



R F D

RESULTS-FRAMEWORK DOCUMENT

for

Department of Scientific and Industrial Research
Ministry of Science and Technology

(January 2010 – March 2010)

(Revised Document prepared in December 2009)

DEPARTMENT OF SCIENTIFIC & INDUSTRIAL RESEARCH

RESULTS FRAMEWORK DOCUMENT

SECTION 1: VISION, MISSION, OBJECTIVES AND FUNCTIONS

Vision:

Enabling Indian industry to reach **state-of-the-art** innovation excellence and competitiveness through research & technological interventions.

Mission:

- Promotion of Research in Industry & Institutions through Motivational Measures and Incentives;
- Providing Support and Creating an Enabling Environment for Development & Utilization of New & Innovative Technologies.

Objectives:

- To promote & nurture research & development in Industry
- Promotion and support for development of new and innovative products, processes and technologies for improving industrial competitiveness
- Promoting technology utilization and linkages with relevant agencies to improve delivery
- Technology evaluation and enabling its commercialisation
- Providing technological inputs in national flagship and mission mode programmes of the Government
- **Preparation of a Strategic Action Plan 2020**

Functions:

- To enhance industry's share in national R&D expenditure
- Recognition of in-house R&D units of industry and Scientific and Industrial Research Organizations (SIROs)
- Implementation of fiscal incentives to industry
- To promote and support industry for development of new products, processes and technologies
- To support early stage technology based start-ups for enabling them to attract venture capital funding
- To encourage the spirit of creativity and innovativeness in individuals and scientist entrepreneurs
- Technological empowerment of women
- Matters relating to Asian & Pacific Centre for Transfer of Technology (UN-APCTT)

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 | 40 | – Promotional & motivational Measures | – Recognition & registration to new in-house R&D units; Scientific & Industrial Research Organisations (SIRO); Public Funded Research Institutions (PFRI) | Nos. | 15 | 70 | 63 | 56 | 49 | 42 |
| | | | – Renewal of recognition & registration to in-house R&D units; SIROs; PFRI | Nos. | 10 | 150 | 135 | 120 | 105 | 90 |

| 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 |
| | | - Fiscal incentives for Scientific Research | - Approving new companies for availing fiscal benefits | Nos. | 5 | 18 | 16 | 14 | 12 | 10 |
| | | | - Reporting of R&D expenditure claims of approved companies | Nos. | 10 | 30 | 27 | 24 | 21 | 18 |
| | | | | | | | | | | |
| Promotion and support for development of new & innovative products, processes and technologies and for improving industrial competitiveness | 30 | - Technical and partial financial support to industrial R&D and technology development & demonstration projects | ▪ Approval of fresh projects | Nos. | 5 | 10 | 9 | 8 | 7 | 6 |
| | | | ▪ Product prototype or process developed & demonstrated | Nos. | 10 | 6 | 5 | 4 | 3 | 2 |
| | | - Support to individuals for conversion of science based innovative ideas into workable prototypes/processes | ▪ Approval of fresh projects | Nos. | 5 | 30 | 27 | 24 | 21 | 12 |
| | | | ▪ Product prototype or process demonstrated | Nos. | 10 | 8 | 7 | 6 | 5 | 4 |

| 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 |
| Promoting technology utilization and linkages with other relevant agencies to improve efficiency | 30 | - Supporting programmes and studies to facilitate use of technology | ▪ Activities (studies, databases, workshops, training programmes etc.) completed under the ongoing Technology Utilization Programmes | Nos. | 7 | 6 | 5 | 4 | 3 | 2 |
| | | - Technical & administrative coordination of Asian & Pacific Centre for Transfer of Technology (UN-APCTT) | ▪ Number of capacity building activities (initiated by APCTT) supported | No. | 3 | 2 | 1 | - | - | 0 |
| | | | ▪ Number of technology transfers facilitated in the Asia-Pacific region | No. | 4 | 175 | 165 | 155 | 145 | 135 |
| | | - To provide technology based support benefiting women scientists & entrepreneurs | ▪ Approval of fresh projects | Nos. | 3 | 2 | - | 1 | - | 0 |
| | | ▪ Activities (studies, databases, workshops, training programmes etc.) completed | Nos. | 4 | 3 | 2 | - | 1 | 0 | |

