

**COUNCIL OF SCIENTIFIC & INDUSTRIAL RESEARCH
CENTRAL PLANNING DIRECTORATE
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New Delhi -110001**

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April 25, 2025

**Office Memorandum
कार्यालय ज्ञापन**

Sub: Guidelines on Implementation, Monitoring and Financial Governance of the projects supported by CSIR under National Laboratories Scheme

The competent authority has approved Guidelines on Implementation, Monitoring and Financial Governance of the projects supported by CSIR under the National Laboratories Scheme. The same is enclosed herewith.

These guidelines are applicable to all CSIR projects except Other Laboratory Projects (OLP), R&D Seed Fund (RDSF) Projects and Externally Funded Projects, irrespective of the source of funds, i.e. Govt. grant /LRF/HQRF etc.

The aforesaid guidelines are issued in supersession of all the earlier related guidelines and shall come into effect from the date of issue of this OM.


(Dr. Anirban Pal)
Head, Central Planning Directorate

Copy to:

1. Directors of all CSIR labs
2. Heads of all CSIR Units/ Directorates/ Divisions/ Sections
3. Sr. PPS to DG, CSIR
4. PS to FA, CSIR
5. PS to JS, CSIR
6. CSIR website through the Head, IT
7. Office Copy

April 2025

Guidelines on

Implementation, Monitoring and Financial Governance of the Projects Supported by CSIR under National Laboratories Scheme



Central Planning Directorate
Council of Scientific and Industrial Research

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PREFACE

CSIR has undertaken several initiatives recently to translate laboratory leads to marketable/value-added technologies/products and thereby enhance interactions and connect to stakeholders for enabling ease of doing technology licensing, besides focusing on basic and niche-creating high science. One of the initiatives is a “Thematic approach” to harness multidisciplinary talent and infrastructure for solving specific challenges in identified sectors. Themes have been formed with a view to provide for greater alignment to and for enhancing the industrial/stakeholder focus of CSIR R&D activities. The roadmap and activities of each theme would focus on substantial contributions towards each of the parameters - public good, private good, strategic good and societal good.

CSIR during the current cycle of the Fifteenth Finance Commission, had formulated several projects through the “Thematic approach”. These programmes/projects formulated were representing different categories such as CSIR-Fundamental and Innovative Research in Science of Tomorrow (CSIR-FIRST), Focused Basic Research (FBR), Niche Creating Projects (NCP), Fast Track Translational (FTT), Fast Track Commercialization (FTC), Mission Mode, Major Laboratory Projects (MLP), International Science & Technology (IST) Projects, Special Projects/Programme (Jigyasa, Skill Development and Archives/ Museum) and Facility Creation Projects (FCP). The approach was to focus on basic as well as transnational research, besides addressing specific national problems and/or aligning and contributing to the national missions through mission-mode projects and the creation of state-of-the-art infrastructure and facilities to support R&D activities.

Managing these diverse R&D projects is a complex process, as in order to achieve the set objectives of these projects in a defined time frame, proper regulatory and supporting mechanisms are needed to be put in place to facilitate CSIR laboratories in the smooth implementation and management of these projects. Without adequate project management, a project team can be like a ship without a rudder; moving but without direction, control, or purpose. Proper management of the project allows and enables team members to achieve the set targets within the allocated budget and time, besides engaging in the project work seamlessly.

Realizing this need, the Central Planning Directorate (CPD) in consultation with Technology Management Directorate (TMD), Innovation Management Directorate, International S&T Affairs Directorate (ISTAD), Integrated Finance Division (IFD) and Laboratories/ Institutes has prepared generic guidelines for managing these projects. The guidelines cover issues related to Project Governance, Project Management and Financial Management including Standard Operating Procedures (SOPs) for selection, implementation, monitoring and financial management of projects under different categories.

It is expected that the guidelines will assist in the smooth implementation of the projects besides helping CSIR laboratories/ Institutes to deliver new-cutting edge science, technological interventions and world-class services.

While following these guidelines, it is requested that the following important points may be taken note of:

- (i) The guidelines are applicable to all CSIR projects (except Other Laboratory Projects (OLP), R&D Seed Fund (RDSF) Projects and Externally Funded Projects), irrespective of the source of funds i.e. Govt. grant /LRF/HQRF etc. OLP and RDSF projects will be developed and monitored through the Research Council of the laboratory. All Externally Funded Projects will be governed by CSIR Guidelines for Technology Transfer and Utilization of Knowledgebase - 2017 and subsequent OM issued on the subject from time to time.
- (ii) Those issues which are not covered in these guidelines or the ones which may arise during the course of implementation shall be referred to DG, CSIR for decision in consultation with the Financial Adviser, CSIR
- (iii) These guidelines are strictly for the internal use of CSIR and its laboratories/ Institutes/ Units and are not to be circulated/shared with outsiders or any other agencies.
- (iv) For all matters pertaining to these guidelines, the nodal point at CSIR Headquarters is Central Planning Directorate (CPD).
- (v) These guidelines supersede the earlier guidelines and related communications issued on the subject.

**Central Planning Directorate
CSIR Hqrs, New Delhi**

Date: 25th April 2025

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Acronyms

AC	Advisory Committee
AcSIR	Academy of Scientific and Innovative Research
AEISS	Aerospace, Electronics, Instrumentation and Strategic Sectors
AMCs	Annual Maintenance Charges
ANB	Agriculture, Nutrition and Biotechnology
CAB	Central Autonomous Bodies
CBD	Central Budget Division
CIE	Civil, Infrastructure and Engineering
CLP	Chemicals (including leather) and Petrochemicals
CPD	Central Planning Directorate
CSIR	Council of Scientific and Industrial Research
FIRST	Fundamental and Innovative Research in Science of Tomorrow
CSPS	CSIR Special Projects Scheme
DoE	Department of Expenditure
DPR	Detailed Project Report
DSIR	Department of Scientific & Industrial Research
EED	Energy (Conventional & Non-Conventional) and Energy Devices
EES	Ecology, Environment and Sustainability
EFC	Expenditure Finance Committee
EOW	Earth, Oceanography and Water
ESD	Engineering Services Division
FBR	Focused Basic Research
FCP	Facility Creation Project
FTC	Fast Track Commercialization
FTT	Fast Track Translational
GIA	Grant-in-Aid
HCP	Headquarters Coordinated Project
HQRF	Headquarters Reserve Fund
HR	Human Resource
HTC	Healthcare
IFD	Integrated Finance Division
IST	International Science & Technology

ISTAD	Innovation Management Directorate, International S&T Affairs Directorate
LSG	Lab Strategic Group
LRF	Laboratory Reserve Fund
MC	Monitoring Committee
MLP	Major Laboratory Project
MMP	Mission Mode Project
MoF	Ministry of Finance
MoU	Memorandum of Understanding
MoM	Minutes of Meeting
NCP	Niche Creating Project
NLS	National Laboratories Scheme
NMITLI	New Millennium Indian Technology Leadership Initiative
OLP	Other Laboratory Project
PCR	Project Completion Report
PME	Project Monitoring and Evaluation
PMT	Project Management Tools
RC	Research Council
RCE	Revised Cost Estimate
RDPD	R&D Planning Division
RDSF	R&D Seed Fund
SEC	Standing Experts Committee
SFC	Standing Finance Committee
SOPs	Standard Operating Procedures
TF	Task Force
TMD	Technology Management Directorate
ToR	Term of References
TRL	Technology Readiness Level
4M	Mining, Minerals, Metals and Materials

1. INTRODUCTION

The Council of Scientific and Industrial Research (CSIR), is an autonomous organization under the Department of Scientific & Industrial Research (DSIR), Ministry of Science & Technology. The schemes/projects of CSIR are funded through the Grant-in-Aid (GIA) received by CSIR under Other Central Sector Expenditure of DSIR. The projects and schemes of CSIR are governed by GFR Rules 2017/Delegation of Financial Powers/CSIR orders/Guidelines/Circulars issued/amended from time to time (**Enclosure-1**).

CSIR has two non-central sector schemes namely, National Laboratories Scheme (NLS) and Capacity Building and Human Resource Development. While the former covers the whole gamut of R&D and S&T aspects, the latter deals with Human Resources and different fellowships/awards.

With the new R&D management strategy for planning and participative performance of R&D projects, CSIR has undertaken several initiatives to translate laboratory leads to marketable/value-added technologies/products and thereby enhance interactions and connect with stakeholders for enabling ease of doing technology licensing. One of the initiatives is a “Thematic approach” to harness multidisciplinary talent and infrastructure for solving specific challenges in identified sectors. Themes have been formed and are envisaged to provide greater alignment to and for enhancing the industrial/stakeholder focus of CSIR’s R&D activities. The roadmap and activities of each theme would focus on substantial contributions towards each of the parameters - public good, private good, strategic good and societal good.

CSIR constituent laboratories across the country have been grouped under the Theme based Clusters:

- (i) Aerospace, Electronics, Instrumentation and Strategic Sectors (AEISS);
- (ii) Agriculture, Nutrition and Biotechnology (ANB);
- (iii) Chemicals (including leather) and Petrochemicals (CLP);
- (iv) Civil, Infrastructure and Engineering (CIE);
- (v) Ecology, Environment and Sustainability (EES);
- (vi) Energy (Conventional & Non-Conventional) and Energy Devices (EED);
- (vii) Healthcare (HTC);
- (viii) Mining, Minerals, Metals and Materials (4M); and
- (ix) Earth, Oceanography and Water (EOW)

CSIR formalized its activities encompassing the above nine themes to:

- Functionally derive synergy from complementary skills and expertise across labs;
- Bring in sector-specific industry focus;
- Inter-ministerial/ departmental interaction/ coordination;
- Align with Stakeholder needs; and
- Enhance business focus

(A) PROJECT CATEGORIES

Under the thematic approach, CSIR laboratories are leveraging their unique scientific and technological capabilities to attain objectives while implementing the programmes/projects through the following categories under the National Laboratories Scheme:

(i) CSIR-Fundamental and Innovative Research in Science of Tomorrow (CSIR-FIRST) Projects

Basic scientific research is an essential component of a knowledge-based society and provides a platform for the future readiness of a Nation. CSIR-FIRST category opens the challenge to the CSIR laboratories to come up with cutting-edge, futuristic R&D programs for competitive funding. The research grant will be scientist-centric and will not anticipate large collaborative/network efforts. Wherever relevant, however, there may be one or two co-investigators. The selection criteria for funding under this scheme will be mainly based on two factors: 1) Uniqueness of the fundamental question(s) being addressed and 2) feasibility of the program based on past track record. The normal duration for the CSIR-FIRST is 24 months

(ii) Focused Basic Research (FBR) Projects

Focused Basic Research (FBR) Projects are focused on high-end basic research projects, typically where an initial Proof of Concept is already indicated with TRL as 2-3. The normal duration for the FBR project is 12 to 24 months.

(iii) Niche-Creating High Science/ High Technology Projects (NCP)

Niche Creating High Science/ High Technology (NCP) research projects are based on a niche already created by a research group in the laboratory of CSIR at the national level, and it is focused on retaining the leadership achieved, aimed at global leadership. The normal duration for the NCP project is 12 to 24 months, and it lies between TRL 2-3.

(iv) Fast Track Translational (FTT) Projects

Fast Track Translational (FTT) research projects address national goals, including the problems of the common man. These are oriented towards technology/product development with relatively short-term outcomes (up to 18 to 24 months) with clear solutions to pre-defined problems and challenges, close to market (outcome higher TRL technologies, generally lies between TRL 3-6) and driven by a suitable business plan. The philosophy behind FTT Projects is to reduce the time from already-proved concept to market, stimulate the participation of a cross-section of scientists and technical personnel towards a defined goal.

(v) Fast Track Commercialization (FTC) Projects

Fast Track Commercialization (FTC) research projects are positioned to create new business opportunities or expand existing businesses. Typically, these are for 6 to 24 months, starting with a minimum TRL as 4, or follow-on from top-rated FTT Projects with an identified stakeholder. Multiple CSIR institutional partners/ facilities are harnessed for the FTC projects.

(vi) Mission Mode Project (MMP)

Mission Mode Projects (MMPs) are research projects with a significant stakeholder focus, targeting cutting-edge, internationally benchmarked, cost-effective technologies of high national impact. The project's focus is on time-bound deliverables and outcomes, with a 36-month' timeframe.

(vii) Facility Creation Projects (FCP)

The basic aim of Facility Creation Projects (FCPs) is to build new infrastructure or upgrading the existing one in order to meet new technological challenges and for generating revenues at the CSIR laboratories. Some of the facilities so created cater to the laboratories and the ultimate purpose is to serve to other R&D and academic institutions. The parameter of selection under FCP includes but is not limited to (i) Facility to be linked to at least one ready or near ready technology to accelerate commercialization; (ii) Must have Business Plan; (iii) No recurring grants will be sanctioned by CSIR Hqrs. The same is to be met by the laboratories; (iv) Analytical facilities not to be supported; and (v) Must have Pay Back period of less than five years on an ECF basis.

(viii) Headquarters Coordinated Projects/Programs (HCP)

Any other R&D and/or non-R&D oriented projects/programs which are not covered under any of the aforesaid categories and emerged out and/or initiated for time-bound execution will fall under this category. Some of the examples of such ongoing projects/programs are CSIR Skill Development Program, CSIR-Jigyasa Program, Establishment of Archives/Museum, CSIR Units' Projects etc.

(ix) International Science & Technology (IST) Projects

International collaborations through International Science & Technology (IST) projects of CSIR are a tool to strengthen the bilateral/multilateral relations of India with other countries. The IST Projects are aimed at strengthening the mutual R&D capabilities and capacities and HR building at the global level through new knowledge generation, co-development/upscaling/deployment of technologies, developing new technology applications, novel skill upgradation, facilitating capacity development of industry in the mutually agreed priority areas. ISTAD supports IST Projects in two categories viz. a) Research and mobility support; and b) Only mobility support (as per provisions under B/H P-801). The projects involving only mobility support are governed by the CSIR Foreign Deputation guidelines/GoI guidelines as applicable.

CSIR has recently come out with CSIR Vision - 2030 which is aligned with the national missions and the country's vision @ 2047 envisaging CSIR as a nodal and model for global STI which is in sync with the directions given by the Hon'ble Prime Minister of India as President of CSIR to develop technologies not only for India but for the world and maintain high standards and benchmarks.

Also, going by the same ethos, in the 200th meeting of the CSIR Governing Body held on December 17, 2022, a new tagline of the organization, “CSIR-The Innovation Engine of India” has been launched by the Hon’ble Minister of Science & Technology and Vice-President of CSIR.

In order to realise the new goals, aspirations and vision, it is imperative that CSIR and its constituent laboratories should revitalize their mode of working and implement the projects in time-bound manner. In order to facilitate the same, the Central Planning Directorate (CPD), with concurrence of IFD, CSIR as per the directions of the Competent Authority is bringing out this new set of guidelines for the Implementation, Monitoring and Financial Management of various categories of Projects supported by CSIR Headquarters under its National Laboratories Scheme.

These guidelines are expected to help CSIR laboratories in a long way in delivering new cutting-edge science, technological innovations and world-class services.

This will supersede the Guidelines on Implementation, Monitoring and Financial Governance of Eleventh Five-Year Plan projects under the National Laboratories Scheme issued in October 2007 and all subsequent related orders.

2. GOVERNANCE OF PROJECTS

Administrative/financial/governance support is very crucial in the project life cycle. The resources required for the project viz, men, material, machinery/equipment, money, infrastructure creation etc. are the major inputs for the smooth progression of the project. Timely input of these resources through supporting governance mechanisms will lead to the timely completion of the project without cost overrun. Targeted resource management guarantees the right people and the right skills and material resources are in place to execute the project. Hence, the project management is incomplete without governance mechanisms which will be used as Project Management Tools (PMT) by the project management team for the successful completion of the project. Considering the importance of these resources, CSIR has prepared the following guidelines covering the various aspects of governance mechanisms.

(A) EQUIPMENT PURCHASE PROCESSES

Timely procurement of apparatus/equipment for the project is the first important stage of its implementation. Many times project implementation gets delayed due to a lack of timely availability of equipment. This is also true for the equipment planned for procurement during the mid-stage of the project. All these factors not only cause delays in the completion of the project but also lead to extended period of idle time for human resources. The overall effect may lead to time and/or cost overrun. Therefore, every effort should be made by the laboratories for the timely procurement of equipment as per the activity schedule of the project.

Following are the guidelines with respect to the procurement of equipment:

- All participating laboratories shall follow the purchase procedures issued by CSIR/GFR Rules 2017 and CSIR orders/Guidelines/Circulars issued from time to time.
- The Director, Indenter, PI and COS&P/ SPO's of nodal & participating laboratories are required to ensure that equipment under projects are processed, procured, erected & commissioned in a time-bound manner and on priority basis so as to maintain the timeline of the project.
- While formulating the Research Proposal (whatever be the category), the need of the equipment should be brainstormed (duplication should be avoided) and exact specifications should be arrived.
- It must be ensured while estimating the cost of equipment that the cost of training, freight, insurance cover etc. are included thus forming integral part of the cost of the equipment.
- List of all equipment's with firmed up cost should be made part of the project proposal. Further, in case of major equipment (single equipment costing more than Rs. 5.00 lakh), the documentary support for firmed up cost may be placed on record.
- Once the project/s has been issued an overall Financial Sanction by CSIR, each laboratory should plan the procurement of Apparatus/Equipment as per the schedule of the project requirement. However, the expenditure on the procurement of equipment should not exceed the annual sanction under the capital head for equipment. In an urgent situation (pending budget release from CSIR) the laboratory may utilize their LRF for procurement of equipment and later the same may be recouped/adjusted out of the budgetary release from CSIR Hqrs. during the same financial year only under the respective projects against allocations under the capital head for equipment. It is mandatory to maintain a log book for

each of the major equipment by the respective Division Scientist / Scientist in-charge of usage of the equipment/s.

- Change in equipment: For any change in the specification/model/version of equipment which was originally envisaged in the approved SFC/EFC document, the Monitoring Committee/ External Expert Committee of the concerned project is fully empowered to change the specification/ model/version of the equipment/s in the interest of the project provided that the same results in the purchase of better/higher version of the equipment/s without incurring additional cost.

(B) INFRASTRUCTURE CREATION (WORKS & SERVICES)

The creation of necessary infrastructure includes those works & services (allied to works only) which are necessary for the installation of equipment or other related facilities. This at times also involves the construction of small buildings or slight modification of existing buildings for housing the major equipment. Proper planning for the development of these infrastructure facilities should be made well in advance so as to avoid procured equipment remaining idle at laboratories for extended periods. The following are the guidelines in respect of Works & Services associated with the project/s.

- Before finalizing the SFC/EFC proposals at the laboratory level, all works & services (allied to works only) associated with the project should be worked out in detail including the preliminary estimates by the ESD of the laboratory. The preliminary estimates so prepared and technically checked & certified as correct by Lab ESD, concurred in by Head of Finance at the laboratory, including estimates technically checked & certified as correct by ESD-CSIR (in case beyond the powers of MC) should be appended in the final SFC/EFC proposal before forwarding to the concerned Directorate of CSIR Hqrs. for consideration.
- Laboratories should follow the rules relating to the delegation of financial powers and other related aspects of carrying out works as per the orders / circulars / instructions / guidelines issued by CSIR Hqrs. from time to time.
- Since it is a time-consuming process, budget projection for W&S in projects other than Mission Mode Projects/Facility Creation Projects is not encouraged. Minor W&S requirements for other projects are to be executed from Lab Infra budget.

(C) HUMAN RESOURCES (HR)

Among all the resources required for the project, human resources take the lead as it is one of the critical components without which the project may not proceed ahead despite availability of all the other resources. Having the right people with the right skills at the right time is essential to ensuring the success of the project. The projects supported by CSIR Hqrs. are the top priority projects and the laboratories need to optimally utilize the existing scientific, technical and supporting staff for implementing these projects for which provisions have been made in the lab budget as well in the project. Wherever necessary, redeployment of the additional permanent staff should be made based on the need and justification by the Director of the laboratory.

The existing staff strength should be utilized to the optimum by deputing them for the project work. If additional manpower is required to complete the project work, the number of Tech HR/consultants etc. to be engaged may be recorded in the DPR. Tech HR may be appointed as per the guidelines issued by CSIR vide OM No. 5-1(342)/2017-PD dated September 04, 2024 and October 18, 2024 (**Enclosure-2 and 2a**) respectively.

(D) ENGAGING RETIRED EMPLOYEES OF CSIR/ CAB (CENTRAL AUTONOMOUS BODIES) / CENTRAL GOVERNMENT

CSIR guidelines for Engagement of retired CSIR/CAB/Central Government Employees on contract (including a consultant) in CSIR are available and the same should be extended to support the CSIR R&D activities. The retired employees of CSIR/ CAB/ Central government can be engaged for CSIR R&D projects keeping in view that it should only be done in urgent and emergent cases where expert/professional services are required for urgent and identified work and should not be used as a common practice routinely.

Engagement of retired CSIR/ CAB / Central Government employees on contract can be made initially for six months which can be further extended for six months with the approval of the Competent Authority and concurrence of Finance. In case an extension beyond one year is required, the same may be approved by the Research Council (RC) of the concerned Laboratory/ Institute (DG, CSIR in case of CSIR Hqrs.) that too limited to 2 years only. In a very rare case, on the recommendation of the RC, an extension may be given beyond 2 years with the concurrence of FA, CSIR and approval of DG, CSIR. In any case, the extension shall not exceed six months at a time.

The procedure for engaging retired employees of CSIR/ CAB/ Central Government on contract (including a consultant) in CSIR will be governed in accordance with the provisions contained in CSIR letter no. 5-1(354)/2016-PD dated December 02, 2022 (**Enclosure-3**). HR-II Section of CSIR Hqrs. will be the nodal section for processing of all such cases. Even though, in general, CSIR rules permit the engagement of retired personnel, in the case of projects, a provision should have been made in the original SFC/EFC document and the recommendation of the Monitoring Committee is a must to proceed further.

3. PROJECT MANAGEMENT

R&D Planning Division (RDPD) / Project Monitoring and Evaluation (PME) Division of the concerned nodal and the participating laboratories and Technology Management Directorate (TMD)/ Innovation Management Directorate (IMD)/ Central Planning Directorate (only for FCPs)/ International S&T Affairs Directorate (ISTAD) are the Nodal Divisions for implementing & monitoring of the projects supported by CSIR Hqrs. till their logical closure. Hence, the Project Management of the projects supported by CSIR Hqrs. is the prime responsibility of RDPD/PMEs of Nodal / participating laboratories. At CSIR Hqrs. level, the concerned Directorate is the focal point and CPD will act as a link between different Directorates, IFD (Integrated Finance Division) and CBD (Central Budget Division) for all matters relating to the projects. Though the Project Management of R&D projects is a complex issue because of their uncertain outputs, every effort should be made to make them successful through proper implementation & monitoring mechanisms. The following guidelines, in this regard will help laboratories to prepare and manage their projects (post approval) effectively and in time time-bound manner:

(A) PROJECT FORMULATION, APPRAISAL & APPROVAL

CSIR during every Finance Commission Cycle will formulate projects through a Thematic Approach.

These programmes/projects will be formulated in various categories such as CSIR-Fundamental and Innovative Research in Science of Tomorrow (CSIR-FIRST), Focused Basic Research (FBR), Niche Creating Projects (NCP), Fast Track Translational (FTT), Fast Track Commercialization (FTC), Facility Creation Projects (FCP), Mission Mode, Headquarters Coordinated Projects/Programs (HCP), Special Projects/Programme (Jigyasa, Skill Development and Archives/ Museum) and International Science & Technology (IST) Projects. The Standard Operating Procedures (SOPs) for project formulation has been separately given in Chapter 5.

IST Projects shall be funded both by CSIR (through ISTAD) and the corresponding foreign partner of CSIR as per mutually agreed terms. The joint IST Project proposals shall be evaluated/reviewed either jointly or individually. At CSIR, the project proposals shall be evaluated by the Standing Experts Committee (SEC) for International Cooperation Programmes. The decision on award of the Project shall be taken jointly based on the joint/individual review and recommendations, as per agreed terms.

As per MoF/DoE guideline/s issued and amended from time to time, various project appraisal/approval authorities have been designated to appraise/approve the project proposals depending upon the cost of the projects, thereafter the same is placed for approval of the competent authority.

The comprehensive set of guidelines issued by MoF/DoE on the subject related to scheme/project format and appraisal and approval of Public Funded Schemes / Projects are enclosed in **Enclosure-4, 4a, 4b, 4c, 4d, 4e and 4f** respectively.

(B) IMPLEMENTATION

CSIR has been instrumental in steering the Indian Research and Development in a wide spectrum of science & engineering and has reported several radical technologies, inventions, and discoveries since its inception. The existing model of technology development has served well but due to changing circumstances and market dynamics, CSIR needs to move towards a more structured model for project management and technology development.

Accordingly, CSIR vide OM No. 6/10/Reorient CSIR/2021/1 dated September 29, 2021 has issued a procedure for implementation of the Stage-Gate Model for Technology Development in CSIR (**Enclosure-5**). All projects under the category of FTT, FTC, Mission Mode and technology/product-oriented HCP shall be implemented following the aforesaid office memorandum i.e. Stage-Gate Model only. However, it shall not apply to projects undertaken in FBR, NCP, CSIR-FIRST, FCP, IST and Non-R&D HCP projects and other Special Projects/Programme like CSIR-Jigyasa, Skill Development etc.

(C) MONITORING

The term "Project Monitoring" becomes one of the vital segments in the overall R&D activities in CSIR. The major role of project monitoring is not only in aligning the project with the initially established schedule but also ensuring the seamless availability and right usage of resources such as manpower, material and finances. Additionally, this assures that consistent effort has been put in uniformly throughout the project duration and prevents any fire-fighting situation which could potentially lead to substandard and/or compromised outcomes. Thus, project monitoring promises timely detection and response for any issues occurring in the project as well as prevention of any problem occurrences and avoiding delays. It is very much required to run the projects smoothly and efficiently in a time and cost bound manner.

CSIR has issued New Guidelines for Project Monitoring in CSIR vide OM No. No.6/10/Reorient CSIR/2021/2 dated September 20, 2021 (**Enclosure-6**) and dated October 09, 2024 (**Enclosure-6a**). All FBR, NCP, CSIR-FIRST, FTT, FTC, Mission Mode R&D/ Non-R&D HCP projects and other special projects/programmes like CSIR-Jigyasa, Skill Development etc. funded by CSIR Hqrs shall be monitored by following the procedure depicted in this office memorandum(s).

IST Projects shall be reviewed and monitored by both CSIR (through ISTAD) and the corresponding foreign partner (as per existing procedures/guidelines, as amended from time to time). At CSIR, the IST Projects shall be monitored by the Standing Experts Committee (SEC) for International Cooperation Programmes. The decision on award/continuation/closure shall be taken jointly based on the review and recommendations on both sides.

(D) OUTSOURCING OF THE PROJECT SCIENTIFIC ACTIVITIES

- In cases of programmes/projects wherein provision for the outsourcing of certain scientific activities has been provided in the approved SFC/EFC document, outsourcing may be done following the GFR-2017 issued by the Ministry of Finance. This work component generally comprises activities/tasks where expertise is not available within the Laboratory, but these activities are necessary and crucial for the completion of the project.
- For any outsourcing of scientific activity not provided in the approved SFC/EFC document of the project, the External Monitoring Committee/ External Experts Group/ Standing Experts Committee is empowered to take such decisions in the interest of the project execution and achieving the deliverables. The funds requirement shall be met under the recurring head only.

- Incurring expenditure to the outsourcing agency for the purchase of equipment or any other facility which is capital in nature is not allowed. CSIR funds shall not be used to provide equipment and/or facilities to the outsourcing agency.

(E) IPR ISSUES

- Patents, copyright, trademark, registered design and know-how for process/ product design are included in 'Intellectual Property'. All the IPs developed under the project shall be the property of CSIR.
- In the case of IST Projects, the IPR issues shall be governed by the mutually agreed arrangement between CSIR and the foreign partner as per the existing inter-governmental S&T agreement for cooperation between the countries, as applicable.
- In the case of projects involving multiple CSIR laboratories/institutes, it is advised that a proper understanding on sharing of credits may be entered before the beginning of the project between participating laboratories. The External Monitoring Committee/ External Experts Group is empowered to decide on such issues. In case of disputes, the matter may be referred to CSIR. In all such cases, DG, CSIR shall be the competent authority.
- Any IPR generated from the outsourcing of scientific activities to an outside agency shall be the property of CSIR.

(F) PUBLICATIONS

In 2019, CSIR issued comprehensive Guidelines for Ethics in Research and in Governance (**Enclosure-7**). This guideline deals with scientific misconduct issues which arise during the publication of research outputs/results in various SCI/Non-SCI journals. Embezzlement of ideas, Plagiarism, Falsification, Fabrication, Fraud, Non-compliance of Regulatory Guidelines, Inappropriate Authorship, withholding data from Validation and Wrong versus Fraudulent paper are the various forms of scientific misconduct.

The suggested Standard Operating Procedure (SOP) for inquiry in any act of scientific misconduct is given in detail in the guidelines. Researchers and Scientists in laboratories must strictly follow the said guidelines.

(G) COMMERCIALIZATION OF OUTPUTS

- The projects supported by CSIR Hqrs under the National Laboratory scheme aim at the generation of new knowledge which could be used for public, private, strategic and societal goods. Dissemination of knowledge for the benefit of society should be the aim of these projects. Hence, it is necessary to involve industries, stakeholders, beneficiaries etc. since from the beginning of the project or at the convenient stage as decided by the External Monitoring Committee/ External Experts Group. It is advised that industries may be involved at the beginning of the project itself for effective commercialization of the research output.
- Business models adopted for the commercialization of outputs of these projects shall employ the same guidelines as those adopted by CSIR for all other projects supported by the government.
- While retired CSIR/Central Government/CAB Employees may be engaged as the Technical and Business Development Consultants as per CSIR letter No. 5-1 (354)/2016-PD dated

02.12.2022, others may be engaged as per GFR/Manual for Procurement of Consultancy and Other Services.

- Valuation of IP generated from these projects for commercialization shall be carried out as per the existing CSIR Guidelines for Technology Transfer and Utilization of Knowledgebase. The External Monitoring Committee/ External Experts Group is empowered to decide on all such matters.
- In the case of IST Projects, the terms of commercialization of outputs shall be governed by the mutually agreed arrangement between CSIR and the foreign partner as per the existing inter-governmental S&T agreement for cooperation between the countries, as applicable.

(H) PROJECT FORECLOSURE

- Foreclosure of a project should be based on appropriate justification, sound scientific reasons and cost-benefit analysis of the with and without project scenario.
- The External Monitoring Committee/ External Experts Group/Standing Experts Committee shall recommend foreclosure of the programme whenever such a decision is considered essential and placed before the RC for approval. Foreclosure of the projects may be reported to the approving Authority.

(I) PROJECT TIME & COST OVERRUN

Late completion of the project and constantly failing to keep delivery promises will damage the reputation of the organization in the eyes of the stakeholders. Therefore, actual progress needs to match or beat planned progress and all significant stages of the project must be accomplished not later than their specified dates, to result in total completion on or before the planned finish date. Further, any project that continues to use resources beyond its planned finish date can have a knock-on effect and disrupt other projects that are either in progress or waiting to follow. There are several reasons for project time & cost overrun which may include:

- Lack of infrastructural facilities
- Lack of or inadequate manpower
- Inadequate investigation at the Pre-Project stage
- Underestimation of capital & recurring expenditure
- Change in the scope of work, objectives and deliverables
- Changes in the specifications of apparatus/equipment
- Escalation & Inflation
- Problems of vendors/suppliers
- Non-availability of special equipment
- Delay in getting government clearances in case of involvement of foreign clients, vendors/suppliers.
- Improper work schedule & sequencing of activities
- Currency fluctuations, changes in taxes & duties, etc.
- Any other unprecedented situation/s

These time and cost considerations mean that delays on a large project can easily cause additional costs. It is therefore clear that if R&D work can be monitored and managed carefully so that it proceeds without disruption against a sensible, achievable plan, many of the problems concerning time & cost overrun can be avoided.

Following are the guidelines concerning the project time & cost overrun:

(1) Time overrun

- The time overrun of the project will be allowed only in extreme and genuine cases with proper justification for time overrun of the project.
- Nodal Laboratory shall place a request to the Research Council clearly indicating the reasons & justification for the time overrun of the project.
- The recommendations of the Research Council may be submitted to the respective Nodal Directorate at CSIR Hqrs for placing it further to the External Monitoring Committee/ External Experts Group/ Standing Experts Committee for active consideration and approval of time overrun. Based on the merits of the case, the Nodal Directorate, will place the recommendations of the External Monitoring Committee before the Competent Authorities for concurrence / approval.
- The time overrun coupled with cost overrun shall be considered as an RCE proposal, following the extant provisions.

(2) Cost overrun / RCE

- In case the cost of the project exceeds the original cost, the nodal laboratory shall prepare an RCE proposal as per the guidelines issued by the Ministry of Finance / DoE
- At the first step, the RCE proposal shall be submitted to the Nodal Directorate for consideration of the External Monitoring Committee/ External Experts Group/ Standing Experts Committee for review and the External Monitoring Committee/ External Experts Group/ Standing Experts Committee, based on the merits, will recommend the RCE proposal for the consideration of CSIR.
- Based on the recommendations of RC/External Monitoring Committee/ Standing Experts Committee, the Nodal Laboratory with the consent of the Nodal Directorate, CSIR will proceed as per RCE mentioned in MoF/DoE OM No. 24(35)/PF-II/2012 dated August 5, 2016 (**Enclosure-4**). The formulation and management of the Revised Cost Committee (if required) will be done by the Nodal Directorate, with Project PI and CPD as members and the Coordinator of Nodal Directorate as member-convenor. The duly approved Minutes of Meeting (after all formalities) with revised DPR needs to be submitted by the Nodal Laboratory to the Nodal Directorate for fresh appraisal and approval.
- Based on the merit and availability of funds, the RCE proposal shall be put up to the competent authorities for concurrence/approval by the respective Nodal Directorate at CSIR Hqrs.
- In the case of IST Projects, the terms of cost overrun shall be governed by the mutually agreed terms between CSIR and the foreign partner.

(J) PROJECT COMPLETION REPORT

A comprehensive project completion report will aid in strengthening the Management Information System (MIS) of the organization, therefore, proper documentation of the project results are extremely important. These reports not only provide information on the results achieved vis-à-vis targets but also help the Management to make an analysis of the success of the project. Every effort should be made to prepare the project completion report immediately after the completion of the project. The following guidelines may be followed in this regard:

- All the projects completed as per schedule shall have a project completion report (PCR). The Nodal laboratory of the respective project(s) is responsible for the preparation of project completion report in the proforma (category wise) as given in **Enclosure-8**.
- Before submission of the PCR to the CSIR Hqrs., the PCR (as per the appropriate format) should be prepared and placed before the forthcoming Research Council/ Advisory Committee meeting for consideration and “in-principle” approval. Subsequent to the same, the PCR should be submitted to the Nodal Directorate for obtaining the approval of the External Monitoring Committee/ Standing Experts Committee. The approval of the External Monitoring Committee/ Standing Experts Committee can be obtained by circulation or by conducting a physical/online meeting of the committee.
- Subsequent to the “in-principle” approval of the Research Council/ Advisory Committee, the final PCR should be submitted to the Nodal Directorate, CSIR Hqrs., while ensuring the following adherence:
 - (i) All the pages of the PCR should be signed by the Nodal PI;
 - (ii) Along with PCR, there must be a detailed Financial Statement indicating Year Wise/ Budget Head Wise Total Allocation and Total Expenditure, duly signed by Director/ Head of the Lab/Unit, F&AO or CoFA (as the case may be), Nodal PI and H/PME; and
 - (iii) All the other relevant documents such as approved MoM of LSG, External Monitoring Committee, Steering Committee, CSIR OM (related to project approval, Time Overrun, Cost Overrun, Project Revision, RCE etc.), Research Council's /Advisory Committee's approvals of PCR and any other document seems relevant should be attached as Annexures.
- The Nodal Directorate will examine the PCR for its completeness and submit the same to the DG, CSIR for consideration and approval for the closure of the project.
- Any new worthy idea, suggestion emanated from the submitted PCR and its approvals may be discussed in the forthcoming HoD's Meeting/ Directors' Meeting chaired by DG, CSIR and if found worthy and approved “In-principle” by the Competent Authority for further exploration/ consideration, can be forwarded to the respective Nodal Directorate/Theme Strategic Group/Mission Director for further examination and needful. The decision taken on all such ideas must be updated to the DG, CSIR in forthcoming HoD's and Directors' Meeting to take all such initiations to a logical point.

