number of companies eligible for weighted tax deduction notified to DGIT (E).
Objective 2			
To promote innovations through its resources and channelize benefits for public good	Study on identification and commercialization of socially relevant innovative technologies, available nationally as well as internationally	<ul style="list-style-type: none"> • The study will identify the institutions, industries and other agencies, nationally as well as internationally that have developed socially relevant and sustainable technologies, recognized at some forum. 	Monitoring of study for completion by the targeted date.

		<ul style="list-style-type: none"> • Study will include case studies on successful socially relevant technologies. • Identification of commercialization potential of the identified technologies through industries and other agencies. 	
	Study on promotion of knowledge based enterprises in the country, based on people's innovations	<ul style="list-style-type: none"> • The study will carry out a SWOT analysis of around 500 projects of individual innovators supported through the TePP programme of the Department. • It would also identify the potential entrepreneurs, who are interested in scaling up select innovations and setting up knowledge based enterprises. • It would also suggest mechanisms for setting up knowledge based enterprises. 	Monitoring of study for completion by the targeted date.
	Study on nurturing the innovative potential of technical institutions in the country	<ul style="list-style-type: none"> • The study will select technical institutions in the country that are doing innovative research and development. • It would suggest mechanisms for protection and commercialization of select technologies developed in these institutions. 	Monitoring of study for completion by the targeted date.

	Study on creating an enabling environment for promoting innovation based start-ups	<ul style="list-style-type: none"> • The study will identify the needs of entrepreneurs incubating in various incubators and venture centres. • It would suggest, creation of an enabling environment that would help the innovators in launching their startup companies. 	Monitoring of study for completion by the targeted date.
	Study on promotion of innovations in export oriented SMEs for enhancing their exports	<ul style="list-style-type: none"> • The study would identify the specific areas where innovations are required in export oriented SMEs. • It would give an indication of the SME sectors, the scale and size of SMEs, the target markets, etc. where innovations could contribute in making a quantum jump in the export of SMEs. 	Monitoring of study for completion by the targeted date.
	Study on promotion of innovations in select manufacturing industry sectors for global competitiveness	<ul style="list-style-type: none"> • The study would identify key manufacturing sectors in consultation with NMCC and benchmark their performance with international standards. • It would suggest ways and means for promoting their competitiveness. 	Monitoring of study for completion by the targeted date.
Objective 3			
To assess R&D and Innovation Output of the industry	Periodic meetings with industries to review their R&D and Innovation work and analysis of data	Evaluation and assessment of R&D being carried out in industrial units.	Number of new patents filed and value of new products commercialized by industrial units during the year.

Objective 4			
Promotion and support for development of new & innovative products, processes and technologies and for improving industrial competitiveness	Technical and partial financial support to industrial R&D and technology development & demonstration projects through Technology Development and Demonstration Programme (TDDP)	Projects only with innovative technological content are supported from the proof of concept / laboratory stage upto the pilot plant stage, demonstrating the commercialization potential of the product / process developed.	The numbers of projects approved are the ones recommended by Technical Advisory Committee (TAC) and concurred by IFD. Out of the total number of projects supported, projects that result into commercialization are measured which indicates the outcome.
	Support to individuals for conversion of science based innovative ideas into workable prototypes/processes through Technopreneur Promotion Programme (TePP)	Creative individuals are supported to convert their innovative ideas into prototypes / models.	The numbers of projects approved are the ones recommended by TePP Screening Committee (TSC) and concurred by IFD.
Objective 5			
To setup a Sectoral Innovation Council	To develop a white paper outlining the roadmap for creation of sectoral innovation council	Adviser to PM on Public Information Infrastructure and Innovations has proposed Sectoral Innovation Councils, aligned with ministries / departments under the National Innovation Council. DSIR shall be responsible for setting up one such Sectoral Innovation Council.	Defining the mandate and terms of reference of council, holding stakeholders discussions, preparation of background paper for detailed inputs and finally preparation of whitepaper outlining the roadmap for Sectoral Innovation Council.

Objective 6			
To empower women with technological support	To provide technology based support to programmes aimed at benefiting women	Inviting projects from NGOs and other organizations aimed at evolving technological solutions for the benefit of women.	The numbers of projects approved are the ones recommended by Technical Advisory Committee (TAC) and concurred by IFD.
Objective 7			
Capacity building of UN ESCAP-APCTT	To provide infrastructural and programme support	DSIR is the country's focal point for United Nations Economic and Social Commission for Asia and the Pacific (UN ESCAP)-APCTT. The department provides institutional grant and programme support. UN ESCAP decides the programmes to be carried out by APCTT.	Number of programmes / activities supported in a year are measured.
Objective 8			
To implement e-Governance initiatives.	Design, Development, Validation and Certification of Enterprise Resource Planning (ERP) solution	System Study, Requirement specification, Process, Information Architectures, and Development of ERP, Graphical User Interface (GUI) Validation, User Acceptance Test (UAT) and Certification	Validation, Successful User Acceptance Test (UAT), Functional Testing, Alpha Testing and certification.

**SECTION 5:
Specific Performance Requirements from other Departments**

Department	Relevant Success Indicator	What do you need?	Why do you need?	How much you need?	What happens if you do not get it?
Relevant scientific departments e.g. DST, DBT, Ministry of Environment and Forests, Ministry of New and Renewable Energy, Department of Information Technology, etc.	Approval of fresh projects for development and demonstration of new technologies	Peer review of fresh proposals	To assist the Technical Advisory Committee (TAC) of the Department in recommendation of the projects	This is an essential requirement for recommendation of proposals by TAC	Approval of fresh projects will be affected and programme objectives would be hampered
Relevant scientific departments e.g. DBT, Department of Information Technology, Department of Pharmaceuticals, Department of Chemicals & Petrochemicals, Department of Agriculture, ICMR, ICAR, etc.	Recognition of new In-house R&D units, SIROs and PFRIs	Comments and views on the applications received for recognition	The views of Administrative Ministry are taken into consideration before recognition	-	The number of recognitions could be lower

Department of Revenue, Ministry of Finance	Approval of new cases for Income tax deduction/benefits	Long term policy on fiscal incentives for scientific research required	For efficient implementation of fiscal incentives by DSIR	Sufficiently long term policy of 10-15 years duration required	If the incentives are announced or withdrawn frequently, DSIR will not be able to implement effectively as the response time from industry has to be considered.
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**Section 6:
Outcome / Impact of activities of department ministry**

1	2	3	4	5	6	7	8	9
S. No	Outcome / Impact of Activity	Jointly responsible for influencing this outcome / impact with the following department (s) / ministry(ies)	Success Indicator (s)	2009-2010	2010-2011	2011-2012	2012-2013	2013-2014
1	Increased R&D spend by industry	Director General of Income Tax (E)	R&D expenditure certified u/s. 35(2AB) of Income Tax (Rs. in Crores)	3000	3200	3500	3800	4000
2.	Enhanced innovative output of industry	Industry	No. of Innovative products / processes successfully demonstrated	7	6	3	8	10
3.	Nurturing innovative potential of individuals	TePP Outreach Centres	No. of innovations demonstrated by individuals	10	32	37	40	42