| 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 |
| | | - Facilitating preparation of Action Plan in a phased manner for a mechanism similar to RFD between CSIR laboratories and DG, CSIR | ▪ Preparation of Action Plan | Date | 3 | Mar. 20, 2010 | Mar 25, 2010 | Mar 31, 2010 | Apr 7, 2010 | Apr 14, 2010 |
| | | - Facilitating preparation of a RFD mechanism in Consultancy Development Centre to facilitate role of consultants in industrial research | ▪ Preparation of Action Plan | Date | 3 | Mar. 20, 2010 | Mar 25, 2010 | Mar 31, 2010 | Apr 7, 2010 | Apr 14, 2010 |
| | | - Identification of national flagship programmes and preparation of strategy by DSIR to participate in the same | ▪ Preparation of a strategy | Date | 3 | Mar. 20, 2010 | Mar 25, 2010 | Mar 31, 2010 | Apr 7, 2010 | Apr 14, 2010 |

SECTION-3

TREND VALUE FOR SUCCESS INDICATORS

| Objective | Actions | Success Indicator | Unit | Actual Value for FY 07/08 | Actual Value for FY 08/09 | Target Value for FY 09/10 | Projected Value for FY 10/11 | Projected Value for FY 11/12 |
|---|---|---|-------------|----------------------------------|----------------------------------|----------------------------------|-------------------------------------|-------------------------------------|
| | | | | | | | | |
| To promote & nurture research & development in Industry | - Promotional & motivational Measures | - Recognition & registration to new in-house R&D units; Scientific & Industrial Research Organisations (SIRO); Public Funded Research Institutions (PFRI) | Nos. | 249 | 266 | 272 | 300 | 340 |
| | | - Renewal of recognition & registration to in-house R&D units; SIROs; PFRI | Nos. | 695 | 520 | 740 | 790 | 840 |
| | - Fiscal incentives for Scientific Research | - Approve new cases for Income tax deduction/benefits | Nos. | 28 | 28 | 30 | 40 | 50 |
| | | - Reporting of expenditure to Income Tax in prescribed Forms | Nos. | 43 | 88 | 90 | 100 | 110 |

| Objective | Actions | Success Indicator | Unit | Actual Value for FY 07/08 | Actual Value for FY 08/09 | Target Value for FY 09/10 | Projected Value for FY 10/11 | Projected Value for FY 11/12 |
|---|---|--|------|---------------------------|---------------------------|---------------------------|------------------------------|------------------------------|
| Promotion and support for development of new & innovative products, processes and technologies and for improving industrial competitiveness | - Technical and partial support to industrial R&D and technology development & demonstration projects | ▪ Approval of fresh projects | Nos. | 3 | 7 | 10 | 20 | 30 |
| | | ▪ Product prototype or process developed & demonstrated | Nos. | 10 | 15 | 6 | 15 | 15 |
| | - Support to individuals for conversion of science based innovative ideas into workable prototypes /processes | ▪ Approval of fresh projects | Nos. | 12 | 80 | 100 | 100 | 100 |
| | | ▪ Product prototype or process demonstrated | Nos. | 15 | 20 | 20 | 30 | 40 |
| Promoting technology utilization and linkages with other relevant agencies to improve efficiency | - Supporting programmes and studies to facilitate use of technology | ▪ Activities (studies, databases, workshops, training programmes etc.) completed under the ongoing Technology Utilization Programmes | Nos. | 36 | 35 | 18 | 14 | 15 |