4. FINANCIAL MANAGEMENT

CSIR is getting Budgetary Support from the government in the form of grant-in-aid under three heads namely, (i) Grant-in-aid (GIA) General; (ii) Grant-in-aid (GIA) for the Creation of Capital Assets; (iii) Grant-in-aid (GIA) for Salary. In turn, CSIR allocates funds to all laboratories/ institutes under National Laboratories Scheme (NLS). The proper utilization of the grant provided by the government is the prime responsibility of CSIR laboratories. Timely utilization of the budgetary allocations directly reflects the efficiency of the organization and provides an indication of the progress of the projects. To facilitate CSIR laboratories towards proper utilization of funds, CSIR has framed the following guidelines for the Financial Management of the projects supported by the CSIR Hqrs:

(A) RELEASE OF FUNDS

- After the proposal is approved by the Competent Authority, project approval OM will be issued by the Nodal Directorate. The Nodal Directorate has to share the OM with CPD and CBD. Release of funds by CBD will be as per SOP of ibid guidelines.
- Nodal Directorate will submit the proposal for the release of funds to CPD and on the recommendations of CPD, CBD-CSIR will release funds as per the SOP. For ongoing projects, the nodal laboratory will provide the details of head-wise actual expenditure of previous years in respect of all the participating labs duly authenticated by their Head PME and countersigned by F&AO/ CoFA at the beginning of each financial year to the respective Directorate at CSIR Hqrs. The funds for the subsequent year of the project will only be released after the receipt of the expenditure statement from the nodal lab.
- CPD, CSIR will scrutinize and recommend the fund allocation/ release to the Central Budget Division of CSIR in respect of all the proposals for allocation after considering the proposal and justification received from the respective Directorate.

(B) REPHASING OF THE FUNDS WITHIN THE APPROVED COST OF THE PROJECT

In general, the rephasing of the budget in a particular project from one financial year to the next will not be entertained as it hinders financial planning. The rephasing request will be considered in extremely deserving situations with adequate justification, with due approval of the competent authority. Rephasing will be done in accordance with the prevailing CSIR / MoF Guidelines and relevant policies.

The re-phasing of the financial allocation may also arise due to:

- (i) the late start of the project; and
- (ii) the slow progress of the project resulting in saving in a particular year against the sanctioned allocation and
- (iii) Any other unprecedented situation.

In the above cases, the funds earmarked may not be spent by the laboratory during the sanctioned period. Thus, the funds to the extent not utilized during the sanctioned period may be considered for rephasing in subsequent year(s) with the approval of the competent authority only for the execution of the project as per the committed objectives in the original DPR/SFC

document. The following steps need to be followed for submitting rephased fund release request to the Nodal Directorate, CSIR Hqrs.

- Rephasing demand requests (with proper justification) from the laboratories should be duly vetted by the Finance section, signed by Nodal PI, Head, PME and signed and forwarded by the Director of the laboratory. The rephasing statement should have the necessary lab-wise, and head-wise break-up of expenditure already incurred and detailed rephrasing request for the proposed year. Rephasing of unspent amount on the TA (India and Abroad) and project manpower (covers under B/H P-07) is not allowed.
- The Concerned Nodal Directorate of CSIR Hqrs, based on the justification provided and the availability of funds (with CPD's concurrence), will process the request for consideration and concurrence of FA, CSIR.
- Subsequent to concurrence of FA, CSIR, Nodal directorate will submit the request to CPD for fund allocation (in consultation with CBD) and DG, CSIR approval for rephasing and subsequent allocation and release of fund. Once the approval of the DG, CSIR has been obtained, CPD will recommend allocation/ release of funds by Central Budget Division, CSIR Hqrs. and case will be marked back to Nodal Directorate for further needful.

The following documents need to be attached by the Nodal Directorate while submitting rephasing request to FA, CSIR and CPD:

- a) External Monitoring Committee/ External Expert Group recommendations for the projects
- b) DG, CSIR approval of Monitoring Committee proceedings / recommendations
- c) Demand of rephased fund requests with proper justification, duly signed by Nodal PI, FAO/CoFA of Nodal Laboratory, Head, PME and Director of the laboratory
- d) Earlier sanction OMs issued by CSIR Headquarters
- e) OMs issued by the laboratory (if any) and
- f) Expenditure statement lab-wise and head-wise for the previous years by laboratory duly attested and signed by Nodal PI, FAO/CoFA of Nodal Laboratory, Head, PME and Director of the Nodal laboratory

The concerned Directorate will issue the rephased OM with revised financial layout (as and where necessary) reflecting the approved re-phasing of funds. With the issued OM, the file can be sent to Budget, CSIR HQ for allocation/ release of fund.

Note: All OMs (Project approval/ Rephasing/ Re-appropriation approval) must duly mention the File No. and date on which it is concurred by IFD. Any OMs without mentioning of IFD concurrence and respective File No. and date will not be treated as valid.

(C) RE-APPROPRIATION OF FUNDS WITHIN THE LABORATORY

To give flexibility in the project implementation, re-appropriation of funds in a project is allowed. The guidelines in this regard are as under:

- The Re-appropriation of funds will be guided and controlled by the GFR.
- External Monitoring Committee/ External Expert Group is empowered to recommend the re-appropriation of funds from one budget head to another budget head on 'Revenue' or 'Capital' side as per the extant provisions of GFR.

- Re-appropriation demand requests (with proper justification) made by laboratories should be duly vetted by the Finance section, signed by Nodal PI and H/PME and signed and forwarded by the Director of the Nodal laboratory. The Re-appropriation statement should have the necessary lab-wise, and head-wise break-up of expenditure already incurred and detailed Re-appropriation information for the proposed year.
- The Concerned Nodal Directorate of CSIR Hqrs., based on the justification provided, will process the request for consideration and concurrence of the FA, CSIR through CPD.
- Subsequent to the concurrence of FA, CSIR; Nodal directorate will submit the request to DG, CSIR for consideration and approval.

The following document/s need to be attached by Nodal Directorate while submitting a re-appropriation request to FA, CSIR through CPD:

- a) External Monitoring Committee recommendations for the projects;
- b) DG, CSIR approval of Monitoring Committee proceedings/recommendations;
- c) Re-appropriation requests with proper justification duly signed by Nodal PI, FAO/CoFA of Nodal Laboratory, Head, PME and Director of the Nodal laboratory;
- d) Earlier Sanctioned OMs issued by CSIR Headquarters;
- e) OMs issued by the laboratory (if any); and
- f) Expenditure statement lab-wise and head-wise, duly attested and signed by Nodal PI, FAO/CoFA of Nodal Laboratory, Head, PME and Director of the Nodal laboratory.

The concerned Directorate will issue the re-appropriation OM with a revised financial layout (as and where necessary) reflecting the approved re-appropriation. With the issued OM, the file can be sent to Central Budget Division, CSIR Hqrs. for issuing the revised project's financial approval OM.

Note: All OMs (Project approval/ Rephasing/ Re-appropriation approval) must duly mention the File No. and date on which it is concurred by IFD. Any OMs without mentioning of IFD concurrence and respective File No. and the date will not be treated as valid.

Re-appropriation of funds is not permissible from:

- Capital budget head to Revenue budget head and vice versa.
- Augmenting TA provision.

(D) REALLOCATION/REDEPLOYMENT OF FUNDS FROM ONE LAB TO ANOTHER

Quite often the situation calls for reallocation from one lab to another during the course of the project to meet the emerging research needs. The guidelines under the case are as follows: -

- a) External Monitoring Committee/ External Expert Group is empowered to recommend the reallocation of funds from one participating lab to another lab under the same heads/subheads and under different sub-heads of capital and revenue without any limit by giving full justification for doing so
- b) Reallocation requests (with proper justification) made by laboratories should be duly vetted by the Finance section (Nodal Laboratory) and forwarded by the Director of the Nodal laboratory. Revised DPR needs to be annexed

- c) The concerned Nodal Directorate of CSIR Hqrs, based on the justification provided will process the request through CPD for concurrence of FA, CSIR and approval of DG, CSIR.
- d) The concerned Directorate will issue the OM for approved re-allocation of funds.

Note: The reallocated funds should be utilized only for approved items under the project.

(E) ADDITIONAL FUNDS OVER AND ABOVE THE APPROVED COST OF THE PROJECT

- The case falls under the category of RCE proposal.
- The guidelines are provided under 'cost overrun' of the Project Management section. These guidelines will also hold good for the above case.

(F) USE OF INTERNAL RESOURCES

CSIR is getting budgetary support from the government in the form of grant-in-aid for its smooth functioning. Major portion of this budgetary grant goes for meeting the salary and pension of the CSIR employees and obligatory expenses like water/electricity/gas bills, various annual maintenance charges (AMCs), municipal taxes as well as expenses on repairs, refurbishment, maintenance etc. The remaining funds are deployed for R&D projects. In order to supplement the CSIR budgetary resources, CSIR has a scheme named "Laboratory Reserve Fund" (LRF) / Headquarter Reserve Fund" (HQRF). The guidelines for generation and utilization of LRF/ LHRF is given at **Enclosure-9, 9a, 9b and 9c.**

5. STANDARD OPERATING PROCEDURES (SOPs)

Standard operating procedures (SOPs) are step-by-step instructions that act as guidelines for selection, implementation, monitoring and financial management of projects. SOPs framed by the CSIR for projects supported under different categories are as follows:

(A) SOPs FOR FTT, FTC, FBR, NCP, CSIR-FIRST AND HCP PROJECTS – NEW PROJECT PROPOSALS & FIRST YEAR FUND ALLOCATION/ RELEASE

- (a) Approval of the competent authority for inviting the proposals from the CSIR laboratories/ institutes/units is to be obtained by the respective Nodal Directorate at CSIR Hqrs. Since the project implementation date will be invariably 1st April, the concerned Directorate should start the process well in advance, preferably August / September of the preceding year.
- (b) The proposals should be invited in the prescribed proforma only, as enclosed in **Enclosure-10**.
- (c) The participating laboratory shall submit the structured proposal in the prescribed proforma as enclosed in **Annexure-1** of **Enclosure-4** and **Annexure-A** of **Enclosure-4f** if the proposal is recommended by the External Experts/ Review/Selection Committee for further consideration.
- (d) The Stage-Gate Model is to be followed for FTT, FTC and R&D-oriented HCP Projects.
- (e) Administrative examination of the project proposal in the respective laboratory/unit:
 - i. Budget requirement (B/H wise in tabular form) to be prepared by PI authenticated by Lab PME and vetted by Lab Finance with due justification and supporting documents.
 - ii. Avoid duplicity in capital funds for equipment that are already available with the labs/units and other grants purposes etc. (necessary justifications need to be provided for each and every B/H fund requirement). Only project-specific equipment / minor equipment should be sought. All general usage equipments should be sourced from the Infra budget. Further, in a network type project, lab/unit should try to utilize the resources available at Nodal/participating Lab/units at the maximum and accordingly the work packages of the proposal should be drafted and planned to exploit such resources in order to minimize capital fund requirement and maximize resource sharing/ utilization. All the TA (Abroad) funds should be sought with proper justification and in adherence with the prevailing CSIR / MoF (DoE) Guidelines for further consideration and needful at Nodal Directorate.

- iii. In case of multi-laboratory project (Nodal and Participating Laboratory/Unit), Nodal PI and Laboratory will be responsible to compile and consolidate all data/information and fund requirements in a single project proposal/ DPR/ SFC document. Further, for consideration/approvals of such proposals, approval of RC/AC of Nodal as well as Participating Labs/units should be annexed in the DPR/SFC documents. The core idea of this is to catalyse networking between labs/units, supporting well drafted/ formulated project with avoidance of duplication at CSIR level.
- iv. All the financial layout of proposal (as per the ceiling indicated/announced now and keep for capital and recurring heads informed by CPD at the start of the Financial year) prepared by PI, authenticated by Lab PME and vetted by Lab Finance with due justification and supporting documents.
- v. The proposal should be forwarded by the Nodal Lab/Unit to the concerned Nodal Directorate only within the specified deadline.

(f) All Directorate at Hqrs. should work in sync to avoid any duplication in any type of project (FTT/FTC/NCP/FBR/IST/Mission/HCP). The preliminary Technical Evaluation of the project proposals by the respective Nodal Directorate at CSIR Hqrs. will be done in terms of:

- i. Avoiding duplicity in terms of any on-going/past efforts at CSIR or stakeholders' level (only for FTT/FTC level);
- ii. Importance of the project proposed at CSIR / National Level including the relevance to the call issued;
- iii. Observation on proposed Capital and Recurring fund requirement (within the ceiling indicated); and
- iv. Identification and if possible, inclusion of stakeholders in the project (for FTT/FTC explicitly)

(g) There will be two levels of scrutiny: Internal screening committee under the Chairmanship of the Theme Director and the External Expert Committee. Project proposals will be placed before the internal screening committee for shortlisting. Based on the recommendations of the internal screening committee, the PIs of the shortlisted proposals will be advised to make a presentation before the External Expert Committee constituted with the approval of the Competent Authority for the final selection of projects under the respective Themes of CSIR. The TOR of the internal and external committee will be taken care by the Nodal Directorate. The Nodal Coordinator of the Nodal Directorate will be responsible for the flawless execution of the process in time bound manner.

(h) HCP being not directly associated with any Theme, will be primarily submitted and evaluated at RC/AC of the Lab/Unit for submission to CSIR Hqrs. and then at the respective External Expert Committee at CSIR Hqrs. level constituted by Nodal Directorate.

(i) CPD being the nodal of the R&D Planning, in consultation with the Central Budget Division, will communicate the ceiling for the respective FY to the Nodal Directorates. The Nodal Directorates will review the proposed and projected financial layout of the shortlisted projects and revision of the same according to their informed budget ceiling for the respective financial year (in consultation with the respective Lab/Unit) as and if required.

- (j) Ensuring their fund demand well within their informed ceiling, the nodal Directorates will submit the proceeding/recommendation's approval of the Expert Committee to DG, CSIR (Competent Authority) for approval through CPD. Such approved projects will be implemented after the completion of due process.
- (k) After approval of proceedings/recommendations and in-principle approval of Competent Authority, Nodal Directorate will submit the proposal to IFD CSIR (after getting confirmation of fund availability from CPD) for appraisal/concurrence of the project.
- (l) For projects below 100 crore: After appraisal of the project by FA, CSIR, the Nodal Directorate may obtain approval of DG, CSIR for project implementation. For projects more than 100 crore: (i) After IFD's concurrence, Nodal Directorate may obtain approval of DG, CSIR for SFC/EFC. (ii) Project will be placed to SFC/EFC for appraisal. (iii) After appraisal by SFC/EFC approval of competent authority would be obtained.
- (m) Nodal Directorate through the Policy Division will issue OM for the implementation of the project. (Nodal Directorate has to assign a unique Project Number as per **Enclosure-11**). The list of major equipment (single equipment costing more than Rs.5.00 lakh) should be part of the sanction OM of the project.
- (n) Nodal Directorate should submit the fund allocation/ release note to CPD along with the OM issued for the respective financial year. CPD (in consultation with CBD) will submit the file to the DG, CSIR for final consideration and approval for release of funds.
- (o) Nodal Directorate shall submit the file for fund allocation/release along with the following documents to CPD:
 - i. MoM of the Internal screening committee and External Expert Committee, duly approved by DG, CSIR. (The MoM must include submitted project/s details along with approved duration and Lab-wise fund requirement details);
 - ii. Sanction OM issued by the concerned Nodal Directorate of CSIR Headquarters with unique Project Number and comprehensive details of FY Wise and Budget sub-head-wise funds' details.
 - iii. Fund allocation/ release request submission from the Nodal Lab, duly signed by Nodal PI & Head, PME and forwarded by Director/Head of Lab/Unit (Nodal Lab will also be responsible for submitting the fund allocation/ release request for all the participating labs/units. To avoid any undesirable delay, such a request can be made in a single request submission only).
- (p) Subsequent to the ascertaining the fund availability; CPD (in consultation with the Central Budget Division) will seek final approval of DG, CSIR for allocation/ release of fund and subsequently with its recommendation will forward the file to the Budget Section, CSIR Hqrs. to make allocation and release of funds for the project. The Nodal Directorate will also be informed in parallel to keep them in loop.

(B) SOPs FOR MISSION MODE PROJECTS (MMP) – NEW PROJECT PROPOSALS & FIRST YEAR FUND ALLOCATION/ RELEASE

- (a) Identification of problem/challenge to be addressed through S&T intervention. All Theme Directors and Head of IMD and CPD will also be a part of this Identification and thereafter brainstorming/ discussion to avoid duplication in forms of other on-going/past CSIR projects (FTT/FTC/NCP/FBR/FCP/HCP/MLP/FIRST etc.) and ensure better utilization of available CSIR resources.
- (b) Approval of Competent Authority regarding the Brainstorming Proceedings and approval for inviting concept proposals from CSIR laboratories should be obtained by the Nodal Directorate. Since the project implementation date will be invariably 1st April, the concerned Directorate should start the process well in advance, preferably August / September of the preceding year.
- (c) Seeking concept proposals from CSIR laboratories by the Nodal Directorate.
- (d) Formation of Domain Expert Group with approval of the Competent Authority.
- (e) Brainstorming /discussion meetings for the formulation and fine-tuning of project proposal.
- (f) Inviting structured proposal in the prescribed proforma as enclosed in **Annexure-1** of **Enclosure-4** and **Annexure-A** of **Enclosure-4f** (in line with the Stage-Gate model) from the laboratory/institute/unit.
- (g) Administrative examination of the project proposal in the respective laboratory/unit:
 - i. Budget requirement (excel sheet to be prepared with due justification);
 - ii. Avoid duplicity in capital funds for equipments which are already available with the labs/units and other grants purposes etc. (necessary justifications need to be provided for each and every B/H fund requirement). Only project-specific equipment should be sought. All general usage equipment should be sourced from the Infra budget. Further lab/unit in a network type project should try to utilize the resources available at Nodal/participating Lab/units at the max and accordingly the work packages of the proposal should be drafted and planned to exploit such resources in order to minimize capital fund requirement and maximize resource sharing/ utilization.
 - iii. All the TA (Abroad) funds should be sought with proper justification and in adherence with the prevailing CSIR / MoF (DoE) Guidelines for further consideration and needful at Nodal Directorate
 - iv. In case of networked project (Nodal and Participating Laboratory/Unit case), Nodal PI and Laboratory will be responsible to compile and consolidate all data/information and fund requirements in a single project proposal/ DPR/ SFC document. Further for approvals of such proposals, approval of RC/AC of Nodal as well as participating Labs/units should be annexed in the DPR/SFC documents. The core idea of this is to catalyse networking between labs/units, supporting well drafted/ formulated project with avoidance of duplication at CSIR level.
 - v. All the financial layout of proposal prepared by PI and authenticated by the PME of Lab should be duly vetted by the respective Finance section of the laboratory/ Institute/unit.
 - vi. The proposal should be forwarded by the Director/Head of the Nodal Lab/Unit.

- (h) All Directorate at HQ should work in sync to avoid any duplication in Mission Projects. The preliminary Technical Evaluation of the project proposals by the respective Nodal Directorate at CSIR Hqrs will be done in terms of:
 - i. Avoiding duplicity in terms of any ongoing/past efforts at CSIR or stakeholders' level;
 - ii. Importance of the project proposed at CSIR / National Level
 - iii. Observation on proposed Capital and Recurring fund requirement (within the ceiling indicated); and
 - iv. Identification and inclusion of stakeholders in the Mission projects
- (i) There will be two level of scrutiny: At Internal Screening Committee (must consists of all the CSIR Theme Directors from the areas which are envisaged to be getting addressed under the Mission Project and Heads of TMD, IMD and CPD) under the Chairmanship of a prominent National/ International renowned expert of Mission related area. All Mission projects will be placed before this internal screening committee for shortlisting. Subsequent to the recommendations of the internal screening committee, the PIs of the shortlisted project proposals will be asked to make a presentation to the External Domain Expert Committee, constituted with the approval of the Competent Authority for the final selection of projects under the respective Themes of CSIR. The TOR of the internal and external committee will be taken care by the respective Nodal Directorate.
- (j) CPD being the nodal of the R&D Planning, will communicate the budget ceiling for the respective FY to the Nodal Directorates. The Nodal Directorates will review the proposed and projected financial layout of the shortlisted projects and revision of the same according to their informed budget ceiling for the respective financial year (in consultation with the respective Lab/Unit) as and if required.
- (k) Ensuring their fund demand well within their informed ceiling, the nodal Directorates will submit the proceeding/recommendation's approval of the Expert Domain Committee to DG, CSIR (Competent Authority) through CPD for approval. Such approved mission projects will be implemented after the completion of due process.
- (l) After approval of proceedings/recommendations and in-principle approval of Competent Authority, Nodal Directorate will submit the proposal to IFD CSIR (after getting confirmation of fund availability from CPD) for appraisal/concurrence of the project.
- (m) For projects below 100 crore: After appraisal of the project by FA, CSIR, the Nodal Directorate may obtain approval of DG, CSIR for project implementation. For projects more than 100 crore: (i) After IFD's concurrence, Nodal Directorate may obtain approval of DG, CSIR for SFC/EFC. (ii) Project will be placed in SFC/EFC for appraisal. (iii) After appraisal by SFC/EFC approval of competent authority would be obtained.
- (n) Nodal Directorate through Policy Division will issue OM for the implementation of the project. (Nodal Directorate has to assign a unique Project Number as per **Enclosure-11**). The list of major equipment (single equipment costing more than Rs.5.00 lakh) should be part of the sanction OM of the project.
- (o) Nodal directorate should submit the fund allocation/ release note to CPD along with the OM issued for the respective financial year. CPD (in consultation with CBD) will submit the file to the DG, CSIR for final consideration and approval.

- (p) Nodal Directorate shall submit the file for fund allocation/release along with the following documents to CPD:
 - i. MoM of the Internal screening committee and External Domain Expert Committee duly approved by DG, CSIR. (The MoM must include submitted mission project/s details along with approved duration and FY wise fund requirement details);
 - ii. Sanction OM issued by CSIR Headquarters, including unique Project Number comprehensive details of FY Wise/ Lab Wise and Budget sub-head-wise funds' details; and
 - iii. Fund allocation/ release request submission from the Nodal Lab, duly signed by Nodal PI & Head, PME and forwarded by Director/Head of Lab/Unit (Nodal Lab will also be responsible for submitting the fund allocation/ release request for all the participating labs/units. To avoid any undesirable delay, such a request can be made in a single request submission only).
- (q) Subsequent to the examination of the above and fund availability, CPD will seek final approval of DG, CSIR for allocation/ release of funds and subsequently, with its recommendation will forward the file to the Central Budget Division, CSIR Hqrs to make allocation and release of funds for the mission project. The Nodal Directorate will also be informed in parallel to keep them in a loop.

(C) SOPs FOR FCP PROJECTS

The SOP/Guideline for the selection, implementation and monitoring of Facility Creation Projects (FCPs) and Facility Creation Projects 2.0 under CSIR Special Projects Scheme (CSPS-2024) are enclosed at **Enclosure-12** and **Enclosure-13**. The laboratory/institute/unit shall submit the structured proposal in the prescribed proforma as enclosed in **Annexure-1** of **Enclosure-4** and **Annexure-A** of **Enclosure-4f**.

FCP being not directly associated with any Theme, will be primarily submitted and evaluated at RC/AC of the Lab/Unit for submission to CSIR Hqrs. and then at the respective External Expert Committee at CSIR Hqrs level constituted by the Nodal Directorate. The list of major equipment (single equipment costing more than Rs.5.00 lakh) should be part of the sanction OM of the project.

(D) SOPs FOR IST PROJECTS – NEW PROJECT PROPOSALS & FIRST YEAR FUND ALLOCATION/ RELEASE

- (a) The Unilateral / Bilateral / Multilateral IST Projects would be invited/initiated based on the Agreements/MoU/s/ Programs/Terms of Cooperation / approved by the Competent Authority of CSIR (with the concurrence of FA, CSIR).
- (b) Approval of the competent authority for inviting the proposals from CSIR laboratories/institutes/ units will be obtained by ISTAD, CSIR Hqrs.
- (c) The proforma for inviting IST Project proposals is mutually agreed by CSIR and its foreign partners. The proforma may vary for each partner organisation.
- (d) Administrative examination of the project proposal in the respective laboratory/unit:
 - i. Budget requirement (B/H wise in tabular form to be prepared with due justification);

- ii. Avoid duplicity in capital funds for equipment which are already available with the labs/units and other grants purposes etc. (necessary justifications need to be provided for each and every B/H fund requirement). Only project-specific equipment / minor equipment should be sought. All / general usage equipment should be sourced from the Infra budget. Further lab/unit in a network type project should try to utilize the resources available at Nodal/participating Lab/units at the maximum and accordingly the work packages of the proposal should be drafted and planned to exploit such resources in order to minimize capital fund requirement and maximize resource sharing/ utilization.
- iii. All the TA (Abroad) funds should be sought with proper justification and in adherence with the prevailing CSIR/MoF (DoE) Guidelines for further consideration and needful at ISTAD.
- iv. In case of consortium project (Nodal and Participating Laboratory/Unit case), Nodal PI and Laboratory will be responsible to compile and consolidate all data/information and fund requirements in a single project proposal.
- v. All the financial layout of proposal should be duly vetted by the respective Finance section of the laboratory/ Institute/unit.
- vi. The proposal should be forwarded by the Director/Head of the Nodal Lab/Unit to ISTAD within the deadline.

(e) The IST Project proposals shall be evaluated/reviewed either jointly or individually as per mutually agreed terms. At CSIR, the project proposals shall be evaluated by the Standing Experts Committee (SEC) for International Cooperation Programmes. The decision on award of the project shall be taken jointly based on the joint/individual review and recommendations, as per agreed terms.

(f) The ISTAD will submit the proceeding/recommendations of joint/individual review to DG, CSIR (Competent Authority) for approval.

(g) With Competent Authority's approval, ISTAD will issue OM on the implementation of the project (with unique Project Code as per **Enclosure-11**). The list of major equipment (single equipment costing more than Rs.5.00 lakh) should be part of the sanction OM of the project.

(h) Based on the OM, for project implementation ISTAD will request the Budget/IFD, CSIR Hqrs. through CPD, CSIR Hqrs. for the release of funds as per the approved FY-wise allocation for the project.

(E) SUBSEQUENT YEAR ALLOCATION OF THE PROJECT UNDER ALL CATEGORIES OF THE PROJECTS

- a) All CSIR funded project's progress should be periodically reviewed by the External Expert Committee (for FTT/FTC/NCP/FBR/HCP/FIRST/FCP); Standing Expert Committee or joint review with international partner (for IST projects); and Monitoring Committee/Domain Expert Committee (for Mission Mode Projects).
- b) Nodal Directorate should convene the meeting of the such committee by end of February and should obtain the approval from the Competent Authority for the recommendations (MoM) of such committee by mid-March in order to ensure timely release of the funds.

- c) The following documents need to be submitted by Nodal Directorate for placing a fund release request to CPD.
 - (i) Competent Authority's approval of the recommendations of the External Expert Committee / Standing Experts Committee or Joint review with international partners (for IST Projects)
 - (ii) Sanction OMs issued by Nodal Directorate
 - (iii) CSIR Headquarters Demand of fund requests made by laboratories (In case of Networking projects, Nodal Lab will be responsible for consolidating and raising fund requirement for the Nodal as well as the participating Lab/Unit).

After examination, CPD will get the approval of the competent authority and recommend the same to the Central Budget Division for necessary fund release.

(F) PROJECT MONITORING

The guidelines for project monitoring are provided under the 'monitoring' of the Project Management section. These guidelines will also hold good for the above cases.

(G) PROJECT COMPLETION AND CLOSURE

The guidelines for project completion and closure are provided under the 'Project Completion Report' of the Project Management section. These guidelines will also hold good for the above cases.

Note:

- I. Technology Management Directorate (TMD) and Innovation Management Directorate (IMD) are the nodal Directorates for the Projects under FTT, FTC, FBR, NCP, CSIR-FIRST, MMP and HCP projects; ISTAD is the nodal Directorate for the IST Projects; and CPD is the nodal Directorate for the FCP and HCP Projects submitted by CSIR Units/ Labs.
- II. The concerned Directorate will be the overall custodian of the respective projects (evolving the concept, implementation, monitoring, financial management, closure etc.)

ACKNOWLEDGEMENTS

Central Planning Directorate (CPD) put on record its gratitude to Dr. (Mrs.) N. Kalaiselvi, Director General, CSIR and Shri Chetan Prakash Jain, Financial Advisor, CSIR for their guidance and support in preparing these guidelines.

CPD also thanks Dr. Vibha M. Sawhney, Head, Technology Management Directorate (TMD); Dr. (Mrs.) Rama Swami Bansal, Head, International S&T Affairs Directorate (ISTAD); Dr. Debashis Bandyopadhyay, Head, Innovation Management Directorate (IMD); and Dr. R.P. Singh, Former Head, IMD for providing all the necessary information and proformae as and when required.

The hard and painstaking work put in for preparing these guidelines by Dr. S. Sathiyanarayanan, Former Head, CPD and Shri Mayank Mathur, Chief Scientist, CPD, is also appreciated and acknowledged.

ENCLOSURE-1

No. 33(01)/PFC-II/2020
Government of India
Ministry of Finance
Department of Expenditure
[Public Finance (Central-I) Division]

North Block, New Delhi,
Dated: 19.01.2021

OFFICE MEMORANDUM

Subject: Continuation of schemes beyond 31st March, 2021 – clarification reg.

Reference is invited to File No.30-2(73)/2017-IFD received from IFD, DSIR regarding CSIR on the above-mentioned subject.

2. The matter has been examined. In this regard, Department of Expenditure has following comments:

DoE's OM No.42(02)/PF-II/2014 dated 8th December, 2020 provides guidelines applicable for continuation of Central Sector schemes (CS) and Centrally Sponsored schemes of Ministries/Departments. The schemes/projects of CSIR are funded through the GIA received to CSIR under Other Central Sector Expenditure of D/o Scientific and Industrial Research. Therefore, the continuation of projects/schemes of CSIR would be governed by GFR Rules, 2017 and delegation of financial powers.

3. This issues with the approval of competent authority.

Sd/-
(Shalaka Kujur)
Deputy Director (PFC-I)
Tele: 23095664

Ms. Anurima K Sinha,
Deputy Secretary (IFD),
Department of Scientific & Industrial Research,
Technology Bhawan, S&T Block I,
New Mehrauli Road, Delhi -110016

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Anusandhan Bhawan, 2, Rafi Marg, New Delhi-110001

No.: 5-1(342)/2017-PD

Dated: 02.09.2024

OFFICE MEMORANDUM

Sub: Guidelines for engagement of project personnel under various CSIR (incl. NMITLI, OLP, MLP, industry sponsored, Contract / Consultancy / Sponsored projects etc.) and non-CSIR funded projects - reg.

The undersigned is directed to state that the DG, CSIR has constituted a Committee to review and framing of guidelines relating to engagement of Project staff in CSIR projects including NMITLI Project, OLP/ MLP, Contract R&D and non-CSIR funded projects.

Accordingly, the DG, CSIR, in consultation with FA, CSIR, has accorded approval of revised **Guidelines for engagement of project personnel under various CSIR (incl. NMITLI, OLP, MLP, industry sponsored, Contract / Consultancy / Sponsored projects etc.) and non-CSIR funded projects** which is enclosed as Annexure.

The aforesaid guidelines are issued in supersession of all the earlier guidelines related to Project Staff and shall come into force with effect from 01.09.2024.

Hindi version will follow.

Sd/-
(M Arun Manikanda Bharathi)
Under Secretary (Policy Division)

Encl: As Above

Copy to:

1. Directors/ Heads of all the CSIR Labs/ Instts/ Hqrs/ Units
2. Heads of all Scientific Directorates of CSIR Hqrs
3. FA, CSIR
4. Sr. COA/ Sr. DS/ DS/ CoA/ US/ AO of all the CSIR Labs/ Instts/ Hqrs/ Units
5. Sr. DFA/ Sr. COFA/ DFA/ COFA/ FAO of all the CSIR Labs/ Instts/ Hqrs/ Units
6. O/o DG, CSIR
7. O/o JS(A), CSIR
8. O/o CVO, CSIR
9. LA, CSIR
10. CSIR Website
11. Office copy

GUIDELINES FOR ENGAGEMENT OF PROJECT PERSONNEL

1. GENERAL

- 1.1 These guidelines would be called "***Guidelines for engagement of project personnel under various CSIR (incl. NMITLI, OLP, MLP, industry sponsored, Contract/Consultancy/ Sponsored projects etc.) and non-CSIR funded projects***".
- 1.2 The guidelines provide for issues regarding various terminologies, essential qualifications to be met including age, emoluments for different position, procedure for engagement, leave structure and other benefits, if any.
- 1.3 Any relaxation in any of the aspects laid out in these guidelines shall be allowed, only in exceptional circumstances with the concurrence of FA, CSIR and with the prior approval of DG, CSIR.
- 1.4 These guidelines are to be followed by all Laboratories/ Institutes. Director / Sr. COA/ COA/ AO shall be responsible to ensure compliance of these instructions. Generally, no request should be forwarded to CSIR Hqrs. for any relaxation.
- 1.5 All the positions defined under these guidelines are temporary & co-terminus with the project under which one is engaged. The guidelines take into account the fact that in case of CSIR-Mission mode projects, the time line is usually 3 years and more often than not the mission projects also tend to move into version 2.0 phase as well, effectively making a mission project to be of 6 years duration in total. In such cases, it is also essential that the personnel may be required to continue in a project as they may involve unique set of skills and the time for training new personnel will hamper the progress of deliverables in the project.
- 1.6 Considering the facts as mentioned at 1.5 above, the total period of engagement of any project personnel under one project and/ or combination of different projects, either in the same laboratory and/ or different laboratories of CSIR, cumulatively taken together shall not exceed 6 years, unless otherwise provided for under these guidelines.
- 1.7 However, the project personnel shall be allowed to continue beyond 6 years only in case of contract/ consultancy/ sponsored projects funded by Public Sector Undertakings (PSUs), Industries, Start-ups and Individual entrepreneurs, that are of 12 months or less duration. In such an event, the total period of engagement of any project personnel under one project and/ or combination of different projects, either in the same laboratory and/ or different laboratories of CSIR, cumulatively taken together shall not exceed 7 years.
- 1.8 In case of non-CSIR funded projects including those funded by international agencies, the concerned funding agency's guidelines shall be applicable. In case of non-availability of such guidelines, the one framed by CSIR (i.e., those in these guidelines) shall be applicable. In any case, the cap on period of engagement of 6 or 7 years (as the case may be as per clause 1.6 / 1.7 above) shall be applicable for non-CSIR funded projects as well.
- 1.9 There are also instances that the personnel engaged in CSIR or non-CSIR funded project may continue their academic journey by registering for higher degree (i.e., PhD) either under AcSIR or under any universities with which CSIR/CSIR

laboratories have signed a Memorandum of Understanding. In such cases, the period of engagement of a project staff (in any project in any lab) to pursue Ph.D [i.e., between his Ph.D registration and Thesis submission] shall not be counted for the purpose of total tenure (6/7 years) mentioned under para 1.6 and 1.7 of these guidelines.

1.10 Where any doubt arises with regard to interpretation of any of these guidelines, the matter shall be referred to the Policy Division, CSIR Hqrs.

2. TERMINOLOGIES FOR VARIOUS POSITIONS

Various Institutes/ Laboratories, depending on the functional requirements, engage different people under various categories. The following provides for equivalence of various categories/ personnel and Institutes/ Laboratories depending on the functional requirements of the project may use any of these terms interchangeably.

2.1 **Project Assistant (PA):** The Project Assistants (PA-I and PA-II) shall be engaged for performing the activities of a Field Worker, Laboratory Assistant, Technician, Technical Assistant and Field Assistant.

2.2 **Project Associate (PAT):** This includes PAT-I, PAT-II, Senior PAT (S- PAT) and Principal PAT (P-PAT). The various sub-categories under this position are determined by the conditions for engagement as mentioned later under these guidelines. The differentiation may be made while issuing the advertisement for the engagement under the project.

2.3 **Project Scientist (PS):** This includes PS-I, PS-II and PS-III. The various sub-categories under this position are determined by the conditions for engagement as mentioned later under these guidelines. The differentiation may be made while issuing the advertisement for the engagement under the project.

2.4 **Project Co-coordinator (PC) or Principal Investigator (PI):** This includes those positions which are employed under grants from non- governmental (incl. Public Sector Undertakings, industries) / voluntary organizations.

2.5 **Project Manager (PM):** The PM positions can only be recruited under any project costing more than 5.0 crores or in a centre that manages central facility of the Institute / Laboratory.

3. ESSENTIAL QUALIFICATIONS, AGE, EMOLUMENTS FOR VARIOUS PROJECT PERSONNEL POSITIONS

4.

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
1.	Project Assistant (PA)			
	1.1 Project Assistant-I (PA-I)	SSC/ 10 th plus ITI	35	18,000 + HRA

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
	1.2 Project Assistant-II (PA-II)	B.Sc./3 years Diploma in Engineering/Technology	35	20,000 + HRA Increment of 15% after 3 years of experience in the same project.
2.	Project Associate (PAT)			
	2.1 PAT-I	Masters/Integrated Masters in Natural or Agricultural or Pharmaceutical Sciences / MVSc / Animal Sciences OR Bachelor's degree in Engineering or Technology or Medicine from a recognized University OR Any equivalent qualifications duly recognized by the concerned authority as per the functional requirement of the Project to be recorded in writing by PI and Director	35	(a) 31,000 + HRA for those candidates who have qualified CSIR- UGC / ICAR / ICMR NET incl. lectureship/assistant professorship or GATE OR those who have qualified National level examinations conducted by Central Government Departments like DBT/ DST or equivalent and/ or their Agencies/ Institutions. (b) 25,000 + HRA for others who do not fall under (a) above.
	2.2 PAT-II	(i) Masters / Integrated Masters in Natural or Agricultural or Pharmaceutical Sciences/ MVSc / Animal Sciences OR Bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent and 2 years experience in Research and Development in	35	(a) 35,000 + HRA for those candidates who have qualified CSIR- UGC / ICAR / ICMR NET incl. lectureship/ assistant professorship or GATE OR those who have qualified National level examinations conducted by Central Government Departments like DBT/ DST or equivalent and/ or their Agencies/

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
		<p>Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services.</p> <p>OR</p> <p>(ii) Masters / Integrated Masters in Engineering or Technology from a recognized University.</p>		<p>Institutions</p> <p>(b) 28,000 + HRA for others who do not fall under (a) above.</p>
	2.3 Senior-PAT	<p>(i) Masters / Integrated Masters in Natural or Agricultural or Pharmaceutical Sciences/ MVSc / Animal Sciences</p> <p>OR</p> <p>Bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent</p> <p>and</p> <p>3 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p> <p>OR</p> <p>(ii) Masters / Integrated Masters in Engineering or</p>	40	42,000+HRA

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
		<p>Technology from a recognized University</p> <p>OR</p> <p>Doctoral Degree in Science/ Pharma/ MD / MS from a recognized University or equivalent</p>		
	2.4 Principal-PAT	<p>(i) Masters/ Integrated Masters in Natural or Agricultural or Pharmaceutical Sciences / MVSc / Animal Sciences</p> <p>OR</p> <p>Bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent</p> <p>and</p> <p>6 years' experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p> <p>OR</p> <p>(ii) Masters / Integrated Masters in Engineering or Technology from a recognized University</p> <p>OR</p> <p>Doctoral Degree in Science/ Engineering / Technology/ Pharma/ MD / MS from a recognized University or equivalent.</p> <p>and</p>	40	49,000+HRA

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
		3 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services		
3.	Project Scientist (PS)			
	3.1 PS-I	<p>Doctoral Degree in Science or Masters / Integrated Masters in Engineering or Technology from a recognized University or equivalent</p> <p>and</p> <p>4 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p>	35	<p>56,000+HRA</p> <p>Increment of 5% for every 2 years of experience in the same project.</p>

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
	3.2 PS-II	<p>Doctoral Degree in Science or Masters/ Integrated Masters in Engineering or Technology from a recognized University or equivalent</p> <p>and</p> <p>5 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p>	40	<p>67,000+HRA</p> <p>Increment of 5% for every 2 years of experience in the same project.</p>
	3.3 PS-III	<p>Doctoral Degree in Science or Masters/ Integrated Masters in Engineering or Technology from a recognized University or equivalent</p> <p>and</p> <p>7 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p>	45	<p>78,000+HRA</p> <p>Increment of 5% for every 2 years of experience in the same project.</p>

Sl.No.	Position	Essential Qualification	Age Limited (In years)	Monthly Emoluments (in Rs.)
4.	PI/Project Coordinator-I (For Non-Government/Voluntary Organisations)	Doctoral Degree in Engineering/ Sciences/ Medicines / Pharma/ Social Sciences/ MD and 4 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services	As per the scheme Or 45, if no scheme guidelines are available	60,000/- (Consolidated)
5.	PI/Project Coordinator-II (For Non-Government/Voluntary Organisations)	Masters / Integrated Masters in Engineering/ Sciences / Social Sciences and 2 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services	As per the scheme Or 45, if no scheme guidelines are available	30,000/- (Consolidated)
6.	Project Manager	Doctoral Degree in Science or Masters / Integrated Masters in Engineering or Technology from a recognized University or equivalent and with 15 years of experience in relevant field	55	1,25,000-2,00,00 (Consolidated emoluments from the above range) (Note: The emoluments in this case will be recommended by the selection committee with reasons to be recorded in writing.)

Note

1. House rent allowance or HRA payable shall be as per the extant Government of India rules as applicable to CSIR employees.
2. In case of Project Associates (PAT-I & PAT II), if a selected candidate qualifies the CSIR UGC / NET examination after his/ her appointment, he/ she can be considered for payment of higher emoluments subject to the availability of provision for the same and availability of funds in the Project along with the specific recommendation of PI which are duly endorsed by Head PME and Finance and after the approval of Director / DG, CSIR (as the case may be).
3. In case of a centre that manages central facility of the Institute / Laboratory, the regular manpower should be utilized to its maximum.
4. The Project Staff including Scientific Administrative Assistant engaged prior to the notification of these guidelines shall be allowed to complete his/ her tenure.

4. PROCEDURE FOR ENGAGEMENT OF PROJECT PERSONNEL

- 4.1 **Advertisement for engagement of positions:** The concerned Institute / Laboratory shall advertise the positions as per their functional requirements basis. The Institute / Laboratory shall advertise these through pointer advertisement in the national print media, basis the requirement. The Institute shall host the detailed advertisement on the website and social media platforms apart from mandatorily hosting it on the National Career Service (NCS) Portal of Government of India. Advertisement(s) may also be sent to CSIR-HQ / CSIR Institutes/ Labs and other academic/ research institutions for wide publicity of the advertisement.
- 4.2 **Constitution of Selection Committee:** The Selection Committee for the engagement of various project personnel shall be constituted by the Head of the Laboratory or Director of the Institute. In case of CSIR-HQ, DG- CSIR or any other authority designated by DG, CSIR shall constitute the Selection Committee.

(a) For PA / PAT: The selection committee shall consist of the following:

- i. Director's nominee / DG's nominee in case of CSIR-HQ [Chairperson]
- ii. Head, PME/ BD of the laboratory or nominee [Head, CPD in case of CSIR-HQ or nominee]
- iii. Two subject experts [Internal/ Sister Lab/ External]
- iv. Principal Investigator / Project Leader / Project Co-ordinator

Quorum - Chairperson and two members

(b) For PS/PC/PI/PM: The selection committee shall consist of the following:

- i. Director's nominee / DG's nominee in case of CSIR-HQ [Chairperson]
- ii. Head, PME/ BD of the laboratory [Head, CPD in case of CSIR-HQ] or nominee
- iii. One subject expert from within the laboratory / Institute
- iv. One expert nominee [Sister Lab/ External]
- v. Principal Investigator / Project Leader / Project Co-ordinator

Quorum - Chairperson and two members

4.3 ***Selection for engagement, panel of waitlisted candidates and its validity:*** Considering the fact that sufficient time would be lost in engaging the personnel, the selection committee, if deems fit, may propose a panel of waitlisted candidates in the order of merit in addition to the selected candidate, only in case of projects of 18 months or more duration. Such panel, if prepared and recommended by the committee, shall be operational for a period of not more than 12 months from the date of operation of the recommendation of the Selection Committee.

4.4 ***Other modes of engagement:*** Only in case of exigency where the project period is less than 12 months, the concerned Institute/ Laboratory may directly engage candidate(s) fulfilling the qualifications laid down (at clause 3 above for various positions) with the reasons to be recorded in writing and due approval of the competent authority (Director / Heads in case of Institutes / Laboratory or DG in case of CSIR-HQ) and subject to provision and availability of the fund under the Project. Such engagements are exempted from the selection committee process and advertisement as mentioned above. However, their services shall invariably be co-terminus with the completion of that project or on the expiry of the extended period of tenure. The total tenure of Project Staff shall not exceed 6 or 7 years under any circumstances (refer clause 1.6 or 1.7).

4.5 The relaxation in the age limit for the candidates belonging to the category of SC/ ST/PwBD / Women and the category of OBC shall be 05 years and 03 years respectively or as per Govt. of India instructions issued in this regard from time to time.

4.6 Engagement under any of these positions shall be on behalf of the sponsoring agency and shall be temporary and co-terminus with the tenure of the project or 06 years whichever is earlier. Further such engagement, directly or indirectly, shall not provide any right/ claim for regularization for permanent post of CSIR. ***This condition shall invariably be incorporated in the Offer of engagement of Project personnel.***

5. OTHER CONDITIONS & BENEFITS

5.1 ***Conditions for engagement.***

- (a) The selected candidates shall furnish a character certificate and medical fitness certificate issued by any government Medical Officer or Medical Officer(s) of CSIR-Dispensaries. Such character certificate verified by a gazetted officer including Scientists of the level of Scientist 'C' & above at CSIR. In case the candidate has resided abroad during the preceding five years, then his Character antecedent verification shall be conducted through the Intelligence Bureau (IB) before issuing offer of appointment.
- (b) Each selected candidate shall sign an undertaking for maintaining confidentiality of project findings and/ or any associated intellectual property information.
- (c) No project personnel shall be allowed to shift from one project to another until and unless he / she is selected afresh.
- (d) If any close relative of CSIR employees, as defined vide CSIR letter No. 4-73/ 2006-E-II dated 23.01.2008, is selected for engagement in any position as mentioned in these guidelines, Institutes/ laboratories shall strictly adhere to guidelines issued by CSIR from time to time on the subject.

5.2 Benefits:

- (a) Project personnel engaged as per these guidelines shall be eligible to medical facilities at CSIR dispensaries of the institute, to the extent of consultation and/ or available medicines at the dispensary and transport facilities, if any, as per the terms and conditions with which it is provided by the Institute.
- (b) Project personnel engaged in the projects may be covered under Group Medical Insurance Scheme, subject to their willingness, for which the cost shall be borne by the individual concerned.
- (c) Project personnel shall be eligible for travel allowance and dearness allowance as per the Office Memorandum of CSIR *i.e.*, 5-1(53) / 2008-PD dated 12.04.2023. However, in case any project involves the project personnel travelling abroad, such travel shall be allowed with a due approval of the Director of the Institute (and DG in case of CSIR-HQ) as per rules applicable to international travel of CSIR employees.
- (d) Women project personnel shall be eligible for maternity leave of 180 days and the male project personnel shall be eligible for paternity leave of 15 days only in case of two surviving children as per CSIR norms. Further, the Project Staff shall be paid the stipend for the period of aforesaid leave only after re-joining the office after availing such leave and submission of relevant medical reports/ documents.
- (e) The project personnel are entitled to avail leaves as per extant rules of CSIR *i.e.*, 12 days of leave (at the rate of one day leave per month). Any leave availed beyond this shall be without emoluments calculated *pro- rata*.
- (f) The project personnel may be allowed to register for higher degree (*i.e.*, PhD) as per the policy of the Institute, if they fulfill all the requirements laid down for such purposes, provided that the project duration is at least 3 years or more, apart from any other conditions laid down by the concerned Institute/ Laboratory. The permission to register for PhD is subject to the condition that the work of the project is not affected and it will be without any financial obligation to CSIR / Project. The tenure of the Project personnel shall not be extended merely on the ground that he/ she has not completed the PhD.

6. APPLICABILITY AND REPEALS

- 6.1 The above guidelines shall be followed scrupulously in letter & spirit by all the laboratories/ institutes.
- 6.2 Any experience certificate to project personnel shall be issued by the Administration of the concerned Laboratory/ Institute. However, any other recommendation letter or reference letter shall be issued by the Principal Investigator / Project Leader in all cases except Project Manager *and such letter shall not commit on any administrative aspects*. For Project Manager, such recommendation or reference letter shall be issued by the Director / Head of the Laboratory/ Institute.
- 6.3 Mere engagement as project personnel shall not confer any such personnel the right to register for higher degrees or permanent employment in CSIR or its Laboratories/ Institutes.
- 6.4 These guidelines shall come into effect from 01.09.2024 and shall supersede all previous guidelines/ instructions regarding the engagement of project staff / personnel.

वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
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Anusandhan Bhawan 2, Rafi Marg, New Delhi-110 001

No.: 5-1(342)/2017-PD

Dated 18.10.2024

OFFICE MEMORANDUM

Sub: Guidelines for engagement of project personnel under various CSIR (incl. NMITLI, OLP, MLP, industry sponsored, Contract / Consultancy / Sponsored projects etc.) and non-CSIR funded projects - reg.

References have been received from CSIR Labs./Instt. regarding revised Guidelines for engagement of project personnel under various CSIR (incl. NMITLI, OLP, MLP, industry sponsored, Contract / Consultancy/Sponsored projects etc.) and non-CSIR funded projects issued vide CSIR OM of even number dated 02.09.2024.

The matter has been considered by the DG, CSIR and has accorded approval for the following modification/clarification on the aforesaid guidelines dated 02.09.2024:

1. Essential Qualification for Senior-PAT [Clause 3]:

Position	Essential Qualification	Age limit (in years)	Monthly emoluments (in Rs.)
2.3 Senior-PAT	<p>(I) Masters /Integrated Masters Natural or Agricultural or Pharmaceutical Sciences/ MVSc / Animal Sciences</p> <p>OR</p> <p>Bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent</p> <p>and</p> <p>3 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p> <p>OR</p> <p>(ii) Masters /Integrated Masters in Engineering or Technology from a recognized University</p> <p>OR</p>	40	42,000+HRA

	<p>Doctoral Degree in Science/ Pharma/MD/MS from a recognized University or equivalent</p> <p>and</p> <p>2 years experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services</p>		
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2. Emoluments for Project Manager [Clause 3]:

Position	Essential Qualification	Age limit (in years)	Monthly emoluments (in Rs.)
6. Project Manager	<p>Doctoral degree in Science or Masters / Integrated Masters in Engineering or Technology from a Recognized University or equivalent</p> <p>and</p> <p>with 15 years of experience in relevant field</p>	55	<p>1,25,000 - 2,00,000 (Consolidated emoluments from the above range)</p> <p>Note: The emoluments in this case will be recommended by the selection committee with reasons to be recorded in writing.</p>

3. Advertisement for engagement for project positions [Clause 4.1]:

4.1 The concerned Institute/Laboratory shall advertise the positions as per their functional requirements basis. The issue of pointer advertisement is desirable for the sake of wide publicity in local newspapers. However, if number of advertisements of a Laboratory are too many then the Director of the Lab may issue pointer advertisement occasionally (say once in a month) and not necessarily for every advertisement. However, the Laboratory shall take all measures for wide publicity through various other means such as Social Media, Web Portal, National Career Service (NCS) portal, office notice board etc.

4. Conditions for engagement [Clause 5.1 (b)]:

5.1 (b) Each selected candidate shall sign an undertaking for maintaining confidentiality of project findings and/ or any associated intellectual property information and for pledging adherence to scientific work ethics while being employed in the organization.

5. Benefits [Clause 5.2 (c)]:

5.2 (c) Project personnel shall be eligible for travel allowance and daily allowance as per the Office Memorandum (OM) of CSIR i.e., 5-1(53)/2008-PD dated 12.04.2023. However, in case any project involves the project personnel travelling abroad, such

travel shall be allowed with a due approval of the Director of the Institute (and Head-DGED in case of CSIR-HQ) as per rules applicable to international travel of CSIR employees.

The other provisions of the aforesaid CSIR OM of even number dated 02.09.2024 shall remain the same.

Sd/-
(Amrendra Kumar)
Under Secretary (Policy Division)

Copy to:

- 1 Directors/Head of all the CSIR Labs/Instts/Hqrs/Units
- 2 Heads of all Scientific Directorates of CSIR Hqrs
- 3 FA, CSIR
- 4 Sr. COA/Sr. DS/DS/CoA/US/AO of all the CSIR Labs/Instts/Hqrs/Units
- 5 Sr. DFA/Sr. COFA/DFA/COFA/FAO of all the CSIR
Labs/Instts/Hqrs/Units
- 6 O/o DG, CSIR
- 7 O/o JS(A), CSIR
- 8 O/o CVO, CSIR
- 9 LA, CSIR
- 10 CSIR Website
- 11 Office copy

ENCLOSURE-3

वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
Council of Scientific and Industrial Research
अनुसंधान भवन, 2, रफी मार्ग, नई दिल्ली – 110 001
Anusandhan Bhawan 2, Rafi Marg, New Delhi-110 001

सा./No. 5-1(354)/2016-PD

दिनांक/Dated: 02.12.2022

प्रेषक : संयुक्त सचिव (प्रशासन)
From : Joint Secretary (Admn.)

सेवा में: सी.एस.आई.आर की सभी राष्ट्रीय प्रयोगशालाओं/संस्थाओं/इकाइयों के निदेशक/प्रमुख
To : The Directors/Heads of all National Labs./Instts./Units of CSIR

विषय/Sub: Regulation of Remuneration in case of Contract Appointment (including consultant) of Retired CSIR/Central Government/CAB Employees in CSIR - reg.

महोदया/महोदय Madam/Sir,

I am directed to state that DG, CSIR, with the concurrence of FA, CSIR, has accorded approval to endorse Government of India instructions as contained in the Department of Expenditure OM No. 3-25/2020-E.IIIA dated 09.12.2020 for regulation of remuneration in case of Contract Appointment (including consultant) of retired CSIR/Central Government/Central Autonomous Bodies (CABs) Employees in CSIR, subject to the following conditions:

1. Engagement of retired CSIR/CAB/Central Government Employees on contract in CSIR should be done in urgent and emergent cases where expert/professional services are required for urgent and identified work and should not be used as a common practice. Therefore, where the requirements can be met by engaging unskilled/semiskilled contractual manpower, there shall not be engagements of retired employees on contract, and in such cases, the requirement shall be met by hiring manpower through outsourcing contract. (i.e. MTS).
2. The engagement of retired CSIR/CAB/Central Government Employees on contract shall be made on six monthly basis with the prior approval of the following Approving Authority and the concurrence of Finance, prior to the issue of advisement, in the following manner:

S.No.	Level in which retired CSIR/CAB/Central Government Employee is to be engaged on contract	Approving Authority	Financial Concurrence
1.	Level 14 & above*	DG, CSIR	FA, CSIR

2.	Up to Level 13A	Director / Head of The concerned Lab./Instt./Unit and JS(Admn.) in the case of CSIR Hqrs.	<p>Sr. COFA/COFA/FAO of the Lab/Instt./Unit (Sr.DFA/DFA/ FAO of Audit Section of CSIR-Hqrs. in case of CSIR-Hqrs.)</p> <p>Retired Employees of CSIR/ CAB/ Central Government can initially be engaged on contract in CSIR for six months only which can be further extended for six months with the approval of the Competent Authority and concurrence of Finance.</p> <p>In case extension beyond one year is required, the same may be approved by the Research Council (RC) of the concerned Lab./Instt. (DG, CSIR in case of HO.) that too limited to 2 years only.</p> <p>In a very rare case, on the recommendation of the RC, extension may be given beyond 2 years' with the concurrence of FA and approval of DG, CSIR*</p> <p>In any case, extension sought shall not exceed six months at a time.</p>
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*HR-II Section will be the nodal section for processing of cases i.e. take up all the necessary concurrence of FA, CSIR and approval of DG, CSIR and correspondence with Labs./Instts/Units.

3. On receipt of financial concurrence and approval of the Approving Authority, an advertisement shall be issued by Lab/Hqrs inviting applications from willing/eligible persons for engagement of retired CSIR/CAB/Central Government Employees on contract with the approval of the Competent Authority [i.e. Director/Head of Lab/Instt/Unit and JS(Admn.) in case of CSIR HQ].
4. A three-member Screening-cum-Selection Committee shall be constituted by the Director/Head of the concerned Lab./Instt./Unit and in the case of CSIR Hqrs. by JS(Admn.), CSIR.
5. The committee shall first shortlist the applications on the basis of criteria decided by it. Thereafter, the committee may hold a personal interaction/interview with shortlisted candidates, if required.
6. An offer letter shall be issued to selected candidates clearly indicating the terms and conditions of engagements after approval of the Competent Authority [Director/Head of the Lab/Instt/Unit or JS(Admn.) in case of CSIR HO]. No person shall be allowed to join without first submitting an undertaking toward acceptance of the terms and conditions as mentioned in the offer letter.
7. The cases of existing engagement on contract basis (including Consultant), who has been engaged on contract in CSIR and its national Labs./Instts., shall not be reopened, until the normal term/tenure of those cases. After completion of normal term/tenure, all those cases may be reviewed and brought in line with the above conditions.

8. In emergent cases, a retired officer can be engaged on contract basis for a period of six months, without any advertisement, only with the prior concurrence of FA, CSIR and approval of DG, CSIR on justified exigencies of the official work where adequate functional necessity exists.

भवदीय/Yours faithfully,
Sd/-
M Arun Manikanda Bharathi
अवर सचिव (नीति प्रभाग) Under Secretary (PD)

संलग्नक: यथोपरि /Encl. : As above

प्रतिलिपि / Copy to:

1. व.उप सचिव (मा. स. – II) / Sr. DS (HR-II)
2. सी.एस.आई.आर वेबसाइट / CSIR Website
3. कार्यालय प्रति / Office copy

Dated: 9th December, 2020

Office Memorandum

Subject: Regulation of Remuneration in case of Contract Appointment of Retired Central Government Employees.

The undersigned is directed to say that Ministries/Departments appoint retired Central Government employees on contract basis, including as Consultants on contract basis. However, at present there are no uniform guidelines for regulation of remuneration in such cases.

2. The existing instructions of Department of Personnel and Training, as contained in their Central Civil Services (Fixation of Pay of Re-employed Pensioners) Orders, 1986, as amended from time to time, provide for regulation of pay in case of re-employment. However, the instructions of Department of Personnel & Training as contained in their OM No. 26012/6/2002- Estt (A) dated 9.12.2002 provides that re-employment beyond the age of superannuation of 60 years shall not be permissible. Also, as per their OM No. 3(3)/2016-Estt (Pay II) dated 1.5.2017, the pay plus gross pension on re-employment is not to exceed Rs.2,25,000/-, i.e. Pay Level 17 as applicable to an officer of the level of Secretary to the Government of India.

3. Aforementioned instructions of Department of Personnel & Training on pay fixation in case of re-employment apply only to persons appointed on re-employment. These are not applicable to persons employed on contract basis except where the contract provides otherwise. Accordingly, in cases of appointment of retired Central Government employees on contract basis after the age of superannuation at 60 years, the instructions on pay fixation on re-employment will not directly apply.

4. Department of Personnel & Training has also informed that they are in the process of drafting a Note for Committee of Secretaries (CoS) regarding guidelines for engagement of retired Government servants as Consultant in Government Ministries and Department. In view of this, till Department of Personnel and Training finalizes their guidelines, there is a need to regulate remuneration in such cases of contract appointment of retired Central Government employees on a uniform basis. The matter has, therefore, been considered and it has been decided that regulation of remuneration in case of appointment of retired Central Government employees on contract basis, including as consultants, shall be regulated as provided hereinafter.

5. At the outset, such appointments shall not be made as a matter of practice and must be kept at a bare minimum. Such appointments may be made only in the justified exigencies of the official work where public interest is served by appointment of the retired employee. While making such appointments, adequate functional necessity with clear grounds must be placed before the appointing authority.

6. Remuneration

6.1 A fixed monthly amount shall be admissible, arrived at by deducting the basic pension from the pay drawn at the time of retirement. The amount of remuneration so fixed shall remain unchanged for the term of the contract. There will be no annual increment / percentage increase during the contract period.

Example

An employee retired in the Pay Level 13 and the pay at the time of retirement was Rs. 1,55,900. Thus, the basic pension will be Rs. 77,950. If the employee is appointed on contract basis, including as Consultant, the remuneration shall be fixed at Rs. 77,950 (1,55,900-77950).

6.2 The basic pension to be deducted from the last pay drawn shall be the pension as fixed at the time of retirement and as such, if the employee has availed of the commuted value of pension, the commuted portion of pension shall also be included in the portion of pension to be deducted. Thus, in the above example, if 40% of pension was commuted, the commuted portion shall be Rs. 31,180 (40% of 77,950) and the pension actually drawn shall be Rs. 46,770. However, the amount of pension to be deducted from the last salary shall be Rs 77,950.

6.3 No Increment and Dearness Allowance shall be allowed during the term of the contract.

7. Allowances

7.1 House Rent Allowances

No HRA shall be admissible.

7.2 Transport Allowance

An appropriate and fixed amount as Transport Allowance for the purpose of commuting between the residence and the place of work shall be allowed not exceeding the rate applicable to the appointee at the time of retirement. The amount so fixed shall remain unchanged during the term of appointment. However, retired employees engaged as consultants may be allowed TA/DA on official tour, if any, as per their entitlement at the time of retirement.

7.3 Leave of absence

Paid leave of absence may be allowed at the rate of 1.5 days for each completed month of service. Accumulation of leave beyond a calendar year may to be allowed.

8. Term of Appointment

8.1 The term of appointment shall ordinarily be for an initial period not exceeding one year which is extendable by another one year. Beyond two years after the age of superannuation where adequate justification exists, the term may be extended based on a review of the task and the performance of the contract appointee, provided it shall not be extended beyond 5 years after superannuation.

8.2 The consultant shall sign an agreement of confidentiality with the Government of India containing a clause on Ethics and integrity.

9. Exemptions

The terms of appointment provided for in these orders shall not apply to cases and to the extent where the Appointments Committee of Cabinet has allowed special terms OR where special provisions have been allowed with the -approval of the Department of Personnel & Training OR Department of Expenditure.

10. These orders shall apply to appointments made in the Central Government and shall be effective from the date of issue of the orders, until further orders or until instructions are issued by DoPT regulating remuneration of retired Government employees on their engagement as consultants. The past cases shall not be reopened in the light of these orders until the normal term of those past cases. Any relaxation of the above will be required to be referred to Department of Expenditure,

Sd/-
(B.K. Manthan)
Deputy Secretary

To,

All the Ministries and Departments of the Government of India as per the standard list.

No. 24(35)/PF-II/2012
Government of India
Ministry of Finance
Department of Expenditure

North Block, New Delhi.
Dated: 05 August, 2016

OFFICE MEMORANDUM

Subject: Appraisal and Approval of Public Funded Schemes and Projects (except matters required to be placed before the Cabinet Committee on Security)

Reference is invited to this Department OM no. 24(35)/PF-II/2012 dated 29th Aug, 2014 regarding the guidelines for formulation, appraisal and approval of Public Funded Plan Schemes and Projects. With the announcement in the Union Budget 2016-17 of doing away with Plan Non-Plan distinction at the end of Twelfth Five Year Plan, it is imperative that a plan non-plan neutral appraisal and approval system is put into place. After a comprehensive review of the extant guidelines in this regard, the revised guidelines placed below will henceforth apply to the formulation, appraisal and approval of public funded schemes and projects, except matters required to be placed before the Cabinet Committee on Security.

2. Schemes are program based cost centres through which the Ministries and Departments spend their budgetary and extra-budgetary resources for delivery of public goods and services to the citizens. They are of two types:

- a) *Central Sector Schemes* are implemented by the Central Ministries/Departments through their designated implementation agencies and funds are routed through the functional heads relevant for the sector.
- b) *Centrally Sponsored Schemes* are implemented within the domain of National Development Agenda identified by the Committee of Chief Ministers constituted by NITI Aayog. They can have both *Central and State Components*. While the former are fully funded by the Central Government and implemented through functional heads like the central sector schemes in para-a above, the latter are routed through the intergovernmental transfer heads 3601/3602. The expenditure on State Components is shared between the Central and State Governments in accordance with the fund sharing pattern approved for the purpose.

3. Projects are best understood by the common-sense usage of the term. They involve onetime expenditure resulting in creation of capital assets, which could yield financial or economic returns or both. Projects may either be approved on stand-alone basis or as individual projects within an approved scheme envelope. They may be executed through budgetary, extra-budgetary resources, or a combination of both.

4. Rationalization: It was found that over the years Ministries/Departments had started operating small and multiple schemes, which spread resources too thinly to realise any meaningful outcomes. In the run up to the Union Budget 2016-17, Schemes were rationalized in consultation with the implementing Ministries/Departments. As per para-113 of the Budget Speech 2016, the number of Central Sector Schemes was brought down to around 300 and the number of Centrally Sponsored Schemes to around 30. However, this exercise is not an end in itself. In reiteration of the standing instructions in this regard and to ensure efficient management of public expenditure at all times, it is directed that henceforth:

- i. No new Scheme or Sub-Scheme will be initiated without the prior "in-principle" approval of the Department of Expenditure. This will, however, not apply to the announcements made in the Budget Speech for any given year.

- ii. The Statement of Budget Estimates should be prepared in accordance with the approved scheme architecture and any deviation in this regard should be a *priori* agreed with the concerned division of the Department of Expenditure.
- iii. Administrative Ministries/Departments should continuously endeavour to merge, restructure or drop existing schemes and sub-schemes that have become redundant or ineffective with the passage of time. For this, the restriction of in-principle approval mentioned in para-(i) above will not apply.
- iv. Department of Expenditure reserves the right to merge, restructure or drop any existing scheme or sub-scheme, in consultation with the Administrative Department concerned, to enhance efficiency and improve economies of scale in the execution of government programs.

5. Formulation: The quality of Scheme or Project Formulation is the key bottleneck leading to poor execution at the implementation stage, including time and cost over-runs, often resulting in a series of revised cost estimates. Additional time and effort spent at the scheme/ project formulation stage can not only save precious resources, but also enhance the overall impact, leading to a qualitative improvement in outcomes.

For all new Schemes, a Concept Paper should be prepared while seeking in-principle approval, holding stakeholder consultations, conduct of pilot studies etc. While submitting proposals for continuation of on-going schemes, a careful rationalization must be done through merger and dropping of redundant schemes. The feedback from the formulation stage should be used for improving the scheme design so that a Detailed Paper can be presented for appraisal at the EFC stage.

Similarly, project preparation should commence with a Feasibility Report, which helps establish the project is techno-economically sound and resources are available to finance the project. It provides a firm basis for starting land acquisition, approval of pre-investment activities, etc. In-principle approval for initiating a project will be granted by the Financial Adviser concerned after examining project feasibility and availability of financial resources.

Generic structure of a Detailed Paper for Schemes/Detailed Project Report for Projects is given at Annex-I. While designing new schemes/sub-schemes, the core principles to be kept in mind are economies of scale, separability of outcomes and sharing of implementation machinery. Schemes which share outcomes and implementation machinery should not be posed as independent schemes, but within a unified umbrella program with carefully designed convergence frameworks.

6. Appraisal: The Institutional framework for appraisal of Schemes and Projects is given at Annex-II. Depending on the level of delegation, the Schemes will be appraised by the Expenditure Finance Committee (EFC) or the Standing Finance Committee (SFC), while Projects will be similarly appraised by the Public Investment Board (PIB) or the Delegated Investment Board (DIB). The step-wise time-lines for appraisal are given at Annex-III. The formats for submitting Schemes and Project Proposals are given at Annex-IVA and AnnexIVB respectively. For Schemes, a Concept/Detailed Paper which outlines the overall scheme architecture and its main structural elements should be attached. Similarly, for Projects either the Feasibility or the Detailed Project Report should be attached. *The word Scheme is used here in a generic sense.* It includes programs (urnbreila schemes), schemes and sub-schemes, which, depending on the need, may be appraised as stand-alone cost centres.

7. New Bodies: No new Company, Autonomous Body, Institution/University or other Special Purpose Vehicle should be set up without the approval of the Cabinet/Committee of the Cabinet, irrespective of the outlay, or any delegation that may have been issued in the past. All such cases would be appraised by the Committee of Establishment Expenditure chaired by the Expenditure Secretary for which separate orders will be issued by the Pers. Division. If setting up of a New Body involves project work, combined CEE/EFC/PIB may be held.

8. Original Cost Estimates: The delegation of powers for appraisal and approval of Original Cost Estimates (OCE) is given in the table below:

Scheme/Project Appraisal		Scheme/Project Approval	
Cost (Rs. Cr.)	Appraisal by	Cost (Rs. Cr.)	Approval by
Up to 100	The Financial Adviser	Up to 100	Secretary of the Administrative Department
> 100 & up to 500	SFC/DIB Chaired by Secretary of the Adminl. Dept.	> 100 & up to 500	Minister-in-charge of the Administrative Department
> 500	EFC/PID Chaired by the Expenditure Secretary, except departments/schemes/projects for which special dispensation has been notified by the Competent Authority	> 500 & up to 1000	Minister-in-charge of the Admn. Dept. and Finance Minister, except where special powers have been delegated by the Finance Ministry
		> 1000	Cabinet/ Committee of the Cabinet concerned with the subject

Note:

1. The financial limits above are with reference to the total size of the Scheme/Project being posed for appraisal and includes budgetary support, extra-budgetary resources, external aid, debt/equity/loans, state share, etc.
2. Financial Advisers may refer any financial matter and may also seek participation of the Department of Expenditure in the SFC/DIB meetings, if required. For proposals above Rs. 300 crore such a participation would be mandatory.
3. Delegated powers should be exercised only when the budgetary allocation or medium-term scheme outlay as approved by Department of Expenditure is available.
4. While exercising delegated powers, the Ministries/Departments should also ensure the proposals are subject to rigorous examination in project design and delivery, and careful attention should be paid to recurring liabilities and fund availability after adjustment of the committed liabilities.
5. For appraisal and approval of PPP projects separate orders issued by the Department of Economic Affairs will apply.

9. Revised Cost Estimates: Any Increase in costs due to statutory levies, exchange rate variation, price escalation within the approved time cycle and/or increase in costs up to 20 percent due to any other reason, are covered by the approval of the original cost estimates. Any increase in this regard would be approved by the Secretary of the Administrative Department concerned with the concurrence of the Financial Adviser.

Any increase in costs beyond 20 percent of the firmed-up cost estimates due to time overrun, change in scope, under-estimation, etc. (excluding increase in costs due to statutory levies, exchange rate variation and price escalation within the approved time cycle) should first be placed before a Revised Cost Committee chaired by the Financial Adviser (consisting of the Joint Secretary in-charge of the program division and representative of the Chief Adviser Cost as members) to identify the specific reasons behind such increase, identify lapses, if any, and suggest remedial measures for the same. The recommendations of the Revised Cost Committee should be placed for fresh appraisal and approval before the competent authority as per the extant delegation of powers (It may be noted that a firmed-up cost estimate here means a cost estimate which has been through the full appraisal and approval procedure as per the extant delegation of powers).

10. Pre-Investment Activities include preparation of Feasibility Reports, Detailed Project Reports; Pilot Experiments/Studies for Schemes; Survey/Investigation required for large projects; payment for land

acquisition in accordance with the orders of a competent authority under the law; construction of boundary wall, access roads, minor bridges/culverts, waterpower lines, site offices, temporary accommodation, etc. at the project site; preparation of environment management plans, forestry and wildlife clearances; compensatory afforestation, payment for conversion of forest land to non-forest purposes, etc.

Pre-investment activities up to Rs. 100 crore (including budgetary and extra-budgetary resources) may be approved by the Secretary of the Administrative Department with the concurrence of the Financial Adviser concerned provided financial resources are available and in-principle approval has been obtained, wherever necessary. For preinvestment activities above Rs. 100 crore, the prescribed appraisal and approval procedure should be followed. When firmed-up cost estimates are put up for approval, the expenditure on pre-investment activities should be included in the final cost estimates for the competent authority to get a full picture of the total resources required for the scheme or the project to be implemented.

11. Medium Term Outlay: It has been stated in para-110 of the Budget Speech 2016 that every scheme should have a *sunset date* and an *outcome* review. In the past, every scheme was revisited at the end of each plan period. After the Twelfth Five Year Plan, the medium term framework for schemes and their sunset dates will become coterminous with the Finance Commission Cycles, the first such one being the remaining Fourteenth Finance Commission (FFC) period ending March, 2020. This is necessary because fixation of medium term scheme outlay needs a clarity over flow of resources, which is likely to be available to both Central and State Governments over the Finance Commission periods.

Accordingly, it is directed that at the end of the Twelfth Plan period all Ministries/ Departments should undertake an outcome review and re-submit their Schemes for appraisal and approval, unless the scheme has already been made coterminous with the FFC period. The Department of Expenditure will, on its part, communicate, in consultation with the Budget Division, the outlays for both Central Sector and Centrally Sponsored Schemes over the remaining FFC period. The same process will, *mutatis mutandis*, apply to the subsequent Finance Commission Cycles.

12. Outcomes and Evaluation: Finance Secretary vide D.O. 66(01)/PF.II/2015 Dated 18th May 2016. (Annex-V) has directed all Ministries/Department to prepare an output-outcome framework for each Central Sector and Centrally Sponsored Scheme with the approval of CEO NITI Aayog. Measurable outcomes, which deal with the quality aspect of schemes and programs, need to be defined over the relevant medium term framework, while physical and financial outputs need to be targeted on year-to-year basis in such a manner that it aggregates to achieve the measurable outcomes over the medium term. NITI Aayog, while approving the output-outcome framework, will kick-start a third party evaluation process for both Central Sector and Centrally Sponsored Schemes. Extension of Schemes from one Finance Comrission Cycle to another would be contingent on the result of such an evaluation exercise.

13. Repeal: The following OM's of Department of Expenditure, and linked circulars of other Departments, including the erstwhile Planning Commission, are hereby superseded:

OM No. 24(35)/PF-II/2012 Dated 29th August, 2014

OM No. 1(1)/PF-II/2011 Dated 31st March, 2014

OM No. 1(3) PF-II/2001 Dated 1st April, 2010

OM No. 1(3)/PF-II/2001 Dated 15th November, 2007

OM No. 1(2)/PF-II/2003 Dated 7th May, 2003

OM No. 1(3)/PF.II/2001 Dated 18th February, 2002

OM No. 1(8)/PF-II/1998 Dated 30th October, 1998

OM No. 1(6)/PF-II/1991 Dated 24th August, 1992

OM No. 1(4)/PF-II/1984 Dated 25th August, 1984

The concerned Departments may, however, reissue their linked circulars in consultation with the Department of Expenditure after suitably realigning it with the new circular.