| Objective | Actions | Success Indicator | Unit | Actual Value for FY 07/08 | Actual Value for FY 08/09 | Target Value for FY 09/10 | Projected Value for FY 10/11 | Projected Value for FY 11/12 |
|-----------|--|--|------|---------------------------|---------------------------|---------------------------|------------------------------|------------------------------|
| | - Technical & administrative coordination of Asian & Pacific Centre for Transfer of Technology (UN-APCTT) | ▪ Number of capacity building activities (initiated by APCTT) supported | Nos. | 1 | 1 | 2 | 3 | 4 |
| | | ▪ Number of technology transfers facilitated in the Asia Pacific region | Nos. | 517 for 2007 | 595 for 2008 | 658 for 2009 | 700 for 2010 | 750 for 2011 |
| | - To provide technology based support benefiting women scientists & entrepreneurs | ▪ Approval of fresh projects | Nos. | 1 | 1 | 2 | 4 | 5 |
| | | ▪ Activities (studies, databases, workshops, training programmes etc.) completed | Nos. | 6 | 5 | 3 | 8 | 10 |
| | - Facilitating preparation of Action Plan in a phased manner for a mechanism similar to RFD between CSIR laboratories and DG, CSIR | ▪ Preparation of Action Plan | Date | - | - | March 20, 2010 | - | - |
| | - Facilitating preparation of a RFD mechanism in Consultancy Development Centre to facilitate role of consultants in industrial research | ▪ Preparation of Action Plan | Date | - | - | March 20, 2010 | - | - |

| Objective | Actions | Success Indicator | Unit | Actual Value for FY 07/08 | Actual Value for FY 08/09 | Target Value for FY 09/10 | Projected Value for FY 10/11 | Projected Value for FY 11/12 |
|-----------|---|---|------|---------------------------|---------------------------|---------------------------|------------------------------|------------------------------|
| | <ul style="list-style-type: none"> - Identification of national flagship programmes and preparation of strategy by DSIR to participate in the same | <ul style="list-style-type: none"> ▪ Preparation of a strategy | Date | - | - | March 20, 2010 | - | - |

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

| Success Indicators | Description and Definition | Measurement Methodology |
|---|---|--|
| <ul style="list-style-type: none"> - Recognition & registration to new in-house R&D units; Scientific & Industrial Research Organisations (SIRO); Public Funded Research Institutions (PFRI) - Renewal of recognition & registration to in-house R&D units; SIROs; PFRI | <p>Evaluation & assessment of R&D activities of in-house R&D units established by corporate industry; and non-commercial scientific & industrial research organizations and granting them recognition & registration</p> | <p>The number of new in-house R&D units, SIROs and PFRI recognized and registered.</p> |
| <ul style="list-style-type: none"> - Approve new cases for Income tax deduction/benefits - Reporting of expenditure to Income Tax in prescribed Forms | <p>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 technically scrutinizes industry's R&D expenditure and sends reports regarding R&D activities & eligible expenditures to the Director General of Income Tax Exemptions [DGIT(E)] every year in prescribed forms.</p> | <p>The number of companies approved and the number of reports submitted to DGIT(E)</p> |
| <ul style="list-style-type: none"> - Approval of fresh projects - Monitoring of ongoing projects & completion | <p>The success indicators indicate the performance of the programmes, namely partial support to industrial R&D projects, support to individual innovators, support for programmes to facilitate technology utilization and technology based support to women scientists, by measuring the approval of fresh and monitoring of ongoing projects for technology development and its utilization.</p> | <p>The number of projects approved are the ones recommended by Technical Advisory Committee (TAC) and concurred by IFD. Monitoring of on-going projects is essentially measured by the number of Project Review Committee meetings held under any particular project. The aim is to achieve the targets relating to the no. of projects to be approved and monitored at the prescribed stages.</p> |

| | | |
|---|--|---|
| <ul style="list-style-type: none"> ▪ Institutional & Programme support to Asian & Pacific Centre for Transfer of Technology (UN-APCTT) | <p>DSIR is the country's focal point for UN-ESCAP activity. The department provides institutional grant, building repair and maintenance support and programme based support. The amount of support provided indicates the quality of linkage of the Department with the international agency.</p> | <p>Higher quantum of departmental support means support to more programmes of Centre, more participation of experts in Centre's activities and hence better quality of linkage with UN-APCTT.</p> |
|---|--|---|

**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 utilization of new technologies | For peer review of fresh proposals | To assist the Technical Advisory Committee (TAC) of the Department in recommendation of the projects | This is essential requirement for recommendation of proposals by TAC | Approval of fresh projects will be affected |
| 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 | Approve new cases for Income tax deduction/benefits | Long term policy on fiscal incentives for scientific research | If the incentives are announced or withdrawn frequently, it will be difficult for DSIR to implement. | Sufficiently long term policy, say at least 10-15 years | 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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