This issues with the approval of the Finance Minister and will come into effect with immediate effect.

Sd/-
(Arunish Chawla)
Joint Secretary to the Government of India

All Secretaries to the Government of India
All Financial Advisers to Ministries/Departments
Cabinet Secretariat
Prime Minister's Office
NITI Aayog
Railway Board
Internal Circulation

GENERIC STRUCTURE OF A DETAILED PAPER/DETAILED PROJECT REPORT

(i) Context/Background: This section should provide a brief description of the sector/sub-sector as well as the national strategy and policy framework. This section should also provide a general description of the scheme/project being posed for appraisal.

(ii) Problems to be addressed: This section should elaborate the problem to be addressed through the project/scheme at the local/regional/national level. Evidence regarding the nature and magnitude of the problems should be presented, supported by baseline data/survey/ reports etc.

(iii) Aims and Objectives: This section should indicate the development objectives proposed to be achieved, ranked in order of importance. The outputs/deliverables expected for each development objective should be spelt out clearly.

(iv) Strategy: This section should present an analysis of alternative strategies available to achieve the development objectives. Reasons for selecting the proposed strategy should be brought out. Basis for prioritization of locations should be indicated (wherever relevant). Opportunities for leveraging government funds through public-private partnership or savings through outsourcing must be explored. This section should also provide a description of the ongoing initiatives, and the manner in which duplication can be avoided and synergy created with the proposed scheme/project.

(v) Target Beneficiaries: There should be clear identification of target beneficiaries. Stakeholder analysis should be undertaken, including consultation with stakeholders at the time of scheme/project formulation. Options regarding cost sharing and beneficiary participation should be explored and incorporated in the project. Impact of the project on weaker sections of society, positive or negative, should be assessed and remedial steps suggested in case of any adverse impact.

(vi) Legal Framework: This section should present the legal framework, if relevant, within which the scheme/project will be implemented, as well as the strengths and weaknesses of the legal framework in so far as it impacts on achievement of stated objectives.

(vii) Environmental Impact: Environmental Impact Assessment should be undertaken, wherever required, and measures identified to mitigate the adverse impact, if any. Issues relating to land acquisition, diversion of forest land, wildlife clearances, rehabilitation and resettlement should be addressed in this section.

(viii) Technology: This section should elaborate on the technology choices, if any; evaluation of the technology options, as well as the basis for choice of technology for the proposed project.

(ix) Management: Responsibilities of different agencies for project management or scheme implementation should be elaborated. The organization structure at various levels, human resource requirements, as well as monitoring arrangements should be clearly spelt out.

(x) Finance: This section should focus on the cost estimates, budget for the scheme/project, means of financing and phasing of expenditure. Options for cost sharing and cost recovery (user charges) should be explored. Infrastructure projects may be assessed on the basis of the cost and tenor of the debt. Issues relating to project sustainability, including stakeholder commitment, operation-maintenance of assets after project completion and other related issues should also be addressed in this section.

(xi) Time Frame: This section should indicate the proposed zero date for commencement and also provide a PERT/CPM chart, wherever relevant.

(xii) Cost Benefit Analysis: Financial and economic cost-benefit analysis of the project should be undertaken wherever such returns are quantifiable. Such an analysis should generally be possible for infrastructure projects, but may not always be feasible for public goods and social sector projects. Even in the case of latter, the project should be taken up for appraisal before the PIB and some measurable outcomes/deliverables suitably defined.

(xiii) Risk Analysis: This section should focus on identification and assessment of implementation risks and how these are proposed to be mitigated. Risk analysis could include legal/contractual risks, environmental risks, revenue risks, project management risks, regulatory risks, etc.

(xiv) Outcomes: Success criteria to assess whether the development objectives have been achieved should be spelt out in measurable terms. Base-line data should be available against which success of the project will be assessed at the end of the project (impact assessment). Similarly, it is essential that base-line surveys be undertaken in case of large, beneficiary-oriented schemes. Success criterion for scheme deliverables/outcomes should also be specified in measurable terms to assess achievement against proximate goals.

(xv) Evaluation: Evaluation arrangements for the scheme/project, whether concurrent, mid-term or post-project should be clearly spelt out. It may be noted that continuation of schemes from one period to another will not be permissible without a third-party evaluation.

Last but not the least, a self-contained **Executive Summary** should be placed at the beginning of the document. *In cases where only a Concept Paper or Feasibility Report is attached to the EFC/PIB proposal, it should cover the main points mentioned in the generic structure above.*

Institutional Arrangement for Appraisal of Schemes and Projects

Expenditure Finance Committee (EFC)	
Expenditure Secretary	Chairperson
Secretary of the Administrative Ministry/Department	Member
Financial Advisor of the Administrative Ministry/Department	Member
Adviser, PAMD, NITI Aayog	Member
Representative of Budget Division	Member
Representatives of concerned Ministries/Agencies	Member
Joint Secretary, Department of Expenditure	Member-Secretary
<i>For appraisal of schemes of scientific nature, Scientific Adviser may be invited as Member.</i>	
Standing Finance Committee (SFC)	
Secretary of the Administrative Ministry/Department	Chairperson
Joint Secretary in Charge of the Subject Division	Member
Representative of NITI Aayog	Member
Financial Advisor of the Administrative Ministry/Department	Member-Secretary
<i>Representative of Department of Expenditure and any other Ministry/Department that the Secretary/Financial Advisor may suggest may be invited as per requirement.</i>	
Public Investment Board (PIB)	
Expenditure Secretary	Chairperson
Secretary of the Administrative Ministry/Department	Member
Financial Advisor of the Administrative Ministry/Department	Member
Adviser, PAMD, NITI Aayog	Member
Representative of Budget Division	Member
Representatives of concerned Ministries/Agencies	Member
Joint Secretary, Department of Expenditure	Member-Secretary
<i>For appraisal of scientific projects, Scientific Adviser may be invited as Member.</i>	
Delegated Investment Board (DIB)	
Secretary of the Administrative Ministry/Department	Chairperson
Joint Secretary in Charge of the Subject Division	Member
Representative of NITI Aayog	Member
Financial Advisor of the Administrative Ministry/Department	Member-Secretary
<i>Representative of Department of Expenditure and any other Ministry/Department that the Secretary/Financial Advisor may suggest may be invited as per requirement.</i>	

Annexure-III

Time Frame for Appraisal and Approval of Schemes and Projects

The scheme/project cycle would commence with the submission of a Concept Paper/ Feasibility Report by the Administrative Ministry/ Department.

(i)	Decision on "in-principle" approval, if required	2 weeks
(ii)	Preparation of a Detailed Paper/Detailed Project Report by the Administrative Ministry/ Department and circulating the same along with draft EFC/PIB Memo.	The time limit will vary depending on the nature of scheme and project. This is an internal matter of the Administrative Ministry/ Department concerned.
(iii)	Appraisal Note and Comments to be offered on the DP/DPR and draft EFC/PIB memo by Department of Expenditure, NITI Aayog and concerned Ministries/Agencies.	4 weeks
(iv)	Preparation of final EFC/PIB Memo based on comments received, and circulating the same for Appraisal and Approval	2 weeks
(v)	Fixing the date of EFC/PIB meeting after receiving the final EFC/PIB Memo	1 week
(vi)	Issue of minutes of EFC/PIB after the meeting has been held	1 week
(vii)	On-file approval of Administrative Minister and Finance Minister	2 weeks
(viii)	Submission for approval of the Cabinet/ Committee of the Cabinet (for proposals above Rs. 1,000 crore)	2 weeks

Note: Wherever the recommended time frame is not adhered to any stage, the concerned organization should work out an appropriate trigger mechanism to take the matter to the next higher level for timely decision making.

FORMAT FOR EFC/SFC MEMORANDUM FOR APPRAISAL OF SCHEMES**1. Scheme Outline**

- 1.1 Title of the Scheme.
- 1.2 Sponsoring Agency (Ministry/ Department/Autonomous Body or Undertaking)
- 1.3 Total Cost of the proposed Scheme
- 1.4 Proposed duration of the Scheme
- 1.5 Nature of the Scheme: Central Sector Scheme/ Centrally Sponsored Scheme
- 1.6 For Central Sector Schemes, sub-schemes/components, if any, may be mentioned.
For Centrally Sponsored Schemes, central and state components, if any, may be mentioned.
- 1.7 Whether a New or a Continuing Scheme? In case of a Continuing Scheme, whether the old scheme was evaluated and what were the main findings?
- 1.8 Whether in-principle approval is required? if yes, has it been obtained?
- 1.9 Whether a Concept Paper or a Detailed Paper has been prepared and stakeholders consulted? In case of new Centrally Sponsored Schemes, whether the State Governments have been consulted?
- 1.10 Which existing schemes/sub-schemes are being dropped, merged or rationalized?
- 1.11 Is there an overlap with an existing scheme/sub-scheme? if so, how duplication of effort and wastage of resources are being avoided?
- 1.12 In case of an umbrella scheme (program) give the details of schemes and sub-schemes under it along with the proposed outlay component-wise.

Note: it may kindly be noted that the word scheme here is used in a generic sense. It includes programs, schemes and sub-schemes, which, depending on need, can be appraised and approved as stand-alone cost centers.

2. Outcomes and Deliverables

- 2.1 Stated aims and objectives of the Scheme
- 2.2 Indicate year-wise outputs/deliverables in a tabular form.

Components	Year 1		Year 2 & so on		Total	
	Physical	Financial	Physical	Financial	Physical	Financial
1,2,3 & so on						

- 2.3 Indicate Outcomes of the Scheme in the form of measurable indicators which can be used to evaluate the proposal periodically. Baseline data or survey against which such outcomes should be benchmarked should also be mentioned.
- 2.4 Indicate other schemes/sub-schemes being undertaken by Ministries/ Departments which have significant outcome overlap with the proposed scheme. What convergence framework have been evolved to consolidate outcomes and save public resources?

3. Target Beneficiaries

- 3.1 If the scheme is specific to any location, area and segment of population, please give the details and basis for selection.
- 3.2 Please bring out specific interventions directed in favour of social groups, namely SC, ST, differently abled, minorities and other vulnerable groups.
- 3.3 If the scheme has any gender balance aspects or components specifically directed at welfare of women, please bring them out clearly?
- 3.3 Please bring out special interventions, if any, in North East, Himalayan, LWE, Island territories and other backward areas.
- 3.4 In case of beneficiary oriented schemes, indicate the mechanism for identification of target beneficiaries and the linkage with Aadhaar/UID numbers.
- 3.5 Wherever possible, the mode of delivery should involve the Panchayati Raj Institutions and Urban Local Bodies. Where this is intended, the preparedness and ability of the local bodies for executing the proposal may also be examined.

4 Cost Analysis

- 4.1 Cost estimates for the scheme duration: both year-wise, component-wise segregated into non-recurring and recurring expenses.
- 4.2 The basis of these cost estimates along with the reference dates for normative costing.
- 4.4 In case pre-investment activities or pilot studies are being carried out, how much has been spent on these?
- 4.5 In case the scheme involves payout of subsidy, the year wise and component wise expected outgo may be indicated.
- 4.3 In case the land is to be acquired, the details of cost of land and cost of rehabilitation/resettlement, if any.
- 4.6 In case committed liabilities are created, who will or has agreed to bear the legacy burden? in case assets are created, arrangements for their maintenance and upkeep?

5. Scheme Financing

- 5.1 Indicate the sources of finance for the Scheme: budgetary support, extra-budgetary sources, external aid, state share, etc.
- 5.2 If external sources are intended, the sponsoring agency may indicate, as also whether such funds have been tied up?
- 5.3 Indicate the component of the costs that will be shared by the State Governments, local bodies, user beneficiaries or private parties?

6. Approvals and Clearances

Requirement of mandatory approvals and clearances from various local, state and national bodies and their availability may be indicated in a tabular form (land acquisition, environment, forestry, wildlife etc.) In case land is required, it may be clearly mentioned whether the land is in the possession of the agency free from encumbrances or encroached or stuck in legal processes?

S.No.	Approvals/ Clearance	Agency concerned	Availability (Y/N)

7. Human Resources

- 7.1 Indicate the administrative structure for implementing the Scheme. Usually creation of new structures, entities etc. should be avoided.
- 7.2 Manpower requirement, if any. In case posts, permanent or temporary, are intended to be created, a separate proposal may be sent on file to Pers. Division of Department of Expenditure (such proposals may be sent only after the main proposal is recommended by the appraisal body).
- 7.3 In case outsourcing of services or hiring of consultants is intended, brief details of the same may be provided.

8. Monitoring and Evaluation

- 8.1 Please indicate the monitoring framework for the Scheme and the arrangements for statutory and social audit (if any).
- 8.2 Please indicate the arrangement for third party/independent evaluation? Please note that evaluation is necessary for extension of scheme from one period to another.

9. **Comments** of the Financial Advisor, NITI Aayog, Department of Expenditure and other Ministries/Departments may be summarized in tabular form along with how they are being internalized and used to improve this proposal.

10. Approval Sought:

(-----)

Joint Secretary to the Government of India

Tel. No. _____

Fax No. _____

E-mail _____

Please attach an Executive Summary along with the Concept/Detailed Paper outlining the main elements and overall architecture of the proposed Scheme.

FORMAT FOR PIB/DIB MEMORANDUM FOR APPRAISAL OF PROJECTS**1. Project Outline**

- 1.1 Title of the Project
- 1.2 Sponsoring Agency (Ministry/ Department/Autonomous Body or Undertaking).
- 1.3 Proposed Cost of the Project
- 1.4 Proposed Timelines for the Project
- 1.5 Whether Project will be implemented as part of a scheme or on stand-alone basis?
- 1.6 Whether financial resources required for the Project have been tied up? if yes, details?
- 1.7 Whether Feasibility Report and/or Detailed Project Report has been prepared?
- 1.8 Whether the proposal is an Original Cost Estimate or a Revised Cost Estimate?
- 1.9 In case of Revised Cost Estimates, whether the meeting of Revised Cost Committee has been held and its recommendations suitably addressed?
- 1.10 Whether any land acquisition or pre-investment activity was under-taken or is contemplated for this Project? Whether the cost of such intervention has been included in the Project Proposal?

2. Outcomes and Deliverables

- 2.1 Stated aims and objectives of the Project
- 2.2 Indicate year-wise outputs/deliverables for the project in a tabular form.

Activities	Year 1		Year 2 & so on		Total	
	Physical	Financial	Physical	Financial	Physical	Financial
1,2,3 & so on						

- 2.3 Indicate final outcomes for the project in the form of measurable indicators which can be used for impact assessment/evaluation after the project is complete. Baseline data or survey against which such outcomes would be benchmarked should also be mentioned.

3. Project Cost

- 3.1 Cost estimates for the project along with scheduled duration (both year and activity-wise). Also the basis for these cost estimates along with the reference dates for normative costing (it should preferably not be more than a year old).
- 3.2 In case land is to be acquired, the details of land cost, including cost of rehabilitation/ resettlement needs to be provided.
- 3.3 In case pre-investment activities are required, how much is proposed to be spent on these, with details activity-wise?

- 3.4 Whether price escalation during the project time cycle has been included in the cost estimates and at what rates?
- 3.5 Whether the Project involves any foreign exchange element, the provision made or likely impact of exchange rate risks?
- 3.6 In case of the Revised Cost Estimates, a variation analysis along with the Report of the Revised Cost Committee needs to be attached.

4. Project Finance

- 4.1 Indicate the sources of project finance: budgetary support, internal and extrabudgetary sources, external aid, etc.
- 4.2 Indicate the cost components, if any, that will be shared by the state governments, local bodies, user beneficiaries or private parties?
- 4.3 In case of funding from internal and extra-budgetary resources, availability of internal resources may be supported by projections and their deployment on other projects?
- 4.4 Please indicate funding tie-ups for the loan components, if any, both domestic and foreign, along-with terms and conditions of loan based on consent/comfort letters.
- 4.5 If government support/loan is intended, it may be indicated whether such funds have been tied up?
- 4.6 Please provide the leveraging details, including debt-equity and Interest coverage ratios, along with justification for the same.
- 4.7 Mention the legacy arrangements after the project is complete, in particular, arrangements for the maintenance and upkeep of assets that will be created?

5. Project Viability

- 5.1 For projects which have identifiable stream of financial returns, the financial internal rate of return may be calculated. The hurdle rate will be considered at 10 percent.
- 5.2 In case of projects with identifiable economic returns, the economic rate of return may be calculated. In such cases project viability will be determined by taking both financial and economic returns together.
- 5.3 In case of proposals where both financial and economic returns are not readily quantifiable, the measurable benefits/outcomes simply may be indicated.

Note: *it may kindly be noted that all projects, irrespective of whether financial and/or economic returns can be quantified or not, should be presented for PIB/DtB appraisal.*

6. Approvals and Clearances

Requirement of mandatory approvals/clearances of various local, state and national bodies and their availability may be indicated in a tabular form (land acquisition, environment, forestry, wildlife etc.) in case land is required, it may be clearly mentioned whether the land is in the possession of the agency free from encumbrances or encroached or stuck in legal processes?

S.No.	Approvals/Clearance	Agency concerned	Availability (Y/N)

7. Human Resources

- 7.1 Indicate the administrative structure for implementing the Project. Usually creation of new structures, entities etc. should be avoided.
- 7.2 Manpower requirement, if any. In case posts (permanent or temporary) are intended to be created, a separate proposal may be sent on file to Pers. Division of Department of Expenditure. Such proposals may be sent only after the main proposal is recommended by the appraisal body.
- 7.3 In case outsourcing of services or hiring of consultants is intended, brief details of the same may be provided.

8. Monitoring and Evaluation

- 8.1 Indicate the Project Management/Implementing Agency(s). What agency charges are payable, if any?
- 8.2 Mode of implementation of individual works: Departmental/Item-rate/Turnkey/EPC/ Public-Private Partnership, etc.
- 8.3 Please indicate timelines of activities in PERT/Bar Chart along with critical milestones.
- 8.4 Please indicate the monitoring framework, including MIS, and the arrangements for internal/statutory audit.
- 8.5 Please indicate what arrangements have been made for impact assessment after the project is complete?

9. **Comments** of the Financial Advisor, NITI Aayog, Department of Expenditure and other Ministries/Departments may be summarized in tabular form along with how they have been internalized and used to improve this proposal.

10. Approval Sought:

(-----)

Joint Secretary to the Government of India

Tel. No. _____

Fax No. _____

E-mail _____

Please attach an Executive Summary along with the Feasibility Report/Detailed Project Report prepared for the Project.

Annexure-V

Ashok Lavasa
Finance Secretary

Government of India
Ministry of Finance
Department of Expenditure

D.O.No.66(01)/PF.II/2015

18th May 2016

Dear Secretary,

Following rationalization of schemes in the 2016-17 BE, instructions were issued for preparation of outcome budgets with the approval of CEO, NITI Aayog. However, due to paucity of time outcome budget for 2016-17 was submitted in the old format with the understanding that follow up action will be taken soon thereafter.

2. It is again reiterated that outcomes need to be defined for both Central Sector Schemes and Centrally Sponsored Schemes. The following action needs to be taken in this regard:

- a) Measurable Outcomes need to be defined for each scheme over the medium term, that is going forward up to the year 2019-20 (the end of Fourteenth Finance Commission period).
- b) On the financial side, the budgetary allocation for 2016-17 may also be normatively projected going forward up to the year 2019-20 (assuming a normative increase of 5- 10% every year).
- c) Year to year physical outputs, consistent with the financial resources projected above, need to be worked out in a manner that is not out of line with the measurable outcomes as defined in para (a) above.
- d) The output-outcome framework may be got approved from CEO, NITI Aayog by the end of the first quarter i.e. 30 June 2016.
- e) An evaluation framework will also be designed for each scheme based on this exercise. Continuation of any scheme beyond the Fourteenth Finance Commission period will be contingent on the result of such evaluation conducted by NITI Aayog.

3. I would request you to carefully identify the outcome parameters that would be true indicators of the desired outcome. This may be given top priority as the forthcoming RE/BE and outcome budgets will be based on this exercise.

With regards,

Yours sincerely,
Sd/-
(Ashok Lavasa)

Secretary to the Govt. of India as per list attached.

Copy to: CEO, NITI Aayog

ENCLOSURE-4a

F.No. 24(35)/PF-II/2012(Pt)
Government of India
Ministry of Finance
Department of Expenditure
[Public Finance (Central-I)] Division

North Block, New Delhi
Dated: 05.06.2017

OFFICE MEMORANDUM

Subject: Authority Competent to approve time overrun in respect of Projects where there is no cost overrun.

Reference is invited to Cabinet Secretariat O.M. No. 142/1/2/2017-TS dated 9th May, 2017 requesting for clarification on the above mentioned subject.

2. The request is considered. In this regard, the undersigned is directed to convey the following clarifications:

- (i) All cases of time overrun without cost overrun would be approved by the Secretary of the Administrative Department concerned with the concurrence of the Financial Advisor in accordance with para 9 of DoE O.M dated 5th August, 2016.
- (ii) However, the competent authority while approving such instances of projects undergoing time overrun without cost overrun, may consider the following:
 - (a) Time overrun beyond a period of time is not expected to happen without cost overrun due to normal inflation in the economy. Some of the reasons for time overrun without cost overrun could be:
 - Overestimation of the cost of the time of Original Cost Estimates (OCE).
 - Deletion of certain items approved at the OCE stage.
 - Change in scope
 - (b) In addition to time overrun, viability of the project may be reassessed. There could be change in market scenario in view of which the project may no longer be viable due to change in demand and supply, obsolescence in technology etc.
 - (c) Inordinate delay in project execution may lead to the manpower and technological resources being employed disproportionately at one place hampering the pace of the other projects.
 - (d) Competent authority may also examine if the delay is attributable to fault on the part of any persons and fix responsibility as per extant rules and procedure.

3. This issues with the approval of the Finance Secretary.

Sd/-
(Anu Kukreja)
Deputy Director (PF-II)
Tele: 23095664
anukukreja.icoas@nic.in

Cabinet Secretariat,
[Shri S.G.P. Verghese, Director]
Cabinet Secretariat,
New Delhi

Copy to all the Financial Advisor for information and necessary action at their end.

ENCLOSURE-4b

No. 24(35)/PF-II/2012
Government of India
Ministry of Finance
Department of Expenditure

North Block, New Delhi,
Dated 3rd April, 2018

OFFICE MEMORANDUM

Subject: Appraisal and Approval of Public Funded Schemes and Projects (except matters required to be placed before the Cabinet Committee on Security) - Special Measures to meet needs of Persons with Disabilities

The undersigned is directed to refer to this Department's OM No. 24(35)/PF-II/2012 dated 05th August, 2016 on the subject cited above.

2. Following modifications are made in Annexure-IVA and Annexure-IV B of this Department's OM No. 24(35)/PF-II/2012 dated 05th August, 2016:
 - (i) Insertion of a new sub-para 3.6 in Section 3 of Annexure-IVA: Format for EFC/SFC Memorandum for the appraisal of schemes, as under:
"Please bring out special interventions proposed to meet needs of Persons with Disabilities, including accessibility requirements under the RoPWD Act 2016". [Attach details at Annexure]
 - (ii) Insertion of a new sub-para 2.4 in Section 2 of Annexure IV B: Format for PIB/DIB Memorandum for appraisal of projects, as under:
"Please indicate special measures proposed to meet needs of Persons with Disabilities, including accessibility requirements under the RoPWD Act". [Attach details at Annexure]
3. This comes into immediate effect. Ministries/Departments are requested to accordingly circulate EFC/PIB memos for inter-ministerial consultations after incorporating measures to meet needs of Persons with Disabilities.
4. This issues with the approval of Secretary (Expenditure).

Sd/-
(Harsha Dass)
Director
Tel. No. 23092578

To:

Secretary to Govt. of India as per list attached

Copy to:

1. Prime minister's Office
2. Cabinet Secretariat
3. CEO, NITI Aayog
4. Financial Advisors in all Ministries/Departments to the Government of India

ENCLOSURE-4c

F. No. 42(02)/PF-II/2014
Government of India
Ministry of Finance
Department of Expenditure
[PFC-I Division]

North Block, New Delhi
Dated: 9th August, 2021

OFFICE MEMORANDUM

Subject: Revised format for Appraisal and Approval of new Public Funded Schemes – reg.

Reference is invited to this Department's OM NO. 24(35)/PF-II/2012 dated 5th August, 2016 regarding guidelines for appraisal and approval of public funded schemes in which the format for submitting EFC/SFC proposals for appraisal of new schemes is contained in **Annexure IV-A**. This format has been reviewed in consultation with NITI Aayog to make it more informative, lucid and to incorporate output/outcome related targets in a logical framework. This will make the appraisal more structured and effective while placing enhanced emphasis on measurable outputs/outcomes of public expenditure.

2. Accordingly, the undersigned is directed to convey the following: -

- i) The EFC/SFC proposals for new public funded schemes should be sent in the enclosed revised format (Annexure - A) including the summary sheet, along with detailed paper if required and other enclosures as prescribed in the checklist of the format. This format, henceforth, replaces Annexure IV A of the *ibid* DoE guidelines dated 5th August, 2016.
- ii) It is reiterated that before sending the EFC/SFC proposal, 'in-principle' approval of the Department of Expenditure for initiating any new scheme / sub scheme should be taken in terms of para 4(i) and para 5 of the *ibid* OM.
- iii) It may be noted that emphasis has been placed (para 3.3) on DBT in the beneficiary-oriented schemes, on devising suitable mechanism for identification of genuine beneficiaries through Aadhaar authentication, provision for online application as well as fund disbursement through Aadhaar Enabled Payment System (ASPS).
- iv) For assistance in formulating logical framework-based output / outcome tables for the new schemes, NITI Aayog may be consulted by Ministries/Departments.

3. This will apply to all EFC/SFC proposals for new schemes submitted on or after 1.9.2021.
4. For the schemes (new and ongoing), already approved this financial year in the old formats, Ministries/Departments should provide the logical framework-based output/outcome table as given at Sr. No. 2.2 of the revised format (Annexure-A) by 31-3-2022 to the DoE and the NITI Aayog, to enable further monitoring of outputs/outcomes etc.
5. This issues with the approval of Finance Secretary & Secretary (Expenditure).

Sd/-

(Dr. Shivalli M. Chouhan)
Director (PFC-I)
Tel. 23093109
e-mail: shivalli.chouhan@nic.in

All Secretaries to the Government of India
All Financial Advisers to Ministries/Departments
Cabinet Secretariat
Prime Minister's Office
NITI Aayog
Railway Board
Internal circulation

FORMAT FOR EFC/SFC MEMORANDUM FOR APPRAISAL OF NEW SCHEMES**Summary Sheet**

S. No.	Outline	Details
1	Name of the Scheme	
2	Nature of the scheme (CSS/CS/Scheme under umbrella)	
3	Duration	
4	Proposed Outlay	
5	Funding pattern	
6	Source of Funding	
7	Objectives	
8	Target Beneficiaries	
9	Major Interventions/ Components	
10	Name of schemes with which convergence is sought along with Ministries/ Departments	
11	Manpower Requirement	
12	Measurable outputs/ outcomes targeted at the end of scheme duration	

FORMAT FOR EFC/SFC MEMORANDUM FOR APPRAISAL OF NEW SCHEMES**Documents' Checklist**

S.No	Document	Attached (Yes/No/NA)	Annexure Number	Remarks (If any)
1.	Concept Paper			
2.	Evaluation Report			
3.	Feasibility / pilot study report			
4.	Gap / Need Analysis Report			
5.	Stakeholder Consultation Report			
6.	Approval and Clearances			
7.	Response to Comments			

1. General

- 1.1 Title of the Scheme
- 1.2 Sponsoring Agency (Ministry/ Department/Autonomous Body or Undertaking)
- 1.3 Proposed duration of the Scheme

1.4 Nature of the Scheme: Central Sector Scheme/ Centrally Sponsored Scheme (Please specify if it is under an umbrella)

1.5 Total estimated financial outlay of the proposed Scheme

1.6 Funding Pattern

1.7 Provide details of schemes under it along with proposed outlays. Details of sub-schemes (if any) under the scheme along with proposed outlays.

Umbrella Scheme	Scheme	Sub Scheme	FY	Proposed Outlay
Column may be deleted if not applicable		Column may be deleted if not applicable		

1.8 (A) Is the scheme created by restructuring/merger/renaming of previously existing scheme(s)/sub-scheme(s)? *If yes, please mention the name of the scheme(s) proposed to be merged/dropped/ rationalized?*
 (B) Please mention whether the old scheme(s) was evaluated? If yes, please attach Evaluation report.
 (C) What were the main findings of the evaluation and how are they incorporated in the scheme design (please use the table given below)?

S.No	Recommendation of the evaluation report	Has an action been taken on this recommendation (Yes/No)	If yes please elaborate the action or revision in scheme proposal undertaken	If no, please explain the reasoning for exclusion of this recommendation

1.9 Details of In-principle approval-

1.10 (A) Concept Paper details including findings of Gap/Need analysis and Feasibility/Pilot Study along with a summary justification for the new scheme.

(B) Details of stakeholder consultations undertaken. Please include details of state governments consultation, particularly in CSS scheme.

1.11 Overlap with any existing scheme/sub-schemes in this Ministry/Department/any other Ministry/Department? If yes, please fill below table highlighting the aspects in which there is an overlap and how will the scheme use this convergence to save public resources? (Refer the table in OM)

1.12 Whether the proposal is secured against natural / man-made disasters like floods, cyclones, earthquakes, tsunamis, etc. If the proposal involves creation /modification of structural and engineering assets or change in land use plans, disaster management concern should be assessed, and specifically commented upon.

2. Outcome and Deliverables

2.1 Objectives of the Scheme

2.2 Indicate year-wise targets set for outputs and outcomes of the scheme along with the activities to be undertaken and inputs to be used in the form of measurable indicators in the below mentioned table. Data sources for each indicator must be clearly mentioned along with key assumptions and risks involved (if any) along with their severity as perceived by the proposer. Baseline data (Year and Value) should also be benchmarked and mentioned for all indicators.

	Objective Statement	Indicators	Means of Verification (Data Source)	Important Assumptions	Risks Involved		Baseline Year	Baseline Value	Target			
					Risk Identified	Severity of Risk (Low/Medium / High)			Fiscal Year "A-B"	Fiscal Year "B-C"	Fiscal Year "C-D"	Fiscal Year "D-E"
Outcomes												
Output												
Activity												
Inputs												

3. Target Beneficiaries

3.1 (A) Please specify the target beneficiaries in terms of location, area and segment of population, industries, companies, institutions, etc.

B) Please give the details of coverage of target population and basis for selection of the target beneficiaries.

3.2 Is there a specific intervention targeted at any of demographics mentioned in the below table?

Is there a specific intervention targeted at any of the below mentioned demographics?		If yes, please elaborate on specific interventions targeted for the corresponding demographic. If no, please mention why.
Demographic	Yes/No	
Marginalized social groups namely SC, ST, Persons with disability (Divyangjan), minorities and other vulnerable groups		
Women		
North east, Himalayan LWE, Island territories and other backward areas		

3.3 In case of beneficiary-oriented schemes, indicate whether the scheme is a Direct Benefit Transfer (DBT) scheme inter alia indicating the mechanism for identification of target beneficiaries through Aadhaar authentication, provision for online application and fund disbursement mechanism (Disbursement of funds should be done through Aadhaar Enabled Payment System (AEPS) to ensure Aadhaar authentication, and not merely Aadhaar seeding).

3.4 (A) Are Panchayati Raj Institutions and Urban Local Bodies involved in implementation?

(B) If yes, elaborate on their involvement.

(C) Please also comment on preparedness and ability of the local bodies to undertake this.

(D) If no, please mention the reason for the exclusion of PRIs/ULBs in the implementation process.

4. Scheme Financing

4.1 Indicate the sources of finance for the Scheme: budgetary support, extra-budgetary sources, external aid, state share, etc. (Total amount year wise).

4.2 If external sources are intended, the sponsoring agency may be indicated, as also whether such funds have been tied up?

5. Cost Analysis

5.1 Please provide year-wise and component-wise cost estimates for the scheme in the below provided table and indicate how will they be shared by the state governments, local bodies, user beneficiaries or private parties. Also segregate them into recurring and non-recurring expenses (Refer Table in the OM)

Scheme Component	Recurring/non-recurring cost	Cost Estimate/Proposed Outlay						Cost sharing at different levels				Remarks
		Fiscal Year "A-B"	Fiscal Year "B-C"	Fiscal Year "C-D"	Fiscal Year "D-E"	Fiscal Year "E-F"	Total	Central Share	State Share	Local Body/3 rd tier share	Others	

5.2 The basis of these cost estimates along with the reference dates for normative costing

5.3 In case pre-investment activities or pilot studies are being carried out, how much has been spent on these?

5.4 In case the scheme involves pay out of subsidy, the year wise and component wise expected outgo may be indicated

5.5 In case the land is to be acquired, the details of cost of land and cost of rehabilitation/resettlement, if any.

5.6 In case committed liabilities are created, who is to bear the same? In case assets are created, arrangements for their maintenance and upkeep

6. Approvals and Clearances

Requirement of mandatory approvals and clearances from various local, state and national bodies and their availability may be indicated in a tabular form (land acquisition, environment, forestry, wildlife etc.)

S.No	Approval/Clearances	Agency Concerned	Availability (Y/N)

7. Human Resources

7.1 Please fill below table to indicate the administrative structure for scheme implementation. Please also provide details of manpower requirement, outsourcing of services, hiring of consultants and associated costs." (Note: In case posts, permanent or temporary, are intended to be created, a separate proposal may be sent on file to Pers. Division of Department of Expenditure after the main proposal is recommended by the appraisal body)

Role of the Agency in Administration of Scheme Implementation	Manpower Requirement (IN No. of Personnel)	Number of Posts to be Created		Number of Consultants to be Hired	Details of Outsourcing of Services	Temporary Manpower Associated Cost and Funding Source	Remarks
		Permanent	Temporary				

8. Monitoring and Evaluation

8.1 (A) Please indicate the monitoring systems to be established for the scheme. Indicate all that are applicable and provide details thereof,

Constitution of Monitoring bodies or cells	<input type="checkbox"/>
Development of Scheme MIS	<input type="checkbox"/>
Establishment of protocol for regular performance reviews	<input type="checkbox"/>
Others, please specify	<input type="checkbox"/>

(B) Please indicate the arrangements of statutory and non-statutory audits. Indicate all that are applicable and clearly provide details of modes of conducting and other arrangements of the same.

Statutory Audits	<input type="checkbox"/>
Non-statutory Audits	<input type="checkbox"/>
Social audits	<input type="checkbox"/>
Participatory Rural Appraisal	<input type="checkbox"/>
Observational audits and	<input type="checkbox"/>
Others, please specify	<input type="checkbox"/>

8.2 Please indicate the arrangement for third party/ independent evaluations (separately for base-line, mid-line and end-line evaluations) along with methodological approach (experimental, quasi-experimental, mixed methodology, others) to be adopted for evaluations. Please note that evaluation is necessary for extension of scheme from one period to another. Please specify the amount of funds earmarked for third party evaluation under scheme budget.

9. Approval Sought:

Joint Secretary to the Government of India

Tel. No.....
Fax No.....
Email.....

* Detailed Paper outlining the major elements and overall architecture of the proposed Scheme may be attached.

** Comments of the Financial Advisor of the Ministry/Department, NITI Aayog, Department of Expenditure and other Ministries/Departments may be summarized in a table given below. The table may be enclosed as an annexure of the EFC Memo. At the draft EFC memorandum stage, only comments of IFD of the Ministry/Department should be enclosed in the format

S.No	Comments	Is the comments incorporated in revised proposal (Y/N)?	If yes, please specify how it has been incorporated? If no, please why it has not been incorporated?

ENCLOSURE-4d

No. 66(13)/PFC-II/2020
Government of India
Ministry of Finance
Department of Expenditure
Public Finance Central-II

North Block, New Delhi
9th September, 2022

OFFICE MEMORANDUM

Subject: Appraisal and approval of Public Funded Scheme and Projects (except matters required to be placed before the Cabinet Committee on Security)– In-principle – regarding.

Kind reference is invited to this Department's OM No. 24(35)/PF-II/2012 dated 05.08.2016 vide which detailed guidelines for formulation, appraisal and approval of public funded scheme and projects, except matters required to be placed before the Cabinet Committee on Security were issued to all the Ministries/Departments of Government of India.

2. In the para 4(i) of the ibid OM it has been clearly stated that “no new Scheme or sub-scheme will be initiated without prior 'in-principle' approval of the DoE. This will, however, not apply to the announcements made in the Budget Speech for any given year”. However, it has been lately observed that certain Ministries/Departments have appraised/initiated schemes without obtaining prior 'in-principle' approval of DoE. As a result, this Department does not have the relevant information about such schemes run by the Ministries/Departments and cumulative impact of all such proposals cleared by SFC is known to this Ministry only at the RE stage.

3. It is therefore reiterated that Para 4(i) of DoE's OM dated 05.08.2016 may be strictly adhered to while initiating any new scheme/sub-scheme. This Ministry may in such cases, reduce/stop budgetary support.

4. This issues with the approval of Finance Secretary & Secretary (Expenditure).

Sd/-
(Hema Jaiswal)
Director, Policy & PFC-II

To,

1. All Secretaries to the Government of India
2. All Financial Advisers to Ministries/Departments of India with a request to ensure that financial outlays for schemes/sub-schemes which have not followed the extant procedure may be stopped and intimation to DoE/Budget Division (DEA) be sent.
3. JS (Budget), D/o Economic Affairs, North Block, New Delhi

ENCLOSURE-4e

No. 01(01)/PFC-II/2022
Government of India
Ministry of Finance
Department of Expenditure
Public Finance Central-II Division

North Block, New Delhi
Dated the October, 2022

Office Memorandum

Subject: Appraisal and Approval of Public Funded Scheme and Projects (except matters required to be placed before the Cabinet Committee on Security) – in principle – reg.

Kind attention is drawn to Department of Expenditure's O.M. No.24(25)/PFC-II/2012 dated 05.08.2016 detailing guidelines on appraisal and approval of public-funded schemes and projects. Vide the above referred O.M. Ministries/Departments were advised against operating small and multiple schemes which spread resources too thinly to realize any outcomes. Similarly, as regards projects, the conceptualization of a project through stakeholder consultations leading to preparation of a Concept Paper considering the feasibility of the project on techno-economic ground and the availability of finances were emphasized. These are captured in Annex.I to the ibid O.M, wherein it was also clearly stated that no new scheme/sub-scheme or a project must be initiated without the prior "in-principle" approval of Department of Expenditure (DoE) except those announced as part of the Budget Speech. In continuation of the ibid O.M., DoE had reiterated the position vide its O.M. No. 66(13)/PFC-II/2020 dated 09.09.2022 (copy enclosed).

2. For proper expenditure control and budgetary discipline, it is not only important that a scheme/sub-scheme or a project should be initiated only after obtaining prior "in-principle" approval of the DoE but also that the accumulative fiscal impact of all such proposals cleared by the SFC/DIB is available with DoE and Budget Division of Department of Economic Affairs.

3. In view of the above, the undersigned is directed to state that while sending proposals for in-principle approval of DoE for initiating any new scheme/sub-scheme or projects a list of schemes & projects approved by the concerned Ministry/Department, as per the delegation of financial powers, in the last two years as well as current FY (base taken as date on which the proposal is sent to DoE) having outlay below Rs. 500 crore is to be enclosed (as per the format attached) along with the Concept Note of the scheme/projects.

4. This issues with the approval of the Finance Secretary and Secretary (Expenditure).

Sd/-
(Hema Jaiswal)
Director, (PFC-II)
Tele. No. 23092578

Encl: as above.

To

1. All Secretaries to the Government of India
2. All Financial Advisers to the Ministries/Departments of Govt. of India
3. JS (Budget), Department of Economic Affairs, North Block, New Delhi

Format for providing information related to the Schemes approved at Ministry Level (below Rs. 500 Cr.) in last three years.

Current Year till date: Details of Schemes/Projects approved/ appraised: (20..,20..)

S.No.	Name of Scheme/Project	Amount approved	Period of Scheme/Project

Last Financial Year : Details of Schemes/Projects approved/appraised : (20..,20..)

S.No.	Name of Scheme/Project	Amount approved	Period of Scheme/Project

Last to Last Financial Year: Details of Schemes/Projects approved/appraised: (20..,20..)

S.No.	Name of Scheme/Project	Amount approved	Period of Scheme/Project

No.01(01)/PFC-1/2022
Government of India
Ministry of Finance
Department of Expenditure

North Block, New Delhi
3rd October, 2023

OFFICE MEMORANDUM

Subject: - Revised format for Appraisal and Approval of new Public Funded Schemes-reg.

Kind reference is invited to DoE's OM No.42(02)/PF-I1/2014 dated 09.08.2021 vide which revised format for appraisal and approval of new Public Funded Schemes was issued by this Department (**Copy enclosed**).

2. The undersigned is directed to state that Para 3.3 of the Annexure-A of DoE's ibid OM hereby stands modified as under: -

"Para 3.3: In case of beneficiary-oriented schemes, indicate whether the scheme is a Direct Benefit Transfer (DBT) scheme inter-alia indicating the mechanism for identification of target beneficiaries through Aadhaar authentication (and not merely Aadhaar seeding), provision for online application and fund disbursement mechanism (Disbursement of funds should be done through Aadhaar Payment Bridge System (APBS) using DBT scheme code)."

3. Revised format for appraisal and approval of new public funded schemes after incorporating the modification is hereby **enclosed**.

4. Following points, with regards to the appraisal and approval of new public funded schemes, are reiterated: -

(i) The EFC/SFC proposals for new public funded schemes should be sent in the enclosed revised format (Annexure-A) including the summary sheet, along with detailed paper if required and other enclosures as prescribed in the checklist of the format.

(ii) '*In-principle*' approval of the Department of Expenditure for initiating any new scheme/sub-scheme should be taken in terms of Para 5 of DoE's OM No.24(35)/PF-II/2012 dated 05.08.2016 and OM No.01(01)/PFC-11/2022 dated 21.10.2022.

(iii) For assistance in formulating logical framework based output/outcome tables for the new schemes, NITI Aayog may be consulted by Ministries/ Departments.

5. This will apply to all EFC/SFC proposals for new schemes submitted on or after 15.11.2023.
6. This issues with the approval of Finance Secretary & Secretary (Expenditure).

Encl: - As above.

Sd/-
(Hema Jaiswal)
Deputy Director General (PFC-II)

To,

1. All Secretaries to the Government of India
2. All Financial Advisers to Ministries/Departments
3. Cabinet Secretariat
4. Prime Minister's Office
5. NITI Aayog
6. Railway Board
7. Internal Circulation

FORMAT FOR EFC/SFC MEMORANDUM FOR APPRAISAL OF NEW SCHEMES

Summary Sheet

S. No.	Outline	Details
1.	Name of the Scheme	
2.	Nature of the scheme (CSS/CS/Scheme under umbrella)	
3.	Duration	
4.	Proposed Outlay	
5.	Funding pattern	
6.	Source of Funding	
7.	Objectives	
8.	Target Beneficiaries	
9.	Major Interventions/ Components	
10.	Name of schemes with which convergence is sought along with Ministries/ Departments	
11.	Manpower Requirement	
12.	Measurable outputs/ outcomes targeted at the end of scheme duration	

FORMAT FOR EFC/SFC MEMORANDUM FOR APPRAISAL OF NEW SCHEMES

Document's Checklist

S.No	Document	Attached (Yes/No/NA)	Annexure Number	Remarks (If any)
1.	Concept Paper			
2.	Evaluation Report			
3.	Feasibility / pilot study report			
4.	Gap / Need Analysis Report			
5.	Stakeholder Consultation Report			
6.	Approval and Clearances (Such as Land Acquisition, Environmental Clearance etc.)*			
6.1	..			
6.2	..			
7.	Response to Comments			
	*to be enlisted as 6.1, 6.2 and so on by Ministry/Departments as applicable at approval stage			

1. General

- 1.1 Title of the Scheme
- 1.2 Sponsoring Agency (Ministry/ Department/Autonomous Body or Undertaking)
- 1.3 Proposed duration of the Scheme
- 1.4 Nature of the Scheme: Central Sector Scheme/ Centrally Sponsored Scheme (Please specify if it is under an umbrella)
- 1.5 Total estimated financial outlay of the proposed Scheme
- 1.6 Funding Pattern
- 1.7 Provide details of schemes under it along with proposed outlays. Details of sub-schemes (if any) under the scheme along with proposed outlays.

Details of the scheme (year-wise)

Umbrella Scheme	Scheme	Sub Scheme	FY	Proposed Outlay
(Column may be deleted if not applicable)		(Column may be deleted if not applicable)		

1.8 (A) Is the scheme created by restructuring/merger/renaming of previously existing scheme(s)/sub-scheme(s)? If yes, please mention the name of the scheme(s) proposed to be merged/dropped/ rationalized?

(B) Please mention whether the old scheme(s) was evaluated? If yes, please attach Evaluation report.

(C) What were the main findings of the evaluation and how are they incorporated in the scheme design (please use the table given below)?

Total no. of recommendation listed in evaluation report				
S.No.	Recommendation of the evaluation report	Has an action been taken on this recommendation? (Yes/No)	If yes, please elaborate the action or revision in scheme proposal undertaken.	If no, please explain the reasoning for exclusion of this recommendation.

1.9 Details of In-principle approval-

1.10 (A) Concept Paper details including findings of Gap/Need analysis and Feasibility/Pilot Study along with a summary justification for the new scheme.

(B) Details of stakeholder consultations undertaken. Please include details of state governments consultation, particularly in CSS scheme.

1.11 Overlap with any existing scheme/sub-schemes in this Ministry/Department/any other Ministry/Department? If yes, please fill below table highlighting the aspects in which there is an overlap and how will the scheme use this convergence to save public resources?

Name of Ministry/Departments	Scheme/Sub-scheme Name (with which there is convergence)	Is there any convergence at the following stages? (And details thereof)				How will the scheme use this convergence?	Other remarks
		Design stage	Implementation stage	M&E stage	others		
		For instance, in objectives, outcome, outputs, activities or target groups of the two schemes	For instance, in implementing agencies, human resources at any level, technologies, financial resources, PMUs, others	For instance, in monitoring bodies, monitoring mechanisms (MIS, data collection), joint evaluations, others			

1.12 Whether the proposal is secured against natural/man-made disasters like floods, cyclones, earthquakes, tsunamis, etc. If the proposal involves creation /modification of structural and engineering assets or change in land use plans, disaster management concern should be assessed, and specifically commented upon.

2. Outcome and Deliverables

2.1 Objectives of the Scheme

2.2 Indicate year-wise targets set for outputs and outcomes of the scheme along with the activities to be undertaken and inputs to be used in the form of measurable indicators in the below mentioned table. Data sources for each indicator must be clearly mentioned along with key assumptions and risks involved (if any) along with their severity as perceived by the proposer. Baseline data (Year and Value) should also be benchmarked and mentioned for all indicators.

Objecti ve State ment	Indicat ors	Means of Verification	Important Assump tions	Risks Involved		Baseline Year	Baselin e Value	Target				
				Risk Identified	Severity of Risk (Low/Medium/High)			Fiscal Year 'A-B"	Fisc al Year B-C"	Fiscal Year 'C-D"	Fiscal Year D-E"	iscal Year E-F"
Outco mes		(Data Source)										
Output												
Activit y												
Inputs												
Output Efficiency: - the ratio of targeted change in outputs to budgeted expenditure (to be calculated for each year) taken on key output indicators												

3. Target Beneficiaries

3.1 (A) Please specify the target beneficiaries in terms of location, area and segment of population, industries, companies, institutions, etc.

B) Please give the details of coverage of target population and basis for selection of the target beneficiaries.

3.2 Is there a specific intervention targeted at any of demographics mentioned in the below table? If yes, please elaborate on specific interventions targeted for the corresponding demographic. If no, please mention why?

Is there a specific intervention targeted at any of the below mentioned demographics?		If yes, please elaborate on specific interventions targeted for the corresponding demographic. If no, please mention why?
Demographic	Yes/No	
Marginalized social groups namely SC, ST, Persons with disability (Divyangjan), minorities and other vulnerable groups.		
Women		
North east, Himalayan LWE, Island territories and other backward areas.		

3.3 In case of beneficiary-oriented schemes, indicate whether the scheme is a Direct Benefit Transfer (DBT) scheme inter alia indicating the mechanism for identification of target beneficiaries through Aadhaar authentication, provision for online application and fund disbursement mechanism (Disbursement of funds should be done through Aadhaar Enabled Payment System (AEPS) to ensure Aadhaar authentication, and not merely Aadhaar seeding).

3.4 (A) Are Panchayati Raj Institutions and Urban Local Bodies involved in implementation?

(B) If yes, elaborate on their involvement.

(C) Please also comment on preparedness and ability of the local bodies to undertake this.

(D) If no, please mention the reason for the exclusion of PRIs/ULBs in the implementation process.

4. Scheme Financing

4.1 Indicate the sources of finance for the Scheme: budgetary support, extra-budgetary sources, external aid, state share, etc. (Total amount year wise).

4.2 If external sources are intended, the sponsoring agency may be indicated, as also whether such funds have been tied up?

5. Cost Analysis

5.1 Please provide year-wise and component-wise cost estimates for the scheme in the below provided table and indicate how will they be shared by the state governments, local bodies, user beneficiaries or private parties. Also segregate them into recurring and non-recurring expenses

Scheme Component	Recurring/non-recurring cost	Cost Estimate/Proposed Outlay					Cost sharing at different levels				Remarks
		Fiscal Year "A-B"	Fiscal Year "B-C"	Fiscal Year "C-D"	Fiscal Year "D-E"	Fiscal Year "E-F"	Central Share	State Share	Local Body/3 rd tier share	Others	

5.2 The basis of these cost estimates along with the reference dates for normative costing

5.3 In case pre-investment activities or pilot studies are being carried out, how much has been spent on these?

5.4 In case the scheme involves pay out of subsidy, the year wise and component wise expected outgo may be indicated

5.5 In case the land is to be acquired, the details of cost of land and cost of rehabilitation/resettlement, if any.

5.6 In case committed liabilities are created, who is to bear the same? In case assets are created, arrangements for their maintenance and upkeep

6. Approvals and Clearances

6.1 Requirement of mandatory approvals and clearances from various local, state and national bodies and their availability may be indicated in a tabular form (land acquisition, environment, forestry, wildlife etc.)

S.No	Approval/Clearances	Agency Concerned	Availability (Y/N)

7. Human Resources

7.1. Please fill below table to indicate the administrative structure for scheme implementation. Please also provide details of manpower requirement, outsourcing of services, hiring of consultants and associated costs." (Note: In case posts, permanent or temporary, are intended to be created, a separate proposal may be sent on file to Pers. Division of Department of Expenditure after the main proposal is recommended by the appraisal body)

	Agency	Role of the Agency in Administration of Scheme Implementation	Manpower Requirement (in no. of Personnel)	Number of Posts to be Created		Number of consultants to be hired	Details of outsourcing of services	Associated Cost and Funding Source	Remarks
				Permanent	Temporary				
Centre									
State									
Local									

8. Monitoring and Evaluation

8.1 (A) Please indicate the monitoring systems to be established for the scheme. Indicate all that are applicable and provide details thereof,

- Constitution of Monitoring bodies or cells
- Development of Scheme MIS
- Establishment of protocol for regular performance reviews
- Others, please specify

(B) Please indicate the arrangements of statutory and non-statutory audits. Indicate all that are applicable and clearly provide details of modes of conducting and other arrangements of the same.

- Statutory Audits
- Non-statutory Audits
- Social audits
- Participatory Rural Appraisal
- Observational audits and
- Others, please specify

8.2 Please indicate the arrangement for third-party/ independent evaluations (separately for base-line, mid-line and end-line evaluations) along with methodological approach (experimental, quasi-experimental, mixed methodology, others) to be adopted for evaluations. Please note that evaluation is necessary for extension of scheme from one period to another. Please specify the amount of funds earmarked for third party evaluation under scheme budget.

9. Approval Sought:

Joint Secretary to the Government of India

Tel. No.....

Fax No.....

Email.....

- * Detailed Paper outlining the major elements and overall architecture of the proposed Scheme may be attached.
- ** Comments of the Financial Advisor of the Ministry/Department, NITI Aayog, Department of Expenditure and other Ministries/Departments may be summarized in a table given below. The table may be enclosed as an annexure of the EFC Memo. At the draft EFC memorandum stage, only comments of IFD of the Ministry/Department should be enclosed in the format

S.No	Comments	Is the comments incorporated in revised proposal (Y/N)?	If yes, please specify how it has been incorporated? If no, please why it has not been incorporated?

ENCLOSURE-5

Innovation Management Directorate
COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH
Anusandhan Bhavan, Rafi Marg, New Delhi – 110001

OFFICE MEMORANDUM

No.6/10/Reorient CSIR/2021/1

September 29, 2021

Sub: Implementation of Stage-Gate Model for Technology Development in CSIR

OM No: 6/10/Reorient CSIR/2021/1 dated 7th September, 2021 is hereby withdrawn. In place of the said OM, the present OM is issued.

1.0 Background:

The Council of Scientific & Industrial Research (CSIR) is a globally renowned public-funded research organization with many significant accomplishments and accolades over its nearly 8 decades of existence. Having a pan-India presence, CSIR has a dynamic network of 37 National Laboratories, 39 Outreach Centers, 3 Innovation Complexes, and 5 Units. CSIR covers a wide spectrum of science and technology – from radio and space physics, oceanography, geophysics, chemicals, drugs, genomics, biotechnology, and nanotechnology to mining, aeronautics, instrumentation, environmental engineering, and information technology. It provides significant technological intervention in many areas with regard to societal efforts which include environment, health, drinking water, food, housing, energy, farm, and non-farm sectors. Further, CSIR has played a major role in S&T human resource development in the country. This diversity and heterogeneity of CSIR have been crucial not only for its success but also for providing the required flexibility for CSIR to respond instantly during unforeseen circumstances.

CSIR is a dynamic organization. Typically, for any dynamic institution, periodical evolution becomes naturally a part of its growth. Majorly, this is triggered by internal factors such as effective articulation of manpower, rigidity observed in matured organizations, change in leadership, etc., and external factors such as dynamic market demands, stringent funding, post-pandemic strategy, economic recession, etc. In response to the above mentioned, it has become evident that the evolution of CSIR as a Next Generation organization is highly required. A next-generation organization can majorly be defined as a dynamic organization that adapts itself to the next generation's needs. It not only targets the improved outcome but also focuses on achieving an efficient internal process of the organization.

CSIR has been instrumental in steering Indian research and development in a wide spectrum of sciences and has reported several radical technologies, inventions, and discoveries since its inception. The existing model of technology development has served well but due to changing circumstances and market dynamics, CSIR needs to move towards more structured model such as Stage-Gate Model.

CSIR Reorientation Committee has also recommended the adoption of the Stage-Gate Model for Technology Development in CSIR.

2.0 Stage-Gate Model:

A stage/phase-gate process is a project management technique in which an initiative or project shall be divided into distinct stages or phases, separated by decision points known as gates. The stage-gate model provides a structured plan for implementing new projects. For organizations such as CSIR, which is completely driven by R&D projects, implementing a stage-gate model will not only be effective but also provides numerous advantages as listed below:

- Provides structured creativity/innovation;
- Guides the projects and tunes/align them so that it sticks to the original goal or set new goals as appropriate; and
- Saves efforts, as resources can be flexibly reallocated away from underperforming projects, which will be identified and can potentially be taken care of at the earliest by either providing recommendations to realign for success at a particular stage or by closing ("killing") the project early and preventing the release of further funds where chances of success appear low.

2.1 Stage gate model framework:

The typical stage-gate model is a process flow of alternating Stage (activity period) and Gate (milestone) blocks arranged successively. As a project progresses through successive stages and clears gates, the risk of failure decreases, and the project commitment and cost increase. A stage mentions activities of the corresponding project phase and the expected deliverables corresponding to that stage are given as input to the corresponding gate review – each gate is a critical decision-making block. The following are the parameters related to the gate block (Ref: https://en.wikipedia.org/wiki/Stage-gate_model):

- *"Input - What the Principal Investigator (PI) and team deliver as Outcomes (not just Outputs) to the decision point. These deliverables are decided at the review of the previous gate and are based on a standard menu of deliverables for each gate*
- *Criteria - Questions or metrics on which the project is judged in order to determine a result (go/conditional go/kill/hold/recycle) and make a prioritization decision. This criterion has to be listed for each gate. The criteria can be classified as follows-*
 - *Must meet criteria - Mandatory*
 - *Should meet criteria - Desirable*
 - *Qualitative criteria such as Quality execution, Business Rationale, Action Plan*
 - *Quantitative criteria such as properly benchmarked and unambiguously measurable parameters from SMART goals, etc.*
- *Output - Results of the Gate Review - a decision (go/conditional go kill/hold/recycle), along with an approved action plan for the next gate, and a list of deliverables and dates for the next stage until the next gate."*

Depending on the nature of the project the stage-gate model can have 2-16 stages and gates. However, the traditional stage-gate model has six stages followed by respective gates – Ideation, Scoping, Building business case and plan, Development, Testing and validation, and Launch. It is to be noted that there is a gate followed by each stage that decides the project continuation. Also, depending on the project progress there is an equal probability for the project to be allowed to continue or the project getting terminated. This helps in identifying and choosing only those potential projects that are likely to reach the completion stage within an agreed timeframe, thereby saving cost and improving manpower efficiency

2.2 Components for each stage:

Since CSIR works on a wide spectrum of scientific and engineering problems, the following are the generic guidelines that require to be followed in each stage –

Stage I – Ideation

- Brainstorming for proposing an innovative as well as market potential idea
- PI/Co-PI & team identification
- State of the art review along with detailed IP landscape
- Communicating with the end users/suppliers to fine tune the specifications
- Typically, TRL 0-1, aligned to PI & team capability and some initial data based on own experiments or preliminary literature survey
- Documentation

Stage II – Scoping

- National and International status of the proposed project
- Potential IP
- Market survey - competitors
- Identifying Industrial partners / End users
- Critically evaluate the strength and weaknesses (SWOT analysis) of the project & project teams (get external / internal people with right skills / expertise if necessary)
- Risk analysis
- Documentation

Stage III – Building Business Case and Plan

- Understanding the IP, safety, environmental impact, health considerations
- Stating the potential risk and its mitigation during the project execution
- Designing a detail development plan indicating the following –
 - Planning the entire research and Defining the sub-stages of the development. Modularizing the research into various sub-stages with clearly defined qualitative/quantitative deliverables.
 - Also recommended to provide a clear indication of the expected TRL in each sub-stage
 - Defining the SMART goals
 - Defining time-bound milestones to evaluate the project

Stage IV – Development

- Development of the proposed technology as defined in the previous stage
- Improving the business potential by collaborating with the stakeholders

Stage V – Testing and Validation

- Lab testing and defining metrics to evaluate
- Interaction with the end-user and obtaining their critical feedback

- Obtaining the regulatory approval, certification such as EMI/EMC (for electronic), FSSAI (for food products), BIS, CDSCO (for pharmaceutical drugs), PESO (for flammable, explosive or high pressure materials to be stored) etc.
- Targeting the innovators and early-adopters
- Documentation for technology transfer as per standard format

Stage VI – Launch

- Defining the initial market acceptance
- Working on the post-launch review and tuning the product specifications accordingly

After every stage, there will be Gate-meetings that decide the future of the project. The financial support for the successive project stage will be utilized only after the approval from the gatekeepers based on the gate meetings of the previous stage. There would be an equal probability for all the projects to be continued or killed based on their progress. This will increase the organisational focus on winning propositions resulting into significant increase in the development of robust and relevant technologies / products.

Thus, from the above definition of stages, from the idea conceptualization till the launch of the product, there will be continuous guidance from the Monitoring Committee who will also act as Gate Keepers. This would ensure structured R&D with definite planning of even minor events thereby significantly reducing not only the rigidity in the product development process but also the risk of failure.

In view of the foregoing, the following would come into effect.

2.3 Implementation of the stage-gate model:

Based on the above premises, CSIR has decided to implement the stage-gate model for all translational projects sponsored by CSIR such as those under FTT, FTC, Mission Mode, NMITLI and technology development projects of the labs initiated after the date of this OM. The following steps will be followed to implement the stage-gate model in CSIR –

2.3.1 Defining the roles and responsibilities:

Implementing the stage-gate will directly change the mode of project execution and indirectly the organization's culture. Consequently, successful implementation of the process demands support from many people at many levels. Hence, it is necessary to delineate the roles and responsibilities of the building blocks of the team. The following are the three major categories in the team for implementing the stage-gate model-

- Executive Team (ET, in CSIR Hqrs) – To formulate, implement and guide the project teams across all the laboratories. The Executive Team comprises of Director of the Laboratory (Nodal), Theme Director, Head of concerned Directorate at CSIR Hqrs, and Coordinating Scientist at CSIR Hqrs. This team will also do portfolio management for CSIR.
- Gate Keepers (GK) – Expert team in the relevant areas who are the decision-makers. Domain Expert Group and Monitoring Committee shall act as Gate Keepers. The Coordinating Scientist at CSIR Hqrs will be the nominee of the ET to the GK group.
- Principal Investigator (PI), Co-PI, and the team members who propose the project take advice of the Executive team and implement the project accordingly in line with the stage-gate model. A nominee of the Theme Director will be involved in the process to minimize overlap and duplication across CSIR laboratories.

2.3.2 Aptly designed and customized process suiting the organization's requirements:

A customized stage-gate model with clearly defined stages incorporating the learning from the present model for a particular project has to be developed. Obtaining a customized plan will require multiple interactions between the executive team and PI and Co-PI including team members. The outcome of this exercise will refine further the definition of stages mentioned in section 2.2 customized to the existing themes/project modes (FTT, FTC, Mission Mode, NMITLI, etc.).

2.3.3 Definite Launch plan

2.3.3.1 Clear Communication and Continuous Guidance – While introducing a new process in the system, a dedicated team-Executive team, which possesses the complete knowledge of the stage-gate model, would provide continuous guidance to all the project team so as to align them with the new model. The entire formulation should be clear and crisp so that the targeted point reaches all the audience seamlessly i.e. the information flow needs to be flawless. Also, guidance is required from the stage of ideation till the submission of the post-launch review.

2.3.3.2 Addressing the impact of the implementation – Also, it has to be understood that implementing a new process in any organization will have both positive and negative reception. Both of them have to be handled in such a way that it propels the implementation rather than impeding it. The executive team has to be ready with the answers for all potential negative reception and make the team understand the long-term positive effect for the organization.

2.3.3.3 Defining Performance Metrics – Feedback is crucial in any sustainable and stable system. As a mode of feedback, the overall performance of the model implementation can be tracked by means of some predefined metrics such as – a percentage of projects in a stage-gate model, frequency and the decisions in the gate-meetings, total project budget saved at different stages of the projects, time taken to technology transfers, the success rate of the projects as measured by generated revenues and customer satisfaction surveys.

2.4 Bill of Materials, Standard of Preparation and Supply Chain:

A bill of material or BOM is a list of all manufactured and raw materials needed to build a product. It serves as the core of any manufacturing process because it lays out all information required to assemble a product. Not only does a BOM outline what manufactured and raw materials are needed to build a product, but it also includes the equipment and tools needed to build the product. (Ref: <https://www.globalshopsolutions.com/blog/what-is-a-bom-and-why-is-it-important/>). A standard of preparation for the product shall be documented as a drawings, process sheets, quality assurance, etc.

Because of its importance, Principal Investigators need to make sure that they have generated an accurate and reliable BOM so that the manufacturing process isn't hindered because of inaccurate information. The BOM impacts purchase of raw material, available inventory, and the process of assembly on the shop floor. The accuracy in information helps in making better decisions about manufacturing the product efficiently and cost-effectively.(Ref: <https://www.globalshopsolutions.com/blog/what-is-a-bom-and-why-is-it-important/>).

After adapting to Stage-Gate Model, all the technologies/products developed by CSIR and ready to transfer to industries for commercial production shall be complete with BOM, Supply Chain information (such as whether any items are single-source, imported, hazardous to store, perishable etc), and Logistics (mode and cost of transportation and storage).

2.5 Performance Monitoring

Periodic evaluation of the Stage-Gate process implementation is vital in tracking its success. Hence, the following steps will be carried out for performance monitoring of the Stage Gate mechanism. Initially, the number of projects implemented and the feedback from PI, ET and GK, via an online survey will be consolidated. However, after 2 years, in addition to the above, the performance metrics mentioned earlier will also be compiled and submitted to DG, CSIR for further evaluation. This exercise will be carried out biannually and the executive team will submit a detailed report to DG, CSIR for his comments. Based on DG's suggestion, further tuning of the stage-gate model will be carried out.

Considering the nature and credibility of the stage-gate model, implementing the same in CSIR will undoubtedly provide a significant leap in the organization's culture and performance. This mode of project execution provides - continuous evaluation, quicker response to unforeseen circumstances, and reduction in risks as the project progresses, structured and responsible R&D – which ultimately aid in successfully propelling an R&D project to the state-of-the-art technology. Thus, this exercise will act as a stepping stone for leveraging CSIR to face the next generation R&D problems and establishing a brand impact in society.

2.5 Applicability:

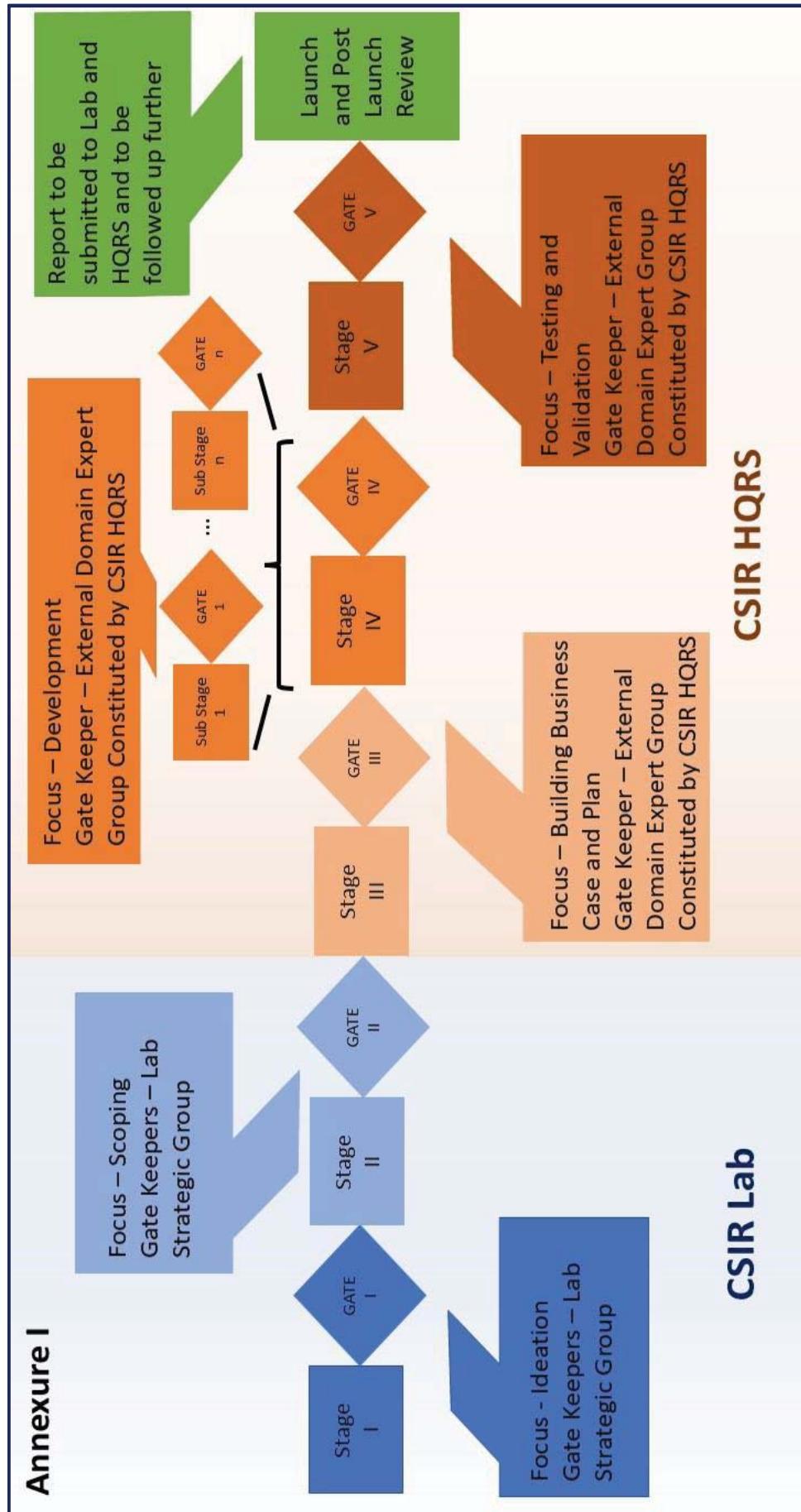
Stage-Gate Model shall come into effect with the date of issue of this OM. All new projects under the category of FTT, FTC, Mission Mode, NMITLI, and technology/product-oriented MLP shall be implemented following this model. However, it shall not apply to basic research projects, FBR, NCP, CSIR-FIRST and all ongoing projects under any category. Refer Annexure I for Stage Gate Model process flow.

Sd/-
(Rajendra Prasad Singh)
Head, Innovation Management Directorate

Copy to:

1. Directors of CSIR laboratories (With a request for circulation among scientists)
2. Office of Director General, CSIR
3. Office of Joint Secretary (Admin.), CSIR
4. Office of Financial Advisor, CSIR
5. Heads of all Directorates at CSIR Headquarters
6. Head, IT – with request to upload this OM on CSIR website
7. Office Copy

Annexure I



ENCLOSURE-6

INNOVATION MANAGEMENT DIRECTORATE
COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH
Anusandhan Bhavan, Rafi Marg, New Delhi – 110001

OFFICE MEMORANDUM

No.6/10/Reorient CSIR/2021/2

September 20, 2021

Sub: New Guidelines for Project Monitoring in CSIR – Formulation of Lab and Theme Strategic Groups

1. Background

Research and Development in CSIR includes almost all branches of Science and Technology with a special emphasis on industry-oriented R&D. The research is being carried out by 37 labs across the Nation in terms of numerous projects funded by CSIR, other government agencies, foreign institutions, academic institutions, industries, etc. Thus, responsible formulation, efficient execution and successful completion of projects is the core of CSIR activities.

The term “Project Monitoring” becomes one of the vital segments in the overall R&D activities in CSIR. The major role of project monitoring is not only in aligning the project with the initial established schedule but also ensuring the seamless availability and right usage of resources such as manpower, material and finances. Additionally, this assures that consistent effort has been put uniformly throughout the project duration and prevents any fire-fighting situation which could potentially lead to substandard and/or compromised outcomes. Project monitoring promises timely detection and response for any issues occurring in the project as well as prevention of any problem occurrences.

2. Need for efficient project monitoring

In the 10th Global Project Management Survey, it has been estimated that almost 75% failures in projects are primarily due to two reasons – First is the Lack of clear communication (includes within the team, with the senior management, with the stakeholders, across the various groups of the organization such as purchase, finance, etc. which aids the project) and second is the Lack of clearly defined and/or achievable milestones and objectives to measure progress of the project. The former is pertaining to designing an efficient project monitoring system which is the focus of the OM and the later will be improved by implementing Stage-Gate Model (OM No.6/10/Reorient CSIR/2021/1 dated 7th September 2021).

Typically, monitoring and managing a single activity is quite straight forward. However, a project, being collection of numerous, parallel and interdependent activities with definite deliverables/milestones performed by a team of individuals with wide range of expertise to achieve the end goal, is highly difficult to manage. Following up on the status of various activities and managing their dependencies throughout the project is extremely crucial which is accomplished by Project Monitoring. The major advantages of project monitoring are as follows –

- Improved project transparency
- Enhanced resource management
- Creates checkpoints for better control over project execution
- Significantly reduces the risk of delayed deliveries
- Empowerment of the project team and enhanced coordination between the project team and the supporting departments such as administration, purchase and finance
- Channel for seamless information flow between the project team and the respective stakeholders

Presently, Research Councils (RCs) comprised of eminent experts from various fields are reviewing all the laboratory projects. However, few more layers of project monitoring are needed to closely review the progress of the project and provide timely intervention for mitigation of any shortcomings. Further, for CSIR funded projects, Task Force and External Monitoring Committees are in place. Overall, project monitoring in CSIR needs to be strengthened as per the recommendation of the CSIR Reorientation Committee.

3. Important Aspects of Project Monitoring

A project involves significant utilization of most important resources in organization such as money, manpower and time. Hence, it is vital to channelize the resources effectively and ensure that every unit consumption of these resources result in the overall growth of the organization. Thus, project monitoring is crucial. However, to have an effective project monitoring, it is important to understand the various aspects of project monitoring – modes of monitoring, critical processes and major challenges faced in project monitoring.

3.1 Modes of project monitoring

The widely used project monitoring modes are by written communication (Report and other documentation), verbal communication (Presentation and Meetings) and using project monitoring software for real-time/online monitoring. Reports/project documentation should be precise, to the point and are more effective when it records the right concern to the right person for a timely decision. Meetings are the traditional tools to monitor the progress of any project. Each mode of monitoring has its own merits and demerits. Hence, it is recommended that a combination of the modes to monitor a project. Every major monitoring meeting will be preceded by submission of report by the project team and offline critical review of the report by the monitoring team. In addition, tracking the project activities online is also an emerging trend employed in project monitoring. Appropriate software tool for project management is in the process of development and will be released soon.

3.2 Critical processes in project monitoring

1. Designing the project proposal - The entire project monitoring process is built on how good the project is designed. Thus, for any type of monitoring to be effective, initial well-defined project planning with quantizing the project in terms of Gantt chart, Pert chart, Defining measurable milestones, Listing the KPIs/SMART goals at every milestone of the project, potential risks involved, bottlenecks in the course of the project etc. in the proposal is highly important.

2. Major parameters in project monitoring:

- i. Project goal and ongoing tasks –
 - Duration of the tasks – understanding the delay / quicker completion of any tasks and ensuring the quality is not compromised
 - Whether the ongoing tasks are as per plan and are aligned in the direction for reaching the overall project goal. If identified deviating, the monitoring team ensures it is aligned back and focused to achieve the goal
- ii. Project manpower management
 - Team capacity – whether sufficient manpower is allocated to the project
 - Team members and their contribution in ongoing tasks – Scrutinizing the individual employee activity and if significant contribution has not been made by a team member, he/she can be dynamically allocated to other projects
- iii. Budget handling – Most important component of project monitoring includes the following
 - Ensuring the budget is spent on right items/services as per the requirement of the project
 - Analysing total budget handling in terms of budget indented/in process, budget spent and budget pending
 - If any delay in processing the budget, the SPO/CoSP and/or FAO/CoFA can be consulted for resolving the issue at the earliest.
- iv. Involving the stakeholder – Stakeholders can be involved wherever possible, at the starting to define the specifications clearly, in the course of the project to tune the specifications and at the end of the project for seamless technology transfer.

3. Following up after the monitoring meeting:

- i. Preparing the duly approved meeting minutes with clear action items and circulating to all the members.
- ii. Any decisions/ approvals taken in the meeting should be indicated in the minutes and the same can be used as a formal supporting document in processing any files such as related purchase/accounts/other administration works, etc.
- iii. The points in the earlier meeting minutes are discussed in subsequent meeting
- iv. All the meeting minutes should be archived by the Project Leader for record purpose

3.3 Other challenges faced

The major hurdles that reduces the efficiency of project monitoring are enlisted as follows:

- Lack of transparency – Sometimes reports and/or presentations does not completely reveal the critical facts in the project and lack responsible preparation. This misleads the guidance offered or the decision making by the Monitoring Committee

- Lack of detailed and/or critical feedback – Sometimes the presenter as well as the Monitoring Committee tends to be diplomatic and avoid negative details/comments. This results in an illusion of “everything good and as planned”. Critical feedback/review motivates the project team to prepare good quality report and better involvement in the monitoring meetings
- Lack of communication among the team –‘Team’ communication here refers to both inter and intra communication of project team and monitoring team. Improper communication leads to Abiline paradox where a group makes a collective decision that is opposite to the thoughts of the individual members
- Lack of follow-up – Action items resulted in the monitoring meetings are typically not followed up and/or not implemented will further weakens the very purpose of the project monitoring
- Lack of stake-holder involvement – Project monitoring from a stake holder’s perspective is different from that of experts. Hence, involving stakeholder in the monitoring meetings periodically helps in aligning the project and improves the probability of project success.

It is ensured that conscious efforts have been taken both by the Monitoring Committee and Project Team to overcome the above-mentioned challenges.

4. Project monitoring in CSIR

During the COVID-19 Pandemic, CSIR Strategy Group (CSG) has been instrumental in planning and monitoring all the COVID related projects and eventually came out as a successful mode. In the similar lines, in addition to RC, it is recommended the formation of two Strategic Groups - one in respective lab's names (eg: AMPRI Strategic Group, CEERI Strategic Group, IICT Strategic Group, etc.) for monitoring all the lab projects and other as respective Theme Strategic Group (eg. AEISS Strategic Group, Civil Infrastructure & Engineering Strategic Group), etc. to work as Theme's Think-tank.

In all the meetings (lab/theme/HQ) it is ensured that the activities are monitored as mentioned in section 3.2 and conscious efforts have been taken by Strategic Groups, the Monitoring Committee and Project Team to overcome the challenges mentioned in Section 3.3.

4.1 Lab Level Monitoring

Lab level project monitoring shall be done at the following two levels:

4.1.1 Lab Strategic Group (LSG)

Every CSIR Lab/Institute shall constitute a Lab Strategic Group (LSG) with the following composition:

- Director-Chairperson
- 3 Senior Principal Scientists and above from different groups in the lab
- Controller of Administration / Administrative Officer
- Controller of Finance and Accounts / Finance and Accounts Officer
- Controller of Stores and Purchase / Stores and Purchase Officer
- Head, Business Development
- Head, Project Monitoring & Evaluation-Member Secretary
- DG nominated RC Member from CSIR Headquarters-Invitee

(Note: If a CSIR lab has CoA, CoFA and CoSP, they shall be member of LSG. In the absence of such an officer, the option given as alternative should be opted. If the lab does not have PME, then Head, Business Development shall be Member Secretary.)

This committee shall meet once in a week on fixed date and fixed time to review the lab activities including development of new projects, review of on-going projects, technology transfer matters, any other vital activities etc. Projects can be selected in advance for presentation by PIs. All scientific and technical matters and problems related with manpower, funds, purchase concerning to that projects shall be discussed and resolved. Member Secretary shall prepare detailed minutes and after the approval of Chairperson of LSG shall circulate to all members including PIs. Approved minutes shall be circulated within 2 days of the meeting and in any case must be done before next weekly meeting. A database of minutes shall be maintained by Member Secretary. All FBR, NCP, CSIR-FIRST, FTT and FTC Projects sanctioned to the lab by CSIR Hqrs shall also be monitored by LSG.

4.1.2 Research Council

The composition and terms of reference of Research Council of Labs (RCs) have been notified earlier by CSIR Headquarters. There shall be no change in that notification.

4.2 Headquarters Level Project Monitoring

Headquarters level projects shall be monitored at the following levels:

4.2.1 Mission Director level monitoring / Steering Committee:

All Mission Mode Projects shall be monitored by the Mission Director through virtual meetings with all the PIs on monthly basis. Nodal Scientist from the Nodal lab shall prepare minutes of the meeting and with the approval of Mission Director shall circulate to all the PIs.

NMITLI Projects shall be monitored as per the extant guidelines on quarterly basis. There shall be no change in the CCEA approved monitoring mechanisms of NMITLI Projects.

4.2.2 External Monitoring Committee (MC)

Monitoring Committee including members from Academia, CSIR and Industry shall be constituted for FBR, NCP, CSIR-FIRST, FTT, FTC, Mission mode projects for each of the 8 themes with the approval of Director General, CSIR. Monitoring Committee shall not have less than 3 members with no upper limit. The terms of reference of the Monitoring Committee are:

- i. To review and examine the progress of the project in conformance with the milestones, targets and objectives set as contained in the project document;
- ii. To assess the global developments impacting the domain of the project;
- iii. Based on the foregoing to assess and recommend for:
 - (a) foreclosing or dropping or modification in the components of the project, within the overall approved objectives, budget and timeframe;
 - (b) including additional institutional / industrial partners, in the overall interest of the project;
 - (c) revising the funding support; and
 - (d) extending the project duration; if necessary

Monitoring Committee shall meet as frequently as per the requirements of Stage-Gate but not later than 6 months. The meeting shall be organized by respective directorates of CSIR Headquarters dealing with the kind of projects. These directorates shall maintain proper records of the meeting for future reference and for audit purposes.

NMITLI Projects shall be monitored as per the CCEA approved monitoring mechanisms.

4.2.3 Theme Strategic Group (TSG)

Theme Strategic Group (TSG) shall be constituted by TMD-SeMI with the approval of Director General, CSIR. Composition of TSG shall be as per given below:

- Director General, CSIR-Chairman
- Theme Director
- Directors of labs majorly working in the Theme
- Head, TMD-SeMI, Head-TMD-II, Head-IMD, Head-CPD
- Nodal Scientist from TMD-SeMI/TMD-II-Convenor

TMDs shall organize meeting of one theme specific TSG/week. Thus, TSG meeting for a theme shall occur on bi-monthly basis. The functions of the TSG shall be as follows:

- Act as a think tank and manage the portfolio of the respective theme;
- Identify the area for CSIR intervention, help in the formulation of new proposals and maximize inter lab collaboration;
- Progress review of critical projects in the theme and take steps for timely delivery;
- Steers futuristic direction of the theme - ensures that in addition to the activities which has immediate market potential/application, futuristic activities in emerging areas and global trends are being taken up parallelly;
- Ensures No obsolete/near obsolete/market incompetent/sub-standard activities are being carried out within the theme;
- Empower to recommend dropping off obsolete research area in the labs under the theme;
- Ensures minimal to zero duplication of R&D areas/projects/proposals across the CSIR labs in the theme; and
- Aligns all the activities with the stakeholder ministries, market needs, national mission, NITI Aayog's directives, global demands such as SDGs, IPCC policy, etc.

However, TSG shall not be involved in routine monitoring of projects of the theme. The convenor shall be responsible for preparing, circulating and archiving the duly approved meeting minutes.

5. Applicability

The recommended project monitoring shall come into effect with the date of issue of this OM. All running/new projects under the category of FBR, NCP, CSIR-FIRST, FTT, FTC, Mission Mode, NMITLI, MLP and externally sponsored project both government agency/industry will be monitored as per the OM. The table in Annexure I summarizes the project monitoring to be implemented as detailed above.

Each laboratory is requested to provide copy of OM constituting Lab Strategy Group (LSG) and fixed data and fixed time of the meeting in the week, to CSIR Headquarters by September 30, 2021.

**Sd/-
(Rajendra Prasad Singh)
Head, Innovation Management Directorate**

Copy to:

1. Directors of CSIR laboratories (With a request for circulation among scientists)
2. Office of Director General, CSIR
3. Office of Joint Secretary (Admin.), CSIR
4. Office of Financial Advisor, CSIR
5. Heads of all Directorates at CSIR Headquarters
6. Head, IT – with request to upload this OM on CSIR website
7. Office Copy

Annexure I

Monitoring Group	Overall responsibility for constitution and meeting scheduling of the monitoring committee	Frequency of the meeting	Applicability
Lab Strategic Group (LSG)	Head, PME of the respective lab	Every week on fixed day and fixed time	All projects, new proposals, technology transfers, MoUs, NDA and any other matter (Scientific/ technical/ administrative)
Research Council	Head, CPD and Scheduling by the Director	Half yearly (at least)	All projects
Mission Director Monitoring	Nodal Scientist of Nodal Lab	Every month	Mission mode projects (as per the stage-gate requirements)
NMITLI Steering Committee	IMD, CSIR Headquarter	Quarterly	All NMITLI projects (as per the stage-gate requirements)
Theme Strategic Group	TMD-SeMI, CSIR Headquarter	Bi-monthly (One theme per week)	R&D Activities and portfolio management
External Monitoring Committee	Respective Directorates in the Headquarter	NMITLI Projects (as per CCEA approved mechanisms/ stage gate requirements) FBR, NCP and FIRST (Half yearly) Mission mode, FTT and FTC (as per the stage-gate requirement but maximum half-yearly interval)	

Sd/-
(Rajendra Prasad Singh)
Head, Innovation Management Directorate

ENCLOSURE-6a

INNOVATION MANAGEMENT DIRECTORATE
COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH
Anusandhan Bhavan, Rafi Marg, New Delhi – 110001

OFFICE MEMORANDUM

No.6/10/Reorient CSIR/2021/2

October 9, 2024

Ref. OM No. 6/10/Reorient CSIR/2021/2 dated September 20, 2021 regarding New Guidelines for Project Monitoring in CSIR – Formulation of Lab and Theme Strategic Groups

DG, CSIR has been pleased to approve the following:

The revised para 4.1.1 will be as under:

4.1.1 Lab Strategic Group (LSG)

Every CSIR Lab/Institute shall constitute a Lab Strategic Group (LSG) with the following composition:

- Director-Chairperson
- 3 Senior Principal Scientists and above from different groups in the lab
- Controller of Administration / Administrative Officer
- Controller of Finance and Accounts / Finance and Accounts Officer
- Controller of Stores and Purchase / Stores and Purchase Officer
- Head, Business Development
- Head, Project Monitoring & Evaluation-Member Secretary
- DG nominated RC Member from CSIR Headquarters-Invitee

(Note: If a CSIR lab has CoA, CoFA, and CoSP, they shall be a member of LSG. In the absence of such an officer, the option given as an alternative should be opted. If the lab does not have PME, then the Head, of Business Development shall be Member Secretary.)

Given the importance of a smooth administrative process for achieving project milestones, this committee shall convene the meeting as needed at the discretion of the Lab Director to review the following only – resolving administrative hurdles of ongoing projects, technology transfer matters, and any other vital activities as decided by the lab director, etc. Projects can be selected in advance for presentation by PIs. All matters and problems related to manpower, funds, and purchases concerning those projects shall be discussed and resolved. Member Secretary shall prepare detailed minutes and after the approval of the Chairperson, LSG, the same shall be circulated to all members including PIs. Approved minutes shall be circulated within 2 days of the meeting and in any case must be done before the next meeting. A database of minutes shall be maintained by the Member Secretary.

Further, the following new level of monitoring under section 4.1 Lab Level Monitoring will be carried out from the date of issue of this OM:

4.1.3 Task force monitoring (TFM)

Every CSIR lab/institute shall convene a task force meeting for the Mission Mode, FBR, NCP, CSIR-FIRST, FTT, and FTC Projects. The frequency of the meeting has to be quarterly. The members of the task force meeting will be –

- Mission Director/ Nodal Lab Director - Chairperson
- Participating Labs' Directors, if any
- PIs & Co-PIs of the Project/WPs in the Mission mode projects
- CSIR HQ Project Coordinator
- Head, PME of the Nodal lab (convenor)

The purpose of the Task Force Meeting is to monitor the progress of ongoing projects within the labs, ensuring that all projects are on track to meet their goals and deadlines. The Task Force will identify any issues or obstacles and develop strategies for resolving them. The Minutes of each meeting will be drafted and circulated to all members within one week of the meeting by the convenor.

Accordingly, the revised Annexure I is enclosed.

sd/-

**(Dr. Debashis Bandyopadhyay)
Head, Innovation Management Directorate**

Copy to:

1. Directors of CSIR laboratories (With a request for circulation among scientists)
2. Office of Director General, CSIR
3. Office of Joint Secretary (Admin.), CSIR
4. Office of Financial Advisor, CSIR
5. Heads of all Directorates at CSIR Headquarters
6. Head, IT – with request to upload this OM on CSIR website
7. Office Copy

Revised Annexure I

Monitoring Group	Overall responsibility for constitution and meeting scheduling of the monitoring committee	Frequency of the meeting	Applicability
Lab Strategic Group (LSG)	Head, PME of the respective lab	As and when required	All new proposals, technology transfers, MoUs, NDA, and most importantly the administrative matters of all ongoing projects
Research Council	Head, CPD and Scheduling by the Director	Half yearly (at least)	All projects
Task Force Meeting	Head, PME of the Nodal lab	Quarterly	All ongoing projects
Mission Director Monitoring	Nodal Scientist of Nodal Lab	Every month	Mission mode projects (as per the stage-gate requirements)
NMITLI Steering Committee	IMD, CSIR Headquarter	Quarterly	All NMITLI projects (as per the stage-gate requirements)
Theme Strategic Group	TMD, CSIR Headquarter	Bi-monthly (One theme per week)	R&D Activities and portfolio management
External Monitoring Committee	Respective Directorates in the Headquarter	NMITLI Projects (as per CCEA approved mechanisms/stage gate requirements) FBR, NCP and FIRST (Half yearly) Mission mode, FTT and FTC (as per the stage-gate requirement but maximum half-yearly interval)	

ENCLOSURE-7

COUNCIL OF SCIENTIFIC & INDUSTRIAL RESEARCH
(MISSION DIRECTORATE)
Anusandhan Bhawan, Rafi Marg,
New Delhi — 110001

No. 30/GB/2019-MD

February 28, 2020

OFFICE MEMORANDUM

Sub: CSIR Guidelines for Ethics in Research and in Governance

1. Governing Body (GB), CSIR in its 193rd meeting held on December 19, 2019 has approved '**CSIR Guidelines for Ethics in Research and in Governance**' drafted by Prof. D. Balasubramanian Committee appended herewith.
2. These guidelines shall be implemented pan CSIR including all CSIR Laboratories/Institutes, Units and CSIR HQs.
3. The guidelines shall also apply to Research Students (viz. JRF, SRF, RA, PhD Students, AcSIR Students in CSIR etc.) and to researchers availing of CSIR extramural grants, as well as to CSIR Fellows including the Distinguished and Bhatnagar Fellows.
4. GB, CSIR has empowered DG, CSIR for interpretation / operational changes / modifications / amendments / expansion of the Guidelines, if necessary, based on the experience gained and feedback received while implementing the guidelines.
5. These guidelines shall come into effect from the date of issue of this OM.

Sd/-
(Anoj Kumar Chadar)
Principal Scientist

Copy to:

1. Directors of all CSIR Laboratories/Institutes
2. Sr.CoA/CoA/AO of all CSIR Laboratories/Institutes
3. Heads of CSIR Units
4. Heads/In-charge of all Divisions/Directorates/Units of CSIR HQs/Complex/RAB /HRDG/HRDC/TKDL/IPU
5. Director, AcSIR
6. US to DG, CSIR
7. PS to JS (A), CSIR
8. PS to FA, CSIR
9. PA to CVO, CSIR
10. LA, CSIR
11. IT Division, CSIR for uploading the OM and Guidelines on CSIR Website
12. Office Copy

**CSIR Guidelines
for
Ethics in Research and in Governance**

1. Preamble

1.1 Need for these guidelines:

Maintaining ethics in research and governance is of paramount importance in organizations like CSIR. This calls for the development of appropriate guidelines in the practice of science, publication of scientific/technical/biomedical data and results, making them available in the public domain and, in the administration of scientific establishments at all levels.

Guidelines on responsible conduct in research institution have now been laid out by various agencies. These include Govt. of India Gazette notification by the University Grants Commission (1), the Policy document by ICMR (2), Draft National Policy on Academic Ethics by Office of PSA (3), a book on Ethics in Science- Education, Research and Governance by the Indian National Science Academy (4), The Ethics in Science by Resnick (5), The Australian Code for the Responsible Conduct of Research (6), the ICSU Strategic Review (7), Policy Report by the Inter Academy Council (8), Best Practice Guidelines on Publishing Ethics by Wiley (9), Policy statement by INSA on

Dissemination and Evaluation of Research Output (10), Recommendations by the ICMJE (11); COPE Guidelines for Good Publication Practice (12), Williams et al in JCI 2019 (13), Clinical Trial Guidelines by CDCSCO (14), Compendium of CPCSEA (15), Handbook on Sexual Harassment of Women (16), as well as a relevant compilation on the levels of misconduct and suggested advice on action (17).

Some of the root causes that tempt one for attempting short cuts for success in scientific pursuits, and in particular publications, are:

- a. Increased reliance on 'quantification' of the value of a publication/report, (and of the authors who produced them), e.g., impact factor, H index and related numbers which are used in various places for 'recognition' of an author for career advancement, awards and honours and the like;
- b. Overemphasis on the 'scientometric' reputation of the journal where the paper is published in contrast to an evaluation of what new science is published;
- c. Demand from institutions that a researcher must publish a minimum number of papers for obtaining PhD degrees, and promotions; and
- d. The resultant 'explosion', in recent years, of a number of fake and predatory journals.

- 1.2 Guidelines suggested by several agencies, authors and groups (Ref. 1-16) have provided a basis for the preparation of the guidelines for the CSIR institutions. It must be clarified that the value of any such guidelines will lie exclusively with the sincerity of their application. Thus, the guidelines enunciated below may not perhaps deal with every individual case that can or will arise, but it is expected that these will provide broad contours and trajectories within which appropriate decision making processes could proceed.
- 1.3 Beyond academic and publication guidelines, emphasis has been (and needs to be) given to honesty, scientific validity of the work being published, aspects of freedom to pursue new ideas and criticize old ones, apportioning due credit to others, mutual respect, conflict of interest, education and mentorship, social responsibility and the law.

2. What is scientific misconduct

Scientific misconduct is the violation of the codes of scholarly conduct and ethical behaviour in the publication of professional scientific research. These include all acts from the initiation of an idea, its experimental verification, accuracy of results, accurate reporting without resorting to any malpractice in the presentation of data/images, due acknowledgement of all sources of information and people. It is against this background that this document provides CSIR institutions and individuals working in them, an explicit list of acts that constitute scientific misconduct. These are given below. Scientific misconduct(s) can be of various types and can occur at various stages—from the initiation of the scientific study to publications and/or patent generation. While these involve violation of generally accepted research practices, inadvertent errors or genuine differences in interpretation or judgement in assessment of the results may not constitute scientific misconduct. Scientific misconduct may be categorized into the following:

2.1 Embezzlement of ideas:

Claiming an idea to be one's own while it was obtained from privileged access while reviewing manuscripts, grant proposals or through participation in lectures and personal discussions and earlier publications (but not citing them). This also includes acts wherein ideas of others are presented as one's own through slight changes of words, phrases and illustrations.

2.2 Plagiarism:

Using other's words, results, or published work without appropriate citation. This includes using one's own published work (self-plagiarism) without appropriate disclosure/citations.

2.3 Falsification:

Misrepresentation or suppression/ addition of a part of data to generate cherry-picked results or improper reporting of results in order to present a misleading outcome.

2.4 Fabrication:

Reporting 'results' of experiments which were never done. This also includes images/ photographs being morphed to reach a particular interpretation.

2.5 Fraud:

Deliberate suppression of previous work in publications and inappropriately claim originality and/or avoiding quoting previous publications which are contrary to present results.

2.6 Non-compliance of Regulatory Guidelines:

Deliberate violation of ethical guidelines accepted for human and animal research, non-adherence to bio-safety regulations or inappropriate use of research funds.

2.7 Inappropriate Authorship:

Excluding genuine contributors from authorship, including non-contributors, or claiming authorship for oneself without having made any meaningful contribution is inappropriate. In cases of publication of work carried out during a Ph.D. thesis, due care should be taken by the thesis Supervisor to ensure that the scientific contributions of a student are neither diluted nor exaggerated.

2.8 Withholding data from Validation:

Not providing data or research material to the institute/journal for verification/validation purpose.

2.9 Wrong versus Fraudulent paper:

It occasionally happens that a conclusion drawn in an earlier publication is negated, modified or shown where it went wrong- either by the same author or others. This is how science progresses. The earlier paper is thus not fraudulent.

3. Good Science Practices

3.1 Laboratory Records:

It is vital to keep proper records of each experiment, details of materials obtained from varied sources and how they were used, procedures, analysis and other related material. Graphs and printouts from instruments should be numbered and filed appropriately. If any software is used for handling and analysing the data, its name, version and other details should be recorded. The laboratory records of experiments carried out using a publicly funded institution should carry every single detail of the experiment. Such records are the property of the laboratory and are to be kept for archival and later retrieval purposes; a copy will of course be that of the researcher and can be used by anyone till after a defined moratorium period of 18 months. Due permission and acknowledgement of the researchers who carried out the experiments is essential at all times.

3.2 Consultancy work:

External consultation should be done with explicit permission from the Institutional Head where the scientist/technologist works. At the same time, permissions, if denied, should be justified and the reasons thereof be formally recorded. If the facilities of the institution are used, the details should be declared and recorded with due confidentiality in terms of the interest of the client. A clear statement on the resources to be used and finances that would accrue to the consultant and the institution should be recorded ab initio.

3.3 Collaborative studies:

The role played by each collaborator, and the benefit (both material and intellectual) which accrues to each collaborator should be decided ahead of time, should be accepted by each participant, and formally recorded. Given the uncertain nature of scientific research, the collaborators should be flexible in apportioning benefits in case there is a significant change in the actual contributions by participants as compared to those agreed to earlier.

The benefit that accrues to each of the researcher's institutions, if any, should also be agreed upon ahead of time. Patent rights of each collaborator (and of his/her institution, if any) should be decided and be recorded ahead of time. Institutions need to agree upon the operating procedures for such Memoranda of Understanding (MoUs) and for the exchange of materials and samples.

3.4 Authorship:

In a multi-authored paper, authorship should accurately reflect the contribution of each author and these be pointed out in the acknowledgment section of the manuscript. There should be no 'honorary' or 'ghost' authorship. Both, namely the offer of such authorship, or demand for the same, are scientific misconducts and unethical practice. Each publication must provide details on each author's contribution in the paper and the explicit consent of each author should be obtained. Acknowledgment should also be made about the funding source, and of any research material received as a goodwill gesture from other scientist

groups or institutions. Appendix-A provides some general guidelines for authorships.

3.5 Plagiarism:

As mentioned in 2.2, plagiarism involves using other's words, results or published work without appropriate citation. This includes using one's own published work without disclosure. An internal check by the authors using software must be done before a paper/report is submitted for publication or distribution. The authors should provide a statement to this effect in the acknowledgement section. With the soft-wares being available for such checks for inadvertent duplication, there should be no room for accidental plagiarism.

In the CSIR system, the Library/Knowledge Resource Centre/ Standing Publications, Ethics and Scientific Vigilance Committee or any other designated Division of each institution may be requested to provide such software, and to help with such checks for each manuscript rigorously.

3.6 Redundant /Salami Publications:

Resorting to 'Redundant' publications for artificial enhancement of the number of publications is also a serious act of misconduct. Also, the simultaneous submission of the same manuscript in multiple journals, in order to have one of them accepts it, is gross misconduct.

3.7 Safe laboratory practices:

It is obligatory that CSIR institutions train their staff for safe laboratory practices and provide sufficient budget for training programs to be conducted at regular intervals. Proper attire, use of gloves, proper ventilation, proper shoes, proper instruction and training in handling hazardous chemicals/gases/ radioactivity, and safety sheets for proper fire, electrical and other facility must be in place in all places of work. These should be checked regularly and a proper record be maintained.

Provisions for these and for training are the ethical and administrative responsibility of the management of the institution. The scientists and staff are also responsible in ensuring proper information and usage of facilities. Appropriate budgetary provisions in a separate budget head, should be created towards these, by the institution/CSIR.

A 'Laboratory Procedures and Safety Officer' should be appointed in each of CSIR centres/institutions with a defined responsibility. Periodic checks and repeated training of researchers through mandatory in-house courses or workshops should be held at least once a year and at the time of induction of new colleagues. Safe laboratory practices are listed in Ref 4.

3.8 Research on humans and human biological materials:

Stringent guidelines on the use of humans as experimental participants in clinical trials, and the use of human biological material in research, exist. The Union Health Ministry has provided guidelines on these, as well as on the exchange of human biological materials and these should be adhered to (Ref.2). Similarly, clinical trials (all phases) should be held as per the guidelines and with prior approval from the concerned agency group (Ref. 13).

On the use of human biological materials for experimental research, even in the laboratory and the clinic, one needs first 'informed consent' from the individual from whom the material is obtained, and based on this, approval from the human ethics committee of the institution. Details of these are found in the guidelines

published by the Indian Council of Medical Research (ICMR, Ref.2) and all in the CSIR system will need to follow these guidelines by ICMR, *sensu stricto*.

3.9 Use of animals in research:

The Ministry of Environment, Forests and Climate Change (MoEFCC), India has provided guidelines on the rules and regulations on the use of animals in research (Ref.14). Due and humane care should be taken of animals before, during and after the experiments. The animal houses should comply with the best possible standards of hygiene and upkeep, regular training program should be conducted, and regular interaction with animal welfare groups and scientists is recommended in order to ensure minimal distress. All in CSIR system will need to follow these guidelines of MoEFCC, *sensu stricto*.

4. Gender issues

National and institutional guidelines must be followed. The handbook on sexual harassment of concern at workplace, published by the Ministry of Women and Child Development (Ref.15) will be the guiding principles for all CSIR institutions. Each institute shall have a committee on various aspects of these issues, and this committee should meet on a periodic basis and proactively work towards programs to create awareness on such issues.

Gender equality should be the core value system of every academic individual and institution in CSIR and full, unbiased equal opportunity to women should be provided. A regularly conducted orientation program on gender sensitivity, awareness of the rights of workplace and its environments, should be carried out so that everyone, at all levels, is sensitized.

CSIR Institutions should endeavour to develop a system of accessible and affordable care services, lounge services to cater to special needs for women to provide them with a gender equitable environment. The option of working out of home in case of women with small children should be explored and approved on a case by case basis. Every CSIR institution should carry a gender audit and its report should be placed as open access. Novel steps and efforts to encourage women in their work places should be enumerated and listed.

As far as possible, it will be desirable to have women experts on each panel of selection and administration and the Institute Committee should examine all cases of gender related misconduct as an academic misconduct and within the provisions of existing laws. Gender harassment of men in any respect should also be treated at par with those for women.

5. Dealing with Misconduct

The suggested Standard Operating Procedure (SOP) for inquiry in any act of scientific misconduct is detailed in the Appendix-B and Table-1 which provides for the fair and transparent trial of an accused and safeguards the interest of whistle-blowers (Ref. 16; Section 13). An Institutional Committee on Ethics called the Standing Publications, Ethics and Scientific Vigilance Committee (SEC) involving people at different levels (scientific, administrative, technical, students, and with gender representation) should be established. The committee would be chaired by a Chief Scientist or higher with an Ethics Officer as member secretary. The SEC would be responsible for training staff members on all aspects of scientific ethics and looking into best lab practices and publications to be observed by the scientific community.

Scientific misconducts would be investigated by the Scientific Investigation Board (SIB) comprising scientific/technical personnel of appropriate expertise (with gender and SC/ST/OBC representation) and with at least one external expert to investigate the matter, fact finding and recommending the punitive action. The SIB would be set-up by Director of the laboratory, and DG, CSIR for the headquarters.

6. Types of reports and related documents covered under this umbrella

In addition to publications in professional journals, the recommendations highlighted in Section 3 above as “Good Science Practices” will apply for all research papers, academic theses for M. Phil, M. Tech, PhD, DSc, and other degrees, technical reports, grant applications as well as consultancy reports and certifications.

7. Intellectual Property

Any publication or a report that has the possibility of a consequential patent that could lead to a marketable application or product is defined as intellectual property. The authors who are involved in the publication/report should first ensure, before making it public, as to who did what and the share that accrues to each of them in the proceeds ahead of time. And when this ‘property’ is patented and licensed for commercialization, no dispute should then occur about the share of each in the property and its proceeds. Any share that accrues to the laboratory/institute where the discovery/invention was made (using its facilities) must also be agreed upon a priori and in writing.

Towards this, each academic institution/research laboratory is advised to have an inhouse intellectual property rights (IPR) expert, or have one as a consultant. The rules that apply in the institution must be adhered to by the authors and users of the patent. A handy and updated manual on IPR and technology transfer has been published by the Indian Council of Medical Research (Ref.2) and the CSIR laboratories and individuals are advised to refer to the same.

8. Ethics in Governance and Conflict of Interest (Col):

Governance is an integral part of any institution and involves several layers of activities ranging from appointments and periodic evaluations, allotment of funds, approval for training programs and deputation for various meetings related to the institution, allotment of staff and students, to name a few. All these require fairness in judgement in decision making, despite the fact there is often a considerable room for subjectivity. Institutional systems must be created such that the decision making process is fair and transparent, providing equal opportunity to all.

An important element in the decision making is the aspect of Conflict of Interest (Col), which has been addressed to in detail (Ref. 4-6). Col arises when an individual finds himself under multiple loyalties arising due to either of personal/professional relationships or due to extraneous financial considerations. These lead to a compromise on the interest of the CSIR system as these impact a person’s impartiality in the decision making process (be it a selection process for a new employee; promotion of a colleague; financial matter in respect of purchases; financial grants for research, or for selection of an award or a fellowship).

It is therefore essential that in every decision making process, all the members who are involved with decision making process, necessarily sign a Conflict of Interest Statement indicating that none of his/her relatives, students, collaborators, group members or institutional members is/are being considered in the proposed meeting for decision making. This procedure should apply to all committees relating to the work of CSIR, i.e., institutional issues and matters such as funding for research under its Extramural

Programs, various awards and prizes, and the like. Those conflicted may recuse themselves from the committee proceedings.

Conflicts of interest can also arise from competitions in research work when one favours his students/institutional colleagues in comparison to others with comparable merit. This may be, for an eventual quid pro quo from his colleagues. The same applies to grant process for sponsored research on behalf of National funding agencies. In all such meetings which lead to a decision of long term consequence, a conflict of interest form given in Appendix-C should be signed by each member and countersigned by the Chairman and kept as a part of the minutes.

9. Other Recommendations

- 9.1 Suggestions for action to reduce the stresses that lead to unethical conduct: an important aspect of reducing such cases is appropriate training and understanding of the issues involved. Thus, CSIR may evolve a system of regular workshops on various aspects, such as good laboratory practices, safety issues, publication and plagiarism, gender sensitivity, data analysis and statistical procedures and importantly training in communication.

To ensure that these courses occur at regular intervals, a dedicated Ethics Officer and Safety Officer can be appointed. He/she will be responsible to ensure that the training is imparted effectively and regularly including for those inducted afresh. These courses should carry credits in terms of career advancement. The Safety Officer will also ensure and report on non-compliance of safety norms. Deliberate incidences of misconduct in respect of safety and ethics, may attract a mention in the confidential file of the officer/employee concerned and may affect his assessment itself.

Performance parameters for career advancement must be focussed on the quality of work and not on number of publications, nor where the research work is published. Agencies across India (UGC, MHRD, DST, DBT, SERB, CSIR, ICMR and others) must agree on a common set of parameters which should be followed. CSIR may take a lead in reorienting its evaluation procedures to take cognizance of what is published and not where is published. INSA policy statement (10) may be used as a general guideline.
- 9.2 In doing so, predatory journals must be avoided. Periodic updates of the names of such journals are published (e.g., the Beall's List; <https://beallslist.weebly.com/>) and such others). As a simple rule, with the exception of some highly reputed journals published by scientific societies that charge publication fee to ensure open access, rapid publication through payment should be strictly avoided.
- 9.3 Prior to sending for publications, scientists should check for plagiarism using current software tools that should be made available by the institute. The library of the institute/ Knowledge Resource Centre / Standing Publications, Ethics and Scientific Vigilance Committee or any other designated Division of the Institute can provide this service as a part of their mandate.
- 9.4 Archival of all primary data including field records related to publication to be deposited with the institute's knowledge resource centre or any other designated Division of the Institute with appropriate security for intellectual property. Both soft and hard copies should to be kept. This will imply creation of a data archival system within CSIR systems with appropriate security. This will require resource allocation.
- 9.5 Due acknowledgement of the work at CSIR should be made.

9.6 Under safe laboratory practices, due attention must be given frequently on areas such as fire safety, use of hazardous chemicals, disposal of waste of various kinds (chemical, biological, material, radioactive) and related issues. Mock drills should be conducted from time to time in order to keep all in the institution prepared and ready. Intervals between such drills should be no more than 6 months.

10. Personal Ethics/introspection:

Much of CSIR work is based on public funds and hence should be used with abundant caution. More importantly, it should be the duty of each individual to personally evaluate if the work done by him/her would lead to any tangible benefit to CSIR or the country in terms of a definitive novel idea, product or a patent.

Most institution have a cell for outreach activities and it is a part of the duties of scientists working with public funding that they provide regular overviews of their work to the stakeholders in a clear to understand manner, without any attempt to overstate the achievement. It is essential that scientists use proper and measured language while presenting their work and mentioning the limitations of the work.

On a subtler nuance is the fact that many laboratories are well funded due to the system they belong to. These laboratories then procure large equipment and use these to work as material characterization centre and then demand their pound of flesh in the intellectual property, without any serious contribution. This is a gross unethical use of public funds, and should be discouraged. Every instrument bought with public funding should be treated as a public property and with reasonable caution on their misuse, should be made available to all, based only on the scientific merit of the analysis being done.

It is also ethical that precious public funds are used judiciously in the choice of a program. Only those programs that conform to the overall contours of CSIR's mandate be taken up. Please refer to Chapter 6 of Ref.3 for further elucidation.

11. EMR grants and CSIR grantees:

These guidelines shall also apply to researchers availing of CSIR extramural grants, as well as to CSIR Fellows including the Distinguished and Bhatnagar Fellows.

12. Grievance Redressal Mechanism: Appointment of Ombudsman

The scientific misconduct would be investigated by Scientific Investigation Board (SIB). The report of the SIB would be shared with the accused while implementing the punitive action. Any scientific/technical staff or a research worker, who is not satisfied with the recommendation of the SIB and the punishment/decision based on same by the competent authority can appeal, within 60 days, to Director General, CSIR for Grievance Redressal.

The appeal should be based on merits, clearly bringing out facts and with supporting evidences that were not taken into consideration by the SIB. DG, CSIR may, in turn, and based on the merits of the appeal, refer the matter to an Ombudsman of the concerned subject group for recommendation. The decision of DG, CSIR on recommendation of the Ombudsman shall be final and binding on all sides.

Any researcher or student who is being pressurised by his/her supervisor for unethical practices related to publications and laboratory practices may approach Standing Publications, Ethics and Scientific Vigilance Committee (SEC)/Ethics Officer.

An Ombudsman here is defined as an independent, impartial, free-service provider, who has not been associated with, or a beneficiary of the CSIR system ever. The Ombudsman would investigate complaints that have not been solved by the organization complained against. He/she would investigate complaints where something has been handled badly or unfairly, making someone suffer as a result. The

Committee suggests the appointment of one Ombudsman to each of the five major groups of CSIR institutions (groups of Physics, Chemistry, Biology, Engineering and Information sciences). Such an Ombudsman should be a non-CSIR person of proven scholarship, integrity and administrative experience. It is also suggested that all the Ombudsmans work in close synergy and as a group, for an overall coherence of application of rules, within the CSIR system. The Ombudsman may take the support of any technical expert, if so required.

The Ombudsman would be provided necessary support by Standing Publications, Ethics and Scientific Vigilance Committee (SEC) coordinated by Ethics Officer of the institute/CSIR Hqs. The Ombudsman will be paid honorarium, TA/DA and provided accommodation for holding the meetings.

13. Whistle Blowers and his/her identity and Protection

Whistle blowers are people who inform the authorities of some wrong doings. In an ideal case, any unsigned report from an unidentified source/person should not be acted upon. However, in the larger interest of CSIR, the DG may initiate an inquiry in cases where any anonymous complaint is accompanied by factual and verifiable data for a particular case. Fraudulent and inappropriate complaints made for reasons other than the larger interest of CSIR, will also attract a departmental enquiry, but this will also be in the scope of an approach Ombudsman. All such cases will be dealt with by the CSIR HQs and the protection of whistle blower will be ensured by it.

14. Acknowledgments

Committee thank Dr. Sudeep Kumar (Honorary Advisor to the DG), Sh. R. P. Singh (Chief Scientist & In-Charge, Mission Directorate) and Sh. Anoj Kumar Chadar (Principal Scientist, Mission Directorate, CSIR) for active participation and for appropriate advice and suggestions. And Committee thank Dr. S. Mande, DG, CSIR for his active interaction and advice.

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A.1 Authorship Guidelines

While it is clear that authorship accrues to all those who contribute to the study that being submitted as a research paper/book/monograph, often differences arise on the sequence of the authorships and credits therein. A few general guidelines are provided below, though there should be a room in these for a case- by- case adjustment. Normally the person who is responsible for ideation and conceptualization of experiments/ problems, creation of a work plan/ identification of potential collaborators and their role and the one who ensures the veracity of data becomes the Corresponding Author. The person who carries out most of the actual work in the laboratory or on the computational/calculation/formalism aspect normally becomes the first author. This person is also responsible for the first draft of the paper. Normally this would be a younger worker like a graduate student or a junior colleague.

Co-authorship accrues to all those who have made a reasonable scientific contribution to the work including generating new data/ developing algorithms or like. Co-authors are also expected to explicitly contribute to the science being presented and agree to the final results in a formal sense. Any change in the sequence of authorship, post-submission, should be done by informing the editor with clear reasons. Care should be taken to ensure that such actions are not required as they reflect somewhat poorly on the group and the institution.

In the case of reviews/report where consolidation/synthesis of information is generally presented, the sequence of the authorship should be discussed a priori. In such cases, the lead author is the one who takes the initiative of writing the first draft.

Authorship is a serious matter and be accepted with all responsibility that accrues with it. Thus, by agreeing to a co-authorship/authorship one implicitly assumes shared accountability for the scientific content, its accuracy vis-a-vis its being genuine, and other related aspects. This applies in all cases even when a fraudulent data/manipulated image was not sourced from one of the co-authors. Every co-author shares a role in any part of a fraudulence in the entire work chain, if detected at any time. A written consent of all authors to any report that is submitted for publication in some form is desirable, along with an explicit statement of who did what and contributed in which manner.

It is unethical to offer, expect or accept honorary or guest authorship based on some ones administrative/scientifically higher position. This is unethical.

Acknowledgement is another area that needs due care. Normally, in any study many people and all these should be acknowledged in a proper manner. These include, people, funding sources and the laboratory staff. Routine discharge of duties by staff need not be acknowledged, but those who contribute to science/experiments in a meaningful manner should not be ignored either.

B.1 Standing Publications, Ethics and Scientific Vigilance Committee (SEC):

Every CSIR lab as well as the HQ should have a Standing Publications, Ethics and Scientific Vigilance Committee (SEC) look into the best lab practices and publications to be observed by the scientific community. The committee would be chaired by a Chief Scientist (or one at a higher level) and comprise scientific and technical, administrative, and research fellows/students as members (with gender representation), with the Ethics Officer as the Member Secretary. The Committee in each lab would be constituted by its Director, while for the Hqs, it would be constituted by the DG. The Terms of Reference (TOR) of the committee would be as follows:

- i. The Committee shall regularly conduct seminars in Good Laboratory Practices and publications;
- ii. shall make mandatory implementation of communication numbers at the time of publications after obtaining approval from competent authority;
- iii. shall check Similarity index and Plagiarism of all publications;
- iv. shall ensure that the scientific audit of each publication is done;
- v. shall advice and guide the Director/DG, CSIR on all matters pertaining to misconduct in scientific practices and research ethics;
- vi. shall respond to any external parties (on behalf of CSIR) for compliance with ethical standards in respect of research projects undertaken by staff;
- vii. on an entirely voluntary basis, researchers may seek the inputs of this Committee for consultation on ethical aspects of their research;
- viii. shall work on any other matter as assigned by the Director / DG, CSIR

B.2 Standard Operating Procedure (SOP) for dealing with Scientific Misconduct

The following SOP is suggested for dealing with alleged cases of Scientific Misconduct:

- i. Complaint/information can be entertained from 'identified' individual. Anonymous complaints are not to be entertained.
- ii. The scientific misconduct is to be investigated by the Scientific Investigation Board (SIB).
- iii. Director (for individual laboratory) and/or DG-CSIR (for CSIR Hqs) will set up a Scientific Investigation Board (SIB) comprising scientific/technical personnel of appropriate expertise (with gender and SC/ST/OBC representation) and with at least one external expert to investigate the matter, fact finding and recommending the punitive action (taking input/response of the accused, if needed).
- iv. The SIB will do due diligence including interaction with the concerned scientific staff, examine the records and suggest the suitable punitive action commensurate with the offence done as per the Table-1 given below. Based on the above, SIB will submit the report to the Director and/or DG, CSIR as the case may be for consideration and appropriate action.

- v. In case of minor, moderate and major penalties (except those covered in section B.2.vi below), the same will be imposed on the accused directly by the Director for the laboratory and DG, CSIR for the Hqs.
- vi. The cases of major and severe transgressions involving penalties such as Deferred promotion/ Deferred increments/ Reduction to lower stage/ Compulsory retirement / Removal from Service, will be dealt as per the established administrative process (as per the rules and regulations adopted by the CSIR) by administration with the approval of the competent authority.
- vii. Appellate Authority for Grievance Redressal: The report of the SIB would be shared with the accused while implementing the punitive action. DG, CSIR will be the Appellate Authority for reviewing the punitive action recommended by SIB and implemented by the competent authority. The accused shall have the right to appeal, within 60, days against the recommendation of the SIB (and the punishment/ decision based on the same by competent authority), to the Director General, CSIR, for Grievance Redressal. The appeal should be based on merits, clearly bringing out facts and with supporting evidences which were not taken into consideration by SIB. DG, CSIR may in turn, based on the merits of appeal, refer the matter to an Ombudsman of concerned subject group for recommendation. The decision of DG, CSIR on the recommendation of the Ombudsman shall be final and binding on all sides.

B.3 Table-1: Levels of misconduct and suggested advice on action to be taken

Category	Characteristics	Examples	Action
I. Simple Error/ Minor Transgression	Non-deliberate, evidence of experiments having been performed via lab books or other records, with minimal or no change to primary scientific conclusions	<ul style="list-style-type: none"> • Plagiarism – materials and methods • Unmodified/Unmanipulated image duplication between figures or panels, where original data can be shown • Mistake in matters of credit/authorship where there is no clear misconduct 	<p>First: No action required other than correction of mistake /Counselling</p> <p>Second: Minor penalty such as warning for person(s) held responsible</p>
II. Moderate Transgression	<p>Very frequent instances of category I transgressions (>10).</p> <p>Deliberate, errors with changes to primary scientific conclusions, probable data fabrication</p>	<ul style="list-style-type: none"> • Plagiarism – main text • Modified image duplication between figures or panels or Instances of image duplication between publications, inability to provide original data • Deliberate denial of authorship or credit 	<p>Minor penalty commensurate with frequency and degree</p> <p>Removal from responsible position/ Ban supervision/ Ban submission of proposals/ Ban consultancy/ Defer increments /Deferred promotion / Take a credit course on Ethics.</p>
III. Major Transgression	<p>Frequent instances of category II transgressions</p> <p>Any instance of clear data fabrication,</p>	<ul style="list-style-type: none"> • Plagiarism – data or >50% of text • Clear image manipulation sufficient to change scientific interpretation • Instances of repeated image duplication between publications, with different labels • Deliberate usurping of credit, fake authorships 	<p>Penalty to responsible person(s) Take a credit course on Ethics/ Deferred promotion/ deferred increments/ reduction to lower stage/ compulsory retirement</p>

IV. Severe Transgression	Very frequent instance of category III transgressions	Major penalty commensurate with the severity of misconduct Compulsory retirement/ removal from service
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Conflict of Interest Statement

I hereby certify and undertake that none of my relatives, students, collaborators, group members or institutional members is/are being considered in the proposed meeting for decision making.

S.No.	Name, Designation and Institutional Affiliation of the Member	Signature	Remarks (viz. recused due to Conflict of Interest etc.)
1.			
2.			
So on...			

(Signature of Chairman of the Committee)

Name:

Designation:

Institutional Affiliation:

Date:

Place:

Note: Any member can 'recuse' oneself from the meeting because of a potential conflict of interest and same need to be recorded in remarks section.



घोषणापत्र
DECLARATION FORM

नैतिक सिद्धांतों और प्रथाओं पर वैज्ञानिक अनुसंधान और शासन में उपक्रम

Undertaking on Ethical Principles and Practices in Scientific Research and Governance

मैं, _____ घोषित करता हूं कि मैंने अनुसंधान और शासन में नैतिकता के लिए सीएसआईआर दिशा निर्देशों को पढ़ लिया है।

I, _____ declare to have read and understood the CSIR Guidelines for Ethics in Research and Governance.

मैं, अनुसंधान और शासन में नैतिकता के लिए सीएसआईआर दिशा निर्देशों तथा संगठनात्मक नियमों के अनुसूची, अपने वैज्ञानिक अनुसंधान और शासन से संबंधित कार्यों में अच्छे नैतिक सिद्धांतों और प्रथाओं के पालन करने का वचन देता हूं।

I undertake to adopt ethical principles and practices and abide by good ethical conduct across all my pursuits in scientific research and governance in accordance with the CSIR Guidelines for Ethics in Research and Governance, and Organization Rules.

दिनांक:

Date:

जगह:

Place:

(हस्ताक्षर)

Signature

नाम: _____

Name: _____

पता: _____

Address _____

ईमेल आईडी: _____

Email ID: _____

Innovation Management Directorate
नवाचार प्रबंधन निदेशालय
Council of Scientific and Industrial Research
वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
2, Rafi Marg, Anusandhan Bhawan, New Delhi - 110001
2, रफी मार्ग, अनुसंधान भवन, नई दिल्ली - 110001

कार्यालय ज्ञापन Office Memorandum

सं. No.1/CSIR-SEC/2021

08 दिसंबर, 2021

विषय: अनुसंधान और प्रशासन में नैतिकता के लिए सीएसआईआर दिशानिर्देश — हितों के टकराव सम्बंधित वक्तव्य में संशोधन सम्बंधित

CSIR Guidelines for Ethics in Research and Governance — Modification in the Conflict of Interest Statement - reg.

1. अनुसंधान और प्रशासन में नैतिकता के लिए सीएसआईआर दिशानिर्देश, 2019 को 'स्थायी प्रकाशन, नैतिकता और वैज्ञानिक सतर्कता समिति (एसईसी)' और वैज्ञानिक जांच बोर्ड (एसआईबी) जैसी समितियों के गठन के माध्यम से सीएसआईआर में लागू किया जा रहा है।
CSIR Guidelines for Ethics in Research and Governance, 2019 is being implemented across CSIR through the Ethics Officers, and Committees such as 'Standing Publications, Ethics and Scientific Vigilance Committee (SEC)' and Scientific Investigation Board (SIB).
2. प्रशासन में नैतिकता के पहलुओं पर संदर्भ विशेष रूप से उल्लेखनीय है। सामान्य प्रशासन के तहत कई गतिविधियां हैं जैसे नियुक्तियां और आवधिक मूल्यांकन, धन का आवंटन, प्रशिक्षण कार्यक्रम और प्रतिनियुक्ति, कर्मचारियों की नियुक्ति, परियोजना कर्मचारियों और छात्रों की नियुक्ति, अन्य शामिल हैं। प्रशासन में निर्णय लेने में पारदर्शिता और निष्पक्षता, व्यक्तिपरकता से संबंधित चुनौतियों पर काबू पाने की आवश्यकता होती है। यह सुनिश्चित करने के लिए कि निर्णय लेने की प्रक्रिया निष्पक्ष और पारदर्शी है एवं सभी को समान अवसर दिया जा रहा है, संभावित और कथित हितों के टकराव (सीओआई) से संबंधित पहलुओं का पता लगाया जाना जरूरी है। इस प्रकार दिशानिर्देशों में संदर्भित सीओआई का बयान सी एस आई आर और उसके प्रयोगशालाओं में चल रही सभी प्रशासनिक और तकनीकी गतिविधियों के लिए महत्वपूर्ण है।
Reference is drawn, particularly, to the aspects of Ethics in Governance. The activities under general governance are several and cover appointments and periodic evaluations, allotment of funds, training programs and deputations, placement of staff, engagement of project staff and students, among others. Governance entails transparency and fairness in decision making, overcoming challenges related to subjectivity. In order to ensure that decision making process is fair and transparent, thereby providing equal opportunity to all, aspects related to potential and perceived Conflict of interest (Col) is to be ascertained. The Col statement referred in the Guidelines thus is important for all administrative and technical activities being pursued at CSIR, including its constituents.
3. सही प्रशासन की भावना को ध्यान में रखते हुए तथा सीएसआईआर के प्रशासन में नैतिकता के उच्चतम मानक को बनाए रखने के लिए, महानिदेशक, सीएसआईआर ने हितों के टकराव के लिए घोषणा प्रारूपों को मंजूरी दी है। सक्षम प्राधिकारी का अनुमोदन इस प्रकार है:-

In order to facilitate keeping up the spirit of right governance and maintaining highest standard of Ethics in Governance across CSIR, DG CSIR has approved declaration formats for stating one's potential or perceived conflict of interest or otherwise. The approval of the Competent Authority is as follows:

4. नीचे उल्लिखित संगठनात्मक गतिविधियों के संचालन में उभरने वाली दो अलग-अलग स्थितियों में हितों का टकराव अभिन्न हो सकता है:
 - क. जहां, एक सदस्य, संभावित हितों के टकराव के साथ, उसे आंशिक रूप से या पूरी तरह से उक्त समिति की कार्यवाही में भाग लेने से मना कर सकता है; तथा
 - ख. वहीं, समिति का एक सदस्य जिसकी समिति में निरंतर भागीदारी आवश्यक है, लेकिन उसकी आधिकारिक कार्यात्मक भूमिका के कारण पहले उस व्यक्ति (व्यक्तियों) या संगठन (ओं) या दोनों के साथ व्यवहार किया जा सकता है, जो इस विषय में वर्तमान प्रतिभागी हैं। उक्त समिति का मामला ऐसी घटना में उक्त समिति की कार्यवाही में उक्त सदस्य की भागीदारी में हितों के टकराव की कथित स्थिति हो सकती है। उदाहरण: (i) एक परियोजना के प्रधान अन्वेषक या प्रमुख, परियोजना प्रबंधन और मूल्यांकन समूह, पीएचडी डिग्री के लिए परियोजना स्टाफ या स्नातक छात्रों के चयन के लिए एक समिति का एक अभिन्न अंग हैं; (ii) प्रमुख, व्यवसाय विकास प्रौद्योगिकी हस्तांतरण या किसी अन्य व्यावसायिक सौदे के नियमों और शर्तों का आकलन करने वाली समिति का एक अभिन्न अंग है, और जिसने उक्त कंपनी/ग्राहक के साथ पहले समान क्षमता या परियोजना अन्वेषक के रूप में कार्य किया है।

The Conflict of Interest may vary keeping in view two distinct situations that may emerge in conducting organizational activities that are mentioned below:

- a. Wherein, a member, with potential Conflict of Interest could recuse him/herself of participation in the proceedings of the said Committee, either partly or completely; and
- b. Wherein, a member of the Committee whose continued participation in a Committee is essential, but owing to his/her official functional role may have previously dealt with the person(s) or organization(s) or both, that are current participants in the subject matter of the said Committee. In such an event, there may be a perceived Conflict of Interest situation in the participation of the said member in the proceedings of the said Committee. Examples: (i) the Principal Investigator of a project or Head, Project Management & Evaluation Group, are an integral part of a Committee for selection of project staff or graduate students for PhD degree; (ii) Head, Business Development is an integral part of a Committee assessing terms and conditions of technology transfer or any other business deal, and who has dealt with the said Company/client earlier in the same capacity or as project investigator.

5. सीएसआईआर का मानना है कि उपरोक्त स्थितियों को संबोधित करने के लिए संबंधित समिति के सदस्यों से घोषणाओं के दो अलग-अलग प्रारूप होना महत्वपूर्ण होगा। आवश्यकताओं के आधार पर, सदस्य इस कार्यालय ज्ञापन के अनुलग्नक के रूप में दिए गए घोषणा पत्र के प्रारूप 1 (अनुलग्नक 1) या प्रारूप 2 (अनुबंध 2) पर हस्ताक्षर कर सकते हैं।
CSIR observes that it would be important to have two different formats of Declarations from the concerned Committee members to address the aforesaid situations. Based on the requirements, the members may sign either Format 1 (Annexure 1) or Format 2 (Annexure 2) of the Declaration Form as provided as Annexure to this Office Memorandum.

6. अपनी भागीदारी की प्रकृति के आधार पर, सीएसआईआर समितियों के सदस्य अपने सीओआई की घोषणा यदि हो, तो कर सकते हैं। मामले पर उचित विचार और सिफारिशों के लिए, संभावित या कथित सीओआई वाले सदस्यों के घोषणा प्रपत्र समिति के अध्यक्ष को और अध्यक्ष के मामले में सक्षम प्राधिकारी, सीएसआईआर मुख्यालय/ सीएसआईआर प्रयोगशालाओं को प्रस्तुत किए जा सकते हैं। अध्यक्ष या सक्षम प्राधिकारी का निर्णय इन मामलों में अंतिम और बाध्यकारी होगा।

Depending on the nature of their participation, members of CSIR Committees may declare their Col, if any and the Declaration forms of members with potential or perceived Col may be submitted to the Chairperson of the Committee, and in case of the Chairperson to the Competent Authority, CSIR Hqrs., or CSIR labs, for due consideration and recommendations on the matter. The decision of the Chairperson or Competent Authority, as the case may be, will be final and binding.

7. सीएसआईआर मुख्यालय (सभी प्रभाग/निदेशालय/इकाइयां) और सीएसआईआर प्रयोगशालाएं यह सुनिश्चित करें कि सभी समितियों के सदस्य अपनी उक्त समितियों की गतिविधियों में भाग लेने से पहले घोषणा पत्र पर हस्ताक्षर करें। इसके अलावा, प्रत्येक बैठक के लिए, सभी समितियों के संयोजक सदस्य, उन सदस्यों के नामों की सूची जो उक्त कार्यवाही से खुद को अधिकारीकृत या पूर्ण रूप से अलग करने का विकल्प चुनते हैं, उक्त समिति की कार्यवाही में संलग्न करें, जिसे समिति के अध्यक्ष द्वारा देखा और समर्थन किया जायेगा (अनुलग्नक 3 देखें)।

CSIR Hqrs (all Divisions/Directorates/Units) and CSIR laboratories may ensure that all members of all Committees sign the Declaration Form prior to taking part in the activities of their said Committees. Further, for every meeting, the conveners of all Committees may put together a list of members who opt to recuse themselves in part or full, from the said proceedings or are required to continue in the proceedings, which will be seen and endorsed by the Chairperson of the said Committee (see Annexure 3).

8. सीएसआईआर मुख्यालय/सीएसआईआर प्रयोगशालाएं हितों के टकराव की घोषणा के ब्यानों को गोपनीय/वर्गीकृत दस्तावेज की तरह सुरक्षित रखेंगी। सीएसआईआर मुख्यालय और सीएसआईआर प्रयोगशालाओं के संबंधित प्रभाग/ निदेशालय/ इकाइ इन प्रपत्रों की हस्ताक्षरित प्रतियां संबंधित समितियों की कार्यवाही के साथ फाइल करेंगी तथा सुरक्षित रखेंगी।

The CSIR Hqrs/CSIR laboratories shall maintain the Conflict of Interest declaration statements in a manner as confidential/classified documents are treated. The signed copies of these forms will be filed along with proceedings of the respective Committees and will be maintained by respective Divisions/Directorates/Units of CSIR Hqrs and CSIR laboratories.

Sd/-
(राजेंद्र प्रसाद सिंह)
मुख्य वैज्ञानिक और प्रमुख, आईएमडी

प्रतिलिपि Copy to:

1. सभी सदस्यों को; To all Members of SEC;
2. निजी सचिव, महानिदेशक, सीएसआईआर; संयुक्त सचिव (प्रशासन), सीएसआईआर, वित्तीय सलाहकार, सीएसआईआर; PS to DG, CSIR; JS (Admn), CSIR; FA, CSIR;
3. सीएसआईआर हैडकार्टर- सभी विभागों के प्रमुख; HODs of CSIR Headquarters;
4. सभी सीएसआईआर प्रयोगशालाओं/संस्थानों के निदेशक; Director of all CSIR Laboratories/Institutes;

5. प्रशासन नियंत्रक/प्रशासनिक अधिकारी, सीएसआईआर प्रयोगशालाएं; COA/AO of CSIR Laboratories;
6. केंद्रीय सतर्कता अधिकारी, सीएसआईआर; CVO, CSIR;
7. विधि सलाहकार, सीएसआईआर; LA, CSIR;
8. कार्यालय ज्ञापन अपलोड करने के लिए आईटी प्रभाग; IT Division for uploading the OM on CSIR website;
9. कार्यालय प्रति; Office Copy

हितों के टकराव पर घोषणा प्रपत्र (प्रारूप १)

मैं एतद्वारा प्रमाणित और वचन देता/देती हूं कि मेरे किसी भी रिश्तेदार, छात्र, सहयोगी, समूह के सदस्य या संस्थागत सदस्य, या ग्राहक, पूर्व या वर्तमान, पर निर्णय लेने के लिए प्रस्तावित बैठक में विचार नहीं किया जा रहा है।

इसके अलावा, मैं प्रमाणित करता/करती हूं कि मैं और मेरे परिवार के सदस्य, सहकर्मी, या व्यक्तिगत प्रकृति के संबंधों में अन्य लोग परियोजना, प्रौद्योगिकी हस्तांतरण, लाइसेंस, अनुसंधान, खरीद, या किसी अन्य मामले में शामिल नहीं हैं (कृपया निर्दिष्ट करें), जिनमें से मैं समिति का सदस्य हूं।

यदि बैठक के दौरान हितों का टकराव उत्पन्न होता है, तो मैं समिति के अध्यक्ष* को तुरंत सूचित करने और बैठक से आंशिक या पूर्ण रूप से खुद को अलग करने का वचन देता/देती हूं। इसे बैठक की कार्यवाही/मिनटों में दर्ज किया जाएगा।

*अध्यक्ष के मामले में, यह सक्षम प्राधिकारी होगा

हस्ताक्षर

नाम:

पद:

संस्थागत संबद्धता:

दिनांक:

स्थान :

Declaration Form on Conflict of Interest (Format 1)

I hereby certify and undertake that none of my relatives, students, collaborators, group members or institutional members, or client, former or current, is/are being considered in the proposed meeting for decision making.

Further, I certify that neither / nor my family members, colleagues, or others in relationships of personal nature are involved in the project, technology transfer, license, research, purchase, or any other matter (Please specify.....), of which I am a member of the Committee.

If a conflict of interest arises during the meeting, I commit to immediately notify the Committee's Chairperson* and recuse myself, either in part or full, from the meeting. The same shall be recorded in the proceedings/minutes of the meeting.

*In case of Chairperson, it would be the Competent Authority

Signature

Name:

Designation:

Institutional Affiliation:

Date:

Place:

हितों के टकराव पर घोषणा प्रपत्र (प्रारूप २)

मैं एतद्वारा यह घोषणा करता/करती हूं कि मेरे रिश्तेदारों, छात्रों, सहयोगियों, समूह के सदस्यों या संस्थागत सदस्यों, या ग्राहक, पूर्व या वर्तमान, पर निर्णय लेने के लिए प्रस्तावित बैठक में विचार किया जा रहा है।

और/या

मैं एतद्वारा यह घोषणा करता/करती हूं कि मैं और/या मेरे परिवार के सदस्य, सहकर्मी, या अन्य, पूर्व या वर्तमान, व्यक्तिगत प्रकृति के संबंधों में परियोजना, प्रौद्योगिकी हस्तांतरण, लाइसेंस, अनुसंधान, खरीद, या किसी अन्य मामले में शामिल हैं (कृपया निर्दिष्ट करें), जिनमें से मैं समिति का सदस्य हूं।

मैं एतद्वारा यह घोषणा करता/करती हूं कि के रूप में मेरी कार्यात्मक भूमिका के कारण, समिति की कार्यवाही में मेरी निरंतर भागीदारी आवश्यक है।

हालांकि, उपरोक्त संभावित/कथित हितों के टकराव की स्थिति के उचित संज्ञान में, मैं वचन देता/देती हूं और प्रमाणित करता/करती हूं कि मैं कार्यवाही में नैतिक रूप से कार्य करने के लिए प्रतिबद्ध हूं और यह सुनिश्चित करता/करती हूं कि मैं ऐसी स्थिति में अपनी राय सुरक्षित रखूंगा/रखूंगी और/या मेरी राय के कारण समिति के निर्णय में कोई बदलाव नहीं होगा।

मैं इस घोषणा के माध्यम से उक्त मामले पर समिति के अध्यक्ष* को सूचित करने के लिए भी प्रतिबद्ध हूं। इसे बैठक की कार्यवाही/मिनटों में दर्ज किया जाएगा।

ऐसी स्थिति में, मैं समिति की कार्यवाही में मेरी निरंतर भागीदारी पर अध्यक्ष के निर्णय का पालन करूंगा/करूंगी, ताकि यह सुनिश्चित किया जा सके कि संदर्भ के विषय पर समिति के निर्णय, बिना किसी व्यक्ति (व्यक्तियों) विशेष या संगठन(ओं) के लिए पूर्वाग्रह या अन्यथा के लिए नहीं, बल्कि पूरी तरह से योग्यता आधारित और पारदर्शी होंगे।

*अध्यक्ष के मामले में, यह सक्षम प्राधिकारी होगा

हस्ताक्षर

नाम:

पद:

संस्थागत संबद्धता:

दिनांक:

स्थान :

Declaration Form on Conflict of Interest (Format 2)

I hereby state that my relatives, students, collaborators, group members or institutional members, or client, former or current, is/are being considered in the proposed meeting for decision making.

And/Or

I hereby state that I and/or my family members, colleagues, or others, former or current, in relationships of personal nature are involved in the project, technology transfer, license, research, purchase, or any other matter (Please specify.....), of which I am a member of the Committee.

I hereby state that owing to my functional role as, my continued participation in the proceedings of the Committee is required.

However, in due cognizance of the aforesaid potential/perceived conflict of interest situation, I undertake and certify that I commit to act ethically in the proceedings and ensure that I shall reserve my opinion in such a situation and/or that my opinion would not alter the decision of the Committee.

I also commit to notify the Committee's Chairperson* on the aforesaid matter through this Declaration. The same shall be recorded in the proceedings/minutes of the meeting.

In such an event, I shall abide by the decision of the Chairperson on my continued participation in the proceedings of the Committee, so as to ensure that the Committee decisions on the subject matter of reference will be solely merit-based and transparent, with no room for bias or otherwise to any particular individual(s) or organization(s).

*In case of Chairperson, it would be the Competent Authority.

Signature:

Name:

Designation:

Institutional Affiliation:

Date:

Place:

हितों के टकराव सम्बंधित वक्तव्य --- समिति की कार्यवाही से अलग किए गए सदस्यों की सूची, या संभावित/कथित हितों के टकराव से संकेतित

(अनुसंधान और शासन में नैतिकता के लिए सीएसआईआर दिशानिर्देशों से अनुकूलित)

इस विषय पर समिति के निम्नलिखित सदस्य: (ओएम संख्या और तारीख का संदर्भ दें) ने समिति को सौंपे गए उत्तरदायित्व के मामलों पर संभावित/कथित हितों के टकराव के मुद्दों का संकेत दिया है, और

(i) खुद को आंशिक या पूर्ण रूप से कार्यवाही से अलग कर लिया है;

और/या

(ii) नैतिक रूप से कार्य करने के लिए हस्ताक्षरित घोषणा के साथ समिति की कार्यवाही का हिस्सा बने रहेंगे

सं.	नाम, पदनाम और की संस्थागत संबद्धता सदस्य	हस्ताक्षर	टिप्पणी (अर्थात्, आंशिक रूप से अलग होना, पूरी तरह से अलग होना, कथित सीओआई ने नोट किया और भाग लेने की अनुमति दी, आदि)
1.			
2.			

*अध्यक्ष के मामले में, यह सक्षम प्राधिकारी होगा

(समिति के अध्यक्ष के हस्ताक्षर)

नाम:

पद:

संस्थागत संबद्धता:

दिनांक:

स्थान:

Conflict of Interest Statement – List of Members recused from the Committee proceedings, or indicated with potential/perceived conflict of interest

(Adapted from the CSIR Guidelines for Ethics in Research and in Governance)

The following members of the Committee on the subject: (provide reference of the OM no and date) have indicated to have potential/perceived conflict of interest issues on the matters of responsibility assigned to the Committee, and

(i) have recused themselves in part or full from the proceedings;

And/Or

(ii) will continue to be part of the Committee proceedings, with a signed declaration to act ethically

S. No.	Name, Designation and Institutional Affiliation of the Member *	Signature	Remarks (viz., recused partly, recused fully, perceived Col noted and permitted to participate, etc.)
1.			
2.			
So on...			

*In case of Chairperson, it would be the Competent Authority

(Signature of Chairman of the Committee)

Name:

Designation:

Institutional Affiliation:

Date:

Place:

**FORMAT FOR PROJECT COMPLETION REPORT
(For FBR/NCP/FIRST/FTT/FTC/MMP/HCP)**

1. Title of the Project:
2. Category of the Project: FBR/NCP/FIRST/FTT/FTC/MMP/HCP (Tick any one)
3. Total approved cost of the project (Rs. in lakh):
4. Actual completion cost of the project (Rs. in lakh):
5. Nodal Laboratory:
6. Participating Laboratories:
7. Project Number:
8. Name of the Mission Director/Nodal Director:
9. Name of the Project Leader / Mission Coordinator (in case of MMP):
10. Name of the Principal Investigator (Provide for each Work Package in case of MMP):
11. Name of Team Members with designation (for each Work Package in case of MMP):
12. Date of commencement:
13. Planned date of completion:
14. Actual date of completion:
15. Duration of the project (Planned and actual):
16. Title of the Work Packages / Verticals (in case of MMP):
17. Objectives of the project (Provide w.r.t. each Work Package / Vertical in case of MMP):

18. Revised Objectives of the project, if any (with the approval of the competent authority)
19. Objectives not achieved along with justification for non-achievement:
20. Periodic review at Lab level (Director level/Task Force Level/RC/Lab Strategic Group):

S.No.	Date of review	Key Observations/Recommendations / Inputs offered	Action taken

(Copies of minutes may be placed at Annexure)

21. Periodic review at CSIR Hqrs level (Monitoring Committee/ External Review Committee):

S.No.	Date of review	Key Observations/Recommendations / Inputs offered	Action taken

(Copies of minutes may be placed at Annexure)

22. Significant Achievements

- A. Output (against the targeted deliverables):

Proposed	Achieved

- B. Outcome (against the targeted deliverables):

Proposed	Achieved

23. Detailed analysis of results indicating contributions made towards fulfilling identified gaps in knowledge and/or technology/ technology development and research outputs:

24. Major applications:

25. S&T benefits accrued:

- (i) Technology leads identified (for each lead provide separate documents as Annexure, if required)
- (ii) Technologies/ processes developed with details and good-quality photographs
- (iii) Technologies/ processes licensed with details

SNo.	Technology/ Process Name	Date of licensing/transfer	Firm/Agency Name	Licensing Fee earned	Royalty details, if any

- (iv) No of patents filed /granted/ licensed (Separately for India/ Abroad)
- (v) Total Number of Research Publications and Cumulative Impact Factor
- (vi) List of Research Publications

No.	Author/s	Title of Paper	Name of Journal	Vol	Page	Year	IF

- (vii) No. of Ph.D. produced
- (viii) No. of students trained
- (ix) Entrepreneurship Created
- (x) Contribution to Skill Development
- (xi) Additional Jobs created (for societal projects only) (Give details in Nos.)
- (xii) Additional Income Generated (for societal projects only) (Give details in Rs.)

26. Details of new facilities created

27. Details of external collaboration/ knowledge networking (national and international separately) established

28. Expected outcome (in coming 2-3 years) resulting from implementation of the project

29. Contribution towards Import substitution

30. Road map to utilize Human Resources and Infrastructure assets created

31. Reasons for delay/failure, if any, and steps envisaged for further programme

32. Future road map for implementation /deployment of the project outputs /activities
(Include details of funding models, stakeholder's participation, timelines etc.)

**Name & Signature
(PI)**

**Name & Signature
(Head, PME)**

**Signature
Director**

Note:

- (i) Provide a duly vetted and signed financial statement (by Director, PI and F&AO of the concerned Lab) indicating year-wise and total allocation and expenditure. In the case of multi-laboratory projects, the Director, PI and F&AO of the nodal lab may provide the duly vetted and signed financial statement.
- (ii) The PCR should be submitted with the approval of competent authority (Director) and must have signature of the concerned nodal PI on each page of PCR.

**FORMAT FOR PROJECT COMPLETION REPORT
(For Facility Creation Project)**

1. Title of the Project
2. Nodal Lab
3. Date of commencement (Date of CSIR HQ OM communicating approval of the project)
4. Total approved cost of the project (Rs. In Crore) (Please provide head wise details of Cost)
5. Total completion cost of the project (Rs in Crore) (Please provide head wise details of Cost)
6. Financial statement of approved/ allocated funds and expenditure (year wise & total)
(Please enclose copy of financial statement duly signed by Director, Head PME, CoFA, and PI)
7. Lab Director
8. Principal Investigator (PI) & Co-PI
9. Participating Laboratories, If any
10. Project duration as per DPR
11. Actual date of Completion
12. Objectives as stated in the project proposal/DPR
13. Achievements against the objectives (Please enclose photograph of the Facility)
14. Periodic review carried out on the project

(Please enclose copies of minutes of all project reviews carried out at different levels (Task Force Level, Research Council, Lab Strategic Group, SEEMC-FCP of CSIR HQ) (Photographs and videos of the facilities during different stages of completion must be enclosed)

S.No.	Date on which Task force/ Research Council/ Lab Strategic Group/ SEEMC-FCP of CSIR HQ meeting held	Salient observations/ decisions

(Copy of minutes may be enclosed)

15. Road map for utilization of the facility post implementation of the project

16. Real time Web link for maintaining the user's list with date and time

**Name & Signature
(PI)**

**Name & Signature
(Head, PME)**

The above Facility Creation Project has been successfully implemented and has met the objectives of this project. The project completion report has also been placed in the Research Council Meeting held on {date} and the Research Council has noted and approved the same. The minutes of the Research Council Meeting held on (date) is enclosed with this document.

**Signature
Director**

**FORMAT FOR PROJECT COMPLETION REPORT
(For IST Projects)**

Name of the Program (under which Project was executed):

Category of the Program (Unilateral / Bilateral / Multilateral):

Name(s) of the CSIR Lab(s) :

Name(s) of the Foreign Partner Institution(s) (with country):

Title of the project :

Unique Project Code :

Objectives :

Revised Objectives, if any :

Objectives not achieved along with justification for non-achievement:

Total approved cost of the project (Rs. in lakh):

Actual completion cost of the project (Rs. in lakh):

Planned Project Duration : Date of Start Date of Completion

Actual Project Duration : Date of Start Date of Completion

Project PIs : Indian Foreign

(Indian & Foreign with full address, phone and email)

Project Co-PIs : Indian Foreign

(Indian & Foreign with full address, phone and email)

Indian/Foreign industry partner (if any): Indian Foreign

Financial inputs from Indian & : Indian Funding Foreign Funding
Foreign agency/industry, if any

(Indicate name of agency, amount of
Funding received in kind and in cash)

Exchange Visits Undertaken : India to Abroad Abroad to India

Periodic review (SEC Level/Director level/RC/Lab Strategic Group):

S.No.	Date of review	Key Observations/Recommendations / Inputs offered	Action taken

(Copies of minutes may be placed at Annexure)

Significant Achievements :

A. Output (against the targeted deliverables):

Proposed	Achieved

B. Outcome (against the targeted deliverables):

Proposed	Achieved

Detailed analysis of results indicating contributions made towards fulfilling identified gaps in knowledge and/or technology/ technology development and research outputs:

Major applications:

S&T benefits accrued:

- (i) Technology leads identified (for each lead provide separate documents as Annexure, if required)
- (ii) Technologies/ processes developed with details and good-quality photographs
- (iii) Technologies/ processes licensed with details

SNo.	Technology/ Process Name	Date of licensing/transfer	Firm/Agency Name	Licensing Fee earned	Royalty details, if any

- (iv) No of patents filed /granted/ licensed (Separately for India/ Abroad)
- (v) Total Number of Research Publications and Cumulative Impact Factor
- (vi) List of Research Publications

No.	Author/s	Title of Paper	Name of Journal	Vol	Page	Year	IF

- (vii) No. of Ph.D. produced
- (viii) No. of students trained
- (ix) Entrepreneurship Created
- (x) Contribution to Skill Development

Details of new facilities created:

Details of extended collaboration/ knowledge networking established:

Expected outcome (in coming 2-3 years) resulting from implementation of the project:

Contribution towards Import substitution:

Any other Accomplishments :

(additional jobs created/ additional income generated, etc.)

Road map to utilize Human Resources and Infrastructure assets created:

Reasons for delay/failure, if any, and steps envisaged for further programme:

Future roadmap for implementation /deployment of the project outputs /activities
(Include details of funding models, stakeholder's participation, timelines etc.)

Utilization of Research Results :

Assessment of Cooperation :

Any other :

Signature of Indian PI with date

Signature of Head, PME with date Signature of Head, ISTAG with date

Signature of Director with date & seal

Note:

- (i) Provide a duly vetted and signed financial statement (by Director, PI and F&AO of the concerned Lab) indicating year-wise and total allocation and expenditure. In the case of multi-laboratory projects, the Director, PI and F&AO of the nodal lab may provide the duly vetted and signed financial statement.
- (ii) The PCR should be submitted with the approval of competent authority (Director) and must have signature of the concerned nodal PI on each page of PCR.

ENCLOSURE-9

**COUNCIL OF SCIENTIFIC & INDUSTRIAL RESEARCH
ANUSANDHAN BHAVAN, RAFI MARG, NEW DELHI-110004**

No. 1(11) Acctt/2000-2001

Dated 4th September, 2000

To,

Heads of all National Laboratories / institutes.

Subject: Laboratory Reserve Fund scheme - Review

The proposal to create a Laboratory Reserve Fund (LRF) Scheme with facility to create, utilize, retain and carry forward it for capital and revenue expenditure, to supplement the budgetary resources, was approved by CSIR Governing Body (GB) in 1992. The scheme had the concurrence of CAG of India. Subsequently, some more receipts were allowed to be credited to LRF. These subsequent changes were ratified by the CSIR GB in its 147th meeting held on 9.12.1999. In this meeting, the Governing Body, CSIR also approved setting up of Headquarter Reserve Fund (HRF) re-designating the existing title of the 'Laboratory Reserve Fund Scheme' to 'Laboratory and Headquarters Reserve Fund Scheme which was notified vide O.M. of even No. dated 17th May, 2000.

In the meantime Audit had issued a draft review on the generation and utilization of the Laboratory Reserve Fund.

Taking cognizance of the draft audit review, the Director-General, CSIR appointed a high level committee to study the LRF in its entirety and to suggest the system of checks and balances further needed to ensure its utilization in the intended direction. The Committee submitted its Report, which was accepted by the Director General and also placed before the Governing Body in its 148th meeting held on 2nd June, 2000.

Accordingly, the procedure for generation and utilization of 'Laboratory/Headquarter Reserve Fund' will henceforth be as mentioned below:

1. Title of the Scheme

'The title of the scheme will be "**Laboratory & Headquarter Reserve Fund**" (LHRF) in place of "Laboratory Reserve Fund" (LRF).

2. Generation of LHRF

2.1. The following receipts will continue to be credited to LHRF:

- a) Royalty & Premia (from licensing of IPR)
- b) Consultancy Fee
- c) Sponsored Project fee
- d) Overhead Charges
- e) Non refundable balance of closed project /job work.
- f) Job work charges
- g) Testing and analytical charges
- h) Computer charges
- i) Other Technical Services
- j) Use of Lab. infrastructure for sponsored/consultancy & other projects
- k) Interest on investments of Laboratory reserve
- l) Interest on investment of sponsored/consultancy project funds
- m) Net earnings from Major facilities
 - i. Pilot Plant - Excess of receipt over expenditure
 - ii. C-MMACS - Excess of receipt over expenditure
 - iii. NTAF - Excess of receipt over expenditure

NB: The following receipts, however, will not be included in LHRF:

- (a) Amount of Interest earned on investment of sponsored/consultancy/Grant-in-aid projects fund adjustable and/or refundable to the funding agency.
- (b) Distributable portion of Royalty & Premia.
- (c) Distributable portion of Consultancy/Contract R&D and intellectual fees from Technical Services.

Headquarters Reserve will include the following components in addition to the receipts vide para'2.1 above:-

- i. 1% of annual foreign business earnings generated by all laboratories.
- ii. 1% of annual intellectual property and technology licensing fees received by all laboratories.
- iii. 1% of laboratory reserve generated during the previous year by the laboratories, assisted by the HQ. to move on the path of self-sufficiency (at present HP & ICT).
- iv. 1% of laboratory reserve generated by laboratories, assisted by the HQs. to acquire ISO 9000 (at present NML & CMERI)

3. Budgeting of LHRF

- a) Each laboratory shall at the lime of formulation of its annual budgetary requirements (Estimates) indicate the following in respect of LHRF:
 - Balance at the beginning of the financial year.
 - Anticipated generation during the financial year.
 - Proposed utilisation under each budget sub-head.
- b) The proposal made at the Budget Estimate stage should be reviewed and proposed utilization revised, if necessary, at the Revised Estimate stage.

- b) CSIR would include the estimated utilisation of LHRF alongwith other internal receipts, when projecting budgetary requirement. to Ministry of Finance.
- c) LHRF will continue to remain with the laboratory that generates it.

4. Utilisation of LHRF

4.1. Utilisation of LHRF is permitted for all revenue and capital expenditure as for budgetary grant, The broad sub-heads are as follows:

- Revenue Heads
 - (a) Pay & Allowances
 - (b) Traveling Allowances
 - (c) Contingencies
 - (d) Maintenance
 - (e) Chemicals & consumables
- Capital Heads
 - (a) Land
 - (b) Works
 - (c) Services
 - (d) Apparatus & Equipment
 - (e) Office Equipment
 - (f) Furniture
 - (g) Computer Equipment
 - (h) Library Books
 - (i) Vehicles & Transport
 - (j) Workshop Machinery
 - (k) Models & Exhibits
 - (l) Tools & Plants

4.2 Expenditure on the following items is also permitted in addition to the heads mentioned in para 4.1.

- Re-payment of World Bank Loan and service charges
- Interest earned & claimed by funding agency {reference item no (L) of para 2.1}.
- Liabilities and damages arising out of contract R&D, consultancy, technical services or IPR licensing
- Payment of share of intellectual fees/honorarium (only in respect of past cases where credit was. afforded to LRF)
- Transfer to Headquarter Reserve Fund
- Human Resource Development
- Computerisation and information systems
- Modernisation of equipment
- Construction & Maintenance of Scientists Apartments/Staff Quarters.

4.3 The expenditure on activities/items/purposes indicated below will not be permissible from LHRF: -

- Financial assistance to any NGO and/or private body.
- Gifts & mementos
- Celebration of non-S&T events/days.

- Mobile phone bills (as per standing instructions)
- OTA/Honorarium/Night duty Allowance other than for R&D work
- Foreign Travel except for business development
- LTC & Transfer TA
- Advertisement except when related to R&D and business development
- Staff/Welfare Club activities
- Hotel/Guest house charges except for S&T and businesses development.

5. Norms & Procedure:

- (a) All norms procedures, rules, regulations and instructions applicable for incurring expenditure from Govt. Grant will equally apply to expenditure from LHRF and should be strictly followed
- (b) Each Laboratory & CSIR Headquarters should endeavors to utilize a substantial part of the LHRF generated in the previous year to supplement the budgetary resources. Normally the LHRF utilization in a year should not be less than one third of the amount generated in the previous year.
- (c) In order to facilitate proper planning and efficient cash management temporary booking of expenditure on all permissible activities and purposes may be allowed from LHRF subject to adjustment on receipt of budget allocation,
- (d) Director in the National Laboratory & Director General in CSIR Headquarters will have the power to sanction expenditure from LHRF within the delegated powers.

6. Accounting procedure

Accounting Procedure as per CSIR's IMPACT Manual will continue to operate with following modifications under receipt heads: -

C-Code	Heads of Receipts
RO7104	a) Royalty & Premia ((rom licensing of IPR)}
RO7102	b) Consultancy Fee
RO7103	c) Sponsored Project fee
RO7104	d) Overhead Charges
RO7105	e) Non-refundable balance of closed project job work
RO7108	f) Job work charges
RO7107	g) Testing and analytical charges
RO7108	h) Computer charges
RO7109	i) Other Technical Services
RO7110	j) Use of Lab, infrastructure for sponsored/ consultancy projects
RO7114	k) Interest on investments of Laboratory reserve
RO7112	l) Interest on investment of sponsored/consultancy and other project funds
RO7113	m) Net earnings from Major facilities
RO711301	i. Pilot Plant - Excess of receipt over expenditure
RO711302	ii. C-MMACS - Excess of receipt over expenditure
RO711303	iii. NTAF - Excess of receipt over expenditure
<hr/>	
	Sub Total
<hr/>	
RO7144	n) Transfer from LRF to Headquarters Reserve
RO711401	i. 1% of annual foreign business earnings generated by laboratory
RO711402	ii. 1% of annual intellectual property and technology licensing fees received by laboratory
RO711403	iii. 1% of laboratory reserve generated during the previous year (presently by IICT, NML, IIP & CMERI)

While remitting the CSIR's share of reserve, the Laboratory will debit by minus credit to concerned C_Code from RO711401 to RO711403 using Cash Code P99106. While forwarding the cheque/ demand draft, the Laboratory will Indicate C_Code(s) under which the amount has been debited so that CSIR Headquarters may afford credit to the same C_Code{s). In the consolidated CSIR account, prepared after merging the accounts of all laboratories & CSIR Hqrs. no figure should appear under these heads. The transfer will be effected from the financial year 2000-04 based on the generation of LRF in 1999-2000.

Sd/-
(Pravin Tripathi)
Financial Adviser

1. Sr. FAO/FAO of all National Laboratories
2. At HQs for:
 - (a) Joint Secy. (Admn.) CSIR
 - (b) Head, RPBD/STKD/ISTAD/HRDG/IPMD/ computer Div. /USC/USD
 - (c) All PTCs
 - (d) Dy. FA (Finance & Report), CSIR
 - (e) Sr. FAO (Audit) CSIR
 - (f) Sr. FAO (Budget) CSIR
 - (g) FAO (Cash), CSIR
 - (h) FAO (Accounts) CSIR
 - (i) Shri A. Wahid, Head, IMPACT Software Team

ENCLOSURE-9a

COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH Anusandhan Bhawan, 2, Rafi Marg, New Delhi-110001

No.13/64/2004-RDPD

October 01, 2004

OFFICE MEMORANDUM

Sub: Enhancing the percentage of charges from Laboratory Reserve Fund w.e.f. 2003-2004 for building Hqtrs. Reserve Fund.

The Headquarter Reserve Fund had been established with the approval of the Governing Body comprising inter-alia the following components:

- i. 1% of foreign business earnings generated by all laboratories;
- ii. 1% of Intellectual Property and Technology Licensing Fees received by all laboratories;
- iii. 1% of net earnings (Lab. Reserve) of the three laboratories (then) assisted to move on the path of self sufficiency (IIP, IICT and CGCRI);
- iv. 1% of surplus generated by Labs (then) assisted to acquire ISO 9000 & GLP Certification.

A need has been felt that the Headquarter Reserve Fund thus generated is not sufficient to cope with the Increasing demand of resources at CSIR Headquarter.

In order to enhance the Hqtrs. Reserve Fund, to meet shortfall to a limited extent on various desired activities, a proposal was placed before the Governing Body to enhance the percentage of charges towards Hqtrs. Reserve Fund from existing 1% of some specified components of LRF to 5% for whole amount on LRF generated by the laboratory during the year.

The Governing Body of CSIR, in its 162nd meeting, held on 26th July 2004, has accorded approval to:

"Enhancing the percentage of charges from existing 1% for some specified components to 5% for whole amount of LRF generated by the lab. towards HRF to be effective from the year 2003-04"

The necessary amendment in the existing accounting guidelines will be issued separately by Finance Division, CSIR

Sd/-
(O.P. Agarwal)
Head - RDPD

To

Air Directors of the Labs/Institutes
FA, CSIR
JS (Admn), CSIR
DS & PPS to DG, CSIR
Committee Section
Office Copy

ENCLOSURE-9b

वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
Council of Scientific and Industrial Research
अनुसंधान परियोजना योजना एवं व्यवसाय विकास निदेशालय
Research Project Planning & Business Development Directorate
2, रफी मार्ग, नई दिल्ली-110001
2, Rafi Marg, New Delhi-110001

No.13/54/LRF/2018-RPPBDD

December 18, 2019

Office Memorandum

Sub: Amendment to guidelines issued vide earlier OM with regard to utilization of LRF/ LHRF

Ref. Laboratory Reserve Fund Scheme vide OM No 1 (11)/Accounts/ 2000-2001; dated. 4th September 2000 and OM No. 13/54/2004-RDPD; dated October, 1, 2004

1. The Governing Body of CSIR in its 191 meeting held on April 26, 2019 recommended additional activities for support under Lab Reserve Fund/ Laboratory & Headquarter Reserve Fund (LRF/ LHRF). The inclusion of additional activities was vetted by the Ministry of Finance vide letter No. 9(7)/E.Cood-2016 dated July 17, 2019.
2. A Committee was constituted by DG, CSIR vide OM of even number dates August 21, 2019 to develop Guidelines/ SOPs for utilization of LRF/ LHRF.
3. The Committee proposed the amendments to earlier Guidelines (Para#4.1, 4.2 & 4.3) for additional activities approved for utilization of LRF/ LHRF by CSIR Laboratories as below:
 - a) **Additional activities included for support under LRF/ LHRF**

S.No.	Name of Activities
i.	Demonstration or deployment of a CSIR technology/ product in project mode
ii.	Construction of building to support R&D activities
iii.	Preparation of specialized reports through professional Consulting Organization/ Agencies
iv.	Training of Scientists and Technical officers in India and abroad
v.	Scientist and Technical officers for attending International Conferences, Seminar, etc.
vi.	Manpower charges in project mode
vii.	Hiring of Scientists! Technologists in outsourcing mode for addressing the gaps in translational research, technology marketing and deployment

b) Guidelines & Procedure:

- i. Use of LRF/ LHRF funds will be as per applicable existing guidelines of Govt. of India (GoI) and CSIR for that purpose, such as those for procurement of equipment, consumables, manpower, consultancy, works & services;
- ii. To ensure compliance with annual expenditure limits on the additional activities and their purposes, monitoring mechanism at CSIR HQ will be through a Committee consisting of Head RPPBDD, Head MD, Head ISTAD, FA CSIR/hominee, chaired by DG CSIR/hominee. The committee will also determine competitive funds release from HRF, monitor outputs from such funds, and maintain overall tracking of expenditure subject to annual limits via a dedicated portal;
- iii) LRF utilization for activities indicated in para#3 a) will be determined at the lab level and reported to the monitoring portal for compliance. Where annual expenditure limits are in place for CSIR, a lab-level budget ceiling is fixed at either 2%, 3% or 4% of the total limit based on Group IV strength of less than 100, 100-200, and more than 200. For expenditure beyond this limit, laboratories would seek permission from the committee, which would be granted based on reasonability/benefit of proposal and the availability of funds within the cap;
- iv) Authorization mechanisms from CSIR HQ would be applicable for lab expenditure beyond the ceiling from LRF (para#3 b.iii), or from HLRF/CIF, DG/CSIR would be the competent authority. Laboratory Directors would be delegated decision-making power for use of LR up to the ceiling limits provided, subject to consolidated quarterly reporting and case by case uploading to portal;
- v) Carryover to the subsequent year may be permitted at CSIR level, but not lab level, for any unutilized amount subject to caps;
- vi) Delegation of power will be as per applicable guidelines. Relevant CSIR/GoI guidelines will be followed as in para#3 b.i;
- vii) The time span of 3-6 months for bridging period between the projects for manpower charges should be strictly adhered to. All the expenditure on manpower charges during bridging period should be in project mode only;
- viii) Guidelines issued by International S&T Affairs Directorate to be followed for foreign visits;
- ix) All expenditures to be incurred as per CSIR Financial Rules;
- x) Permitted Budget heads for expenditure under the aforesaid activities will be as per guidelines issued vide above referred OMs.

Sd/-
(Sandeep Kumar Tiwari)
Sr. Principal Scientist

1. All laboratories for:

- a) Directors
- b) COA/AO
- c) Sr. F&AO
- d) Secretary RC & MC

2. At HQs, for:

- a) JS(Admn.)
- b) FA, CSIR
- c) Head, RPPBDD/
MD/ISTAD/IPD/OSD/IT/HRDG/HRDC
- d) DS to DG, CSIR

COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH
Anusandhan Bhavan, Rafi Marg , New Delhi - 110001

Dated: 17th January, 2020

From

Office of Head, ISTAD
No.22/ISTAD/MISC/2018

To

The Directors of all National Laboratories/Institutes of CSIR
Subject: - Foreign visits from LRF/LHRF -req.

Sir/Madam,

I am directed to invite your kind attention to Para 3(a)(iv) and Para 3(a)(v) of CSIR OM No. 13/54/LRF/2018-RPPBDD dated 18th December, 2019 (copy enclosed) and to inform that all foreign visits where expenditure is proposed to be met from LRF/LHRF may be processed under the existing CSIR Foreign Deputation Guidelines, 1996 and as per ceiling laid down under Para 3(b)(iii) of the aforesaid OM dated 18/12/2019.

The information related to LRF/LHRF may be obtained in the enclosed proforma for consideration by the relevant Peer Review Committee (PRC) and the approving authority. Further, information on LRF shall also be provided in the enclosed proforma by the concerned CSIR lab for all such proposals forwarded to CSIR Hqrs. for consideration and approval.

The enclosed proforma is an additional document to the existing standard proforma(s), where foreign visits are proposed from LRF/LHRF.

Encl. As above

Yours faithfully

Sd/-
(Bhawna Guglani)
Under Secretary

Copy to:-

1. DS to DG, CSIR
2. Office of JS (A), CSIR
3. PA to FA, CSIR.
4. PA to CVO, CSIR
5. PA to LA, CSIR
6. Heads of all the Divisions of CSIR-Hqrs/Complex/ESD/RAB/HRDG/ IPMD/HRDC/Science Centre/URDIP
7. Head, IT with the request to upload on CSIR website.
8. Office copy.

Proforma for Meeting Expenditure on Foreign Visits from LRF/LHRF
under Para 3(a)(iv) and Para 3(a)(v) of CSIR OM No. 13/54/LRF/2018-RPPBDD dated
18/12/2019

Name of the CSIR Laboratory/Institute: Name of Officer Visiting Abroad:

Country to be visited:

Duration of Visit:

Purpose of Visit:

Financial Year:

LRF/LHRF Details						
S.No.	Strength of Gr. IV staff	Funds available under LRF/LHRF (A)	Expenditure to be incurred from LRF/LHRF for the above visit (B)	Balance of funds under LRF/LHRF (A+B)	Budget ceiling of the lab (2% or 3% or 4%)	Are proposed expenses within annual expenditure limits of the lab

Signature and Stamp of COFA/Dy.FA/FAO

Approval of Director of CSIR Laboratory/ DG, CSIR for meeting expenses for above foreign visit from LRF/LHRF.

Signature and Stamp of Director of CSIR Laboratory/ DG, CSIR

PROJECT PROPOSAL FORMAT

For CSIR-FIRST Project

1. **Title of the project**
2. **Abstract (max 300 words)**
3. **Introduction (max 1000 words)**
4. **Global Scenario (max 400 words):**
5. **Hypothesis/Questions addressed (100 words):**
6. **Objectives/aims (bullet points):**
7. **Research Design & Methodology for each objective with time line:**
8. **Strength and weaknesses of the study:**
9. **Uniqueness and Significance and Anticipated outcomes:**
10. **Any societal impact:**
11. **Budget (in lakhs) with justification:**

Heads	1 st Financial Year	2 nd Financial Year	Total
[A] Capital			
Apparatus & Equipment			
Total [A]			
[B] Recurring			
T.A.-India			
Chemicals, Consumables			
ORE and Tech HR			
Maintenance			
Contingency			
Total [B]			
Grand Total [A+B]			

PROJECT PROPOSAL FORMAT

For NCP & FBR Projects

PART-A: EXECUTIVE SUMMARY

Full Title of Proposal (With Acronym)	
Category of Project	
Theme (With Subtheme)	
Nodal Laboratory	
Participating Laboratory(ies)	
Contact Details <ul style="list-style-type: none">• Principal Investigator (PI)• Co-PI	
Total Cost (Rs in crores)	
Project Duration (in months)	
Defining the Problem (100 words max):	
Abstract of Project (300 words max.)	
Key words (6 max.):	
Current TRL	Targeted TRL:
Outcomes Envisaged (150 words max.)	

PART-B: PROPOSAL DETAILS

1. Scientific and Technical Summary

1.1. Concept, Relevance and Objectives

1.1.1. Concept:

1.1.2. Scientific Relevance (Why the project needs to be done):

1.1.2.1 The Problem Addressed:

1.1.2.2 Current general science/technology level:

1.1.2.3 Advantage of the proposed work:

1.1.2.4 Science/Technology Gap (White space):

1.1.2.5 Value Addition proposed:

1.1.3 Objectives (What the project envisages to achieve)

1.1.4 Novelty of the proposed project work

1.2 Envisaged Delivery (in brief, 100 words max.):

1.2.2 Scientific Knowledge Creation

1.2.3 Technology Development

1.2.4 Process/Product Development

1.3 Competitive Landscape and Benchmarking

1.3.2 International State of Art (including competition)

1.3.3 National State of Art (including competition):

1.3.4 IPR Mapping: The technologies, processes and products generated are novel and IP will be protected through filing suitable applications.

1.3.5 Existing Knowledge Gaps and Scope of Innovation

1.4 Project strategy:

2. Detailed Work Plan Proposed

2.1 Verticals and Work Packages List

Vertical	Work package	Lead Participant	Participants

2.2 Vertical/Work Package Details:

Vertical	
Work package	
Participant (s)	
Objectives:	
Description of work	
Deliverables	

2.3 Milestone Details

Milestone summary (quarterly):

Milestone no.	WPs involved	Expected date of completion	Mode of validation

2.4 Anticipated Potential (max 300 words) – Market, Societal, Global S&T positioning, etc.

Resources needed

2.4.1 Capital Resources:

2.4.2 Manpower Resources:

2.4.3 Financial Resources:

2.4.3.1 Total Proposed Outlay (Rs in Crore):

2.4.3.2 Summary of Financial Requirement:

TOTAL	Financial Year 1	Financial Year 2

Project Leader

PME Head

COFA

Director

2.4.3.3 Itemized budget justification

A: Capital (each sub-head)

Apparatus & Equipment

Sl. No	Description of the item	Cost (In Lakhs)
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

9.		
10.		
11.		
Total		

B: Recurring (each sub-head)

3. Project Delivery

3.1 Anticipated success rate (max 100 words):

3.1.1 Project Outputs

3.1.2 Project Outcome

3.1.3 Impact Envisaged: Direct benefit to Society/Nation

	Description of specific impact
Socio-Economic Impact	
a. Industry Impact	
b. Societal Impact	
c. Strategic Sector Impact	
d. Environmental Impact	
e. Others (please specify)	

3.2 Follow-up Envisaged

3.3 Any other Information

PART-C: SMART card of the program

Title	
Goal(s)	
Reason this goal is important	

Concept	Description
<u>Specific</u> Exactly what is it you want to achieve? A good goal statement explains the what, why, how and who.	
<u>Measurable</u> You must be able to track progress and measure the result of your goal. A good goal statement answers the question, how much or how many. How will I know when I have achieved my goal?	
<u>Agreed</u> Your goal must be relevant to your stakeholders and agreed with them. Examples of people to agree your goal with are your collaborator, clinician and/or technology deployment partner.	
<u>Realistic</u> Your goal should be stretching, but realistic and relevant to CSIR/India. Make sure the actions you need to take to achieve your goal are things within your control. Is your goal achievable?	
<u>Time-Bound</u> Goals must have a deadline. A good goal statement will answer the question, when will I achieve my goal? It's a good idea to set some short-term milestones along the way to help you measure progress.	

PROJECT PROPOSAL FORMAT

CSIR Fast-Track Translation (FTT) Project

1. Theme
2. Title of the Project
3. Keywords (10; should indicate sector, specific problem, type, industry/user, product etc.)
4. Nodal Laboratory
5. Participating Laboratory (ies)
6. Contact Details (Name, Email and Mobile Number)
 - Principal Investigator (PI)
 - Co-PI
7. Total Project Cost (Rs. in lakhs)
 - Capital
 - Recurring
8. Project Duration (In months)
9. Technology Readiness Level
 - Current
 - Targeted
10. Stage I – Ideation Information
 - 10.1. Context and Background

Please provide the following information in this section

 - 10.1.1. Brief Summary (1 Paragraph)
 - 10.1.2. State of the Art Review (Not more than 5-Year-Old References)
 - 10.1.3. Development Positioning (Novel/ Incremental development/ ready to use)
 - 10.1.4. Identification of Deliverable(s) (Product/ Process/ Technology/S&T Service/ S&T intervention)
 - 10.1.5. Target Sector: (Industry/ Society/ Services/ others)
 - 10.1.6. Project Type: (Gap filling/ Critical/ Enabling/ Disruptive)
 - 10.1.7. Project Objectives

10.2. Proposal Analysis

Please provide the following information in this section

10.2.1. Existing Gaps and Cost to Benefit Analysis

10.2.2. Impact Analysis

	Description of specific impact
Socio-Economic Impact	
Industry Impact	
Improvement in Quality of Life	
Environment Conservation	
Others (please specify)	

11. Stage II – Scoping Information

11.1. Proposal Analysis

Please provide the following information in this section

11.1.1. IP study - Existing IP Landscape and Scope for potential IP

11.1.2. Existing Commercial Solutions - National and international – USPs, technical gaps with justifications for the proposed technology

11.2. Project Proposal

Please provide the following information in this section

11.2.1. Detailing the idea with Broad Technical Specification

11.2.2. Time frame and overall budget required

11.2.3. Preliminary Results (if any)

11.2.4. Project details in brief

Topic	Description
The Problem to be addressed	
The proposed approach	
Process/ Product specifications	<p>At the initiation of the project:</p> <p>At the completion of the project:</p>
Technology Readiness Level (TRL)	<p>At the initiation of the project:</p> <p>At the completion of the project:</p>

Delivery Steps proposed:	
Commercialization/ Outreach of the Project	

11.3. Risk Analysis

Please provide the following information in this section

11.3.1. SWOT analysis

11.3.2. Potential Risks and Impediments – Pre-mortem

11.3.3. Regulatory/ legal/ ethical approval required

12. Stage III - Building Business Case and Plan

12.1. Executive summary

- What is the need?
- What is being proposed?
- How it will be done/ achieved?
- What are the envisaged deliverables including enhancement of Technology Readiness Level (in bullets)?

13. Stage IV- Development

The Proposed Work Plan: Project components, Work plan and Timeframe: (Modularizing the projects into sub-stages of 6 months each)

Work Plan	Sub Stage I 1-6 (months)	Sub Stage II 7-12 (months)	Sub Stage III 13-18 (months)	Sub Stage IV 19-24 (months)

Sub-Stage	KPI	Milestone/ SMART Goal
I		
II		
III		
IV		

14. Potential risks and Mitigation in the development phase

S.No	Risks/Impediments Identified	Phase of the project	Impact on the project	Mitigation
1	Provide an exhaustive list of potential risks for increasing the success probability of the project. This may include legal/any other issues to be addressed and also potential risks as identified in the preliminary study.			

15. Stage V –

15.1. Testing/Validation plan for the proposed technology

S.No	Action Item	Approximate Timeline	Comments
1.		$T_0 + \text{___ weeks/months}$ (T_0 -Date of completion of technology development)	

15.2. Regulatory/legal/ethical approval required for development/ testing/ commercialization

S.No	Approval Required	Project Phase	Approving body	Requirements for obtaining approval
1.	Obtaining regulatory approval, certification such as EMI/EMC (for electronic), FSSAI (for food products), BIS, CDSCO (for pharmaceutical drugs), PESO (for flammable, explosive or high-pressure materials to be stored), etc.			

16. Itemized Budget –

Heads	1 st Financial Year	2 nd Financial Year	Total
[A] Capital			
Work & Services			

Apparatus & Equipment			
Total [A]			
[B] Recurring			
T.A.-India			
Chemicals, Consumables			
ORE and Tech HR			
Maintenance			
Contingency			
Total [B]			
Grand Total [A+B]			

A. Itemized Justification of Budget (Cumulative)

A: Capital:

B: Recurring

17. Stage VI – Commercialization/ Business Plan

17.1. Deployment Plan:

- a. Public partner:
- b. Industry partner:
- c. Socio-economic organizations:
- d. Target population:
- e. Any other:

17.2. Follow Up envisaged (Scale-up)

PROJECT PROPOSAL FORMAT

CSIR Fast-Track Commercialization (FTC) Project

1. Theme
2. Identified Product / Prototype/ Technology for FTC
3. Title of the Project
4. Keywords (10; should indicate sector, specific problem, type, industry/user, product etc.)
5. Nodal Laboratory
6. Participating Laboratory (ies)
7. Contact Details (Name, Email and Mobile Number)
 - Principal Investigator (PI)
 - Co-PI
8. Total Project Cost (Rs. in lakhs)
 - Capital
 - Recurring
9. Project Duration (In months)
10. Technology Readiness Level
 - Current
 - Targeted
11. Stage I – Ideation Information
 - 11.1. Context and Background

Please provide the following information in this section

 - 11.1.1. Brief Summary (1 Paragraph)
 - 11.1.2. State of the Art Review (Not more than 5-Year-Old References)
 - 11.1.3. Development Positioning (Ready for deployment / Needs Fine-tuning/Validation/Field Trials)
 - 11.1.4. Identification of Deliverable(s) (Product/ Process/ Technology/S&T Service/ S&T intervention)
 - 11.1.5. Target Sector (Critical/ Enabling/ To Meet Demand)

11.1.6. Project Objectives

11.2. Proposal Analysis

Please provide the following information in this section

11.2.1. The problem analysis - Problem in Perspective

11.2.1.1. Current level of the development of Identified Product / Prototype / Technology

11.2.1.2. Advantage of the proposed FTC

11.2.1.3. Technology/S&T Gap/Demand-Supply Gap

11.2.1.4. Affordability/Price Competitiveness

11.2.1.5. Value Addition

11.2.2. Existing Gaps and Cost to Benefit Analysis - Techno-economic Analysis of the Product / Technology with Internal Rate of Returns and Break-even time

11.2.3. Impact Analysis

Nature of Impact	Description of specific impact
Socio-Economic Impact	
Industry Impact	
Improvement in Quality of Life	
Environment Conservation	
Others (please specify)	

11.2.4. Global / National Mission & NITI Aayog Directives

11.2.5. Level & Type of Association with Stakeholder/ Industry

12. Stage II – Scoping Information

12.1. Proposal Analysis – Deeper

Please provide the following information in this section

12.1.1. IP study - Existing IP Landscape and Scope for Potential IP

12.1.2. Existing Commercial Solutions - National and international – USPs, technical gaps with justifications for the proposed technology

12.1.3. Interaction with the identified industries for finalizing broad specifications

12.2. Project Proposal

Please provide the following information in this section

12.2.1. Detailing the idea with Broad Technical Specification

12.2.2. Project Deliverable

12.2.3. Time frame and overall budget required

12.2.4. Preliminary Results (if any)

12.2.5. Project details in brief

Topic	Description
The proposed approach	
Technology Readiness Level (TRL)	At the initiation of the project:
	At the completion of the project:
Delivery Steps proposed:	Starting Point (Current Status) Step 1: Step 2: Target Point (Final Status)
Commercialization/ Outreach of the Project	Product/ Technology/ Services Technology Transfer Commercialization Startup / Spinoff Deployment Level Outreach

12.3. Risk Analysis

Please provide the following information in this section

12.3.1. SWOT analysis

12.3.2. Potential Risks and Impediments – Pre mortem

12.3.3. Regulatory/ legal/ ethical approval required

13. Stage III – Building Business Case and Plan

13.1. Executive summary

- **What is the need?**
- **What is being proposed?**
- **How it will be done/ achieved?**

- What are the envisaged deliverables including enhancement of Technology Readiness Level (in bullets)?

13.2. Third-party Market Survey Business Plan and Report

13.3. The Proposed Work Plan: Project components, Work plan and Timeframe: (Modularizing the projects into sub-stages of 6 months each)

Work Plan	Sub Stage I 1-6 (months)	Sub Stage II 7-12 (months)

Sub-Stage	KPI	Milestone/ SMART Goal
I		
II		

13.4. Potential risks and Mitigation in the development phase

S.No	Risks/Impediments Identified	Phase of the project	Impact on the project	Mitigation
1.	Provide exhaustive list of potential risks for increasing the success probability of the project. This may include legal/any other issues to be addressed and also potential risks as identified in the preliminary study.			

14. Stage V –

14.1. Testing/Validation plan for the proposed technology

S.No	Action Item	Approximate Timeline	Comments
1.		$T_0 + \text{___ weeks/months}$ (T_0 -Date of completion of technology development)	

14.2. Regulatory/legal/ethical approval required for development/ testing/ commercialization

S.No	Approval Required	Project Phase	Approving body	Requirements for obtaining approval
1.	Obtaining regulatory approval, certification such as EMI/EMC (for electronic), FSSAI (for food products), BIS, CDSCO (for pharmaceutical drugs), PESO (for flammable, explosive or high-pressure materials to be stored), etc.			

15. Itemized Budget –

Heads	1 st Financial Year	2 nd Financial Year	Total
[A] Capital			
Work & Services			
Apparatus & Equipment			
Total [A]			
[B] Recurring			
T.A.-India			
Chemicals, Consumables			
ORE and Tech HR			
Maintenance			
Contingency			
Total [B]			
Grand Total [A+B]			

A. Itemized Justification of Budget (Cumulative)

A: Capital:

B: Recurring

16. Stage VI - Delivery and Deployment/Commercialization Plan

16.1. Project Delivery Plan

16.2. Deployment Plan

- 16.2.1. Public partner**
- 16.2.2. Private partner**
- 16.2.3. Socio-economic organizations**
- 16.2.4. Target population**
- 16.2.5. Any other**

ENCLOSURE-11

Coding of Projects:

From FY 2024-25 onwards, Projects approved by the competent authority under various categories will be given Project Codes as per the description given below:

SNo.	Project type	Project Code				
		Category	Theme	Tranche	Project No.	
1.	CSIR-Fundamental and Innovative Research in Science of Tomorrow (CSIR-FIRST) Projects	FIR	AA	BB	CC	
2.	Focused Basic Research (FBR) Projects	FBR				
3.	Niche Creating High Science/ High Technology Projects (NCP)	NCP				
4.	Fast Track Translational (FTT) Projects	FTT				
5.	Fast Track Commercialization (FTC) Projects	FTC				
6.	Mission Mode Project (MMP)	MMP				
7.	Facility Creation Projects (FCP)	FCP	DD	YY		
8.	HQ Coordinated Projects (HCP)*	HCP				
9.	CSIR-New Millennium Indian Technology Leadership Initiative (CSIR-NMITLI)	NMI				
10.	International Science & Technology Projects (IST)	ISTAD				

*Jigyasa & Skill Development exempted - For Example: HCP002501 & HCP002502

Theme Codes

SNo.	Theme Name	Code, AA
1	Aerospace, Electronics, Instrumentation and Strategic Sector (AEISS)	01
2	Agricultural, Nutrition and Biotechnology (ANB)	02
3	Chemicals (including leather) and Petrochemicals (CLP)	03
4	Civil Infrastructure and Engineering (CIE)	04
5	Ecology, Environment and Sustainability (EES)	05
6	Energy (Conventional and Non-conventional) and Energy Devices (EED)	06
7	Healthcare (HTC)	07
8	Mining, Minerals, Metals and Materials (4M)	08
9	Earth, Oceanography and Water (EOW)	09

Directorate Codes

SNo.	Directorate	Code, DD
1	Central Planning Directorate (CPD)	51
2	Innovation Management Directorate (IMD)	52
3	Technology Management Directorate (TMD)	53
4	Science Communication and Dissemination Directorate (SCDD)	54
5	International S&T Affairs Directorate (ISTAD)	55

Tranche / Cycle Code: **BB** (Numeric): Presently 05 in case of FTT/FTC Projects

Project Number: **CC** (Numeric): 01 to 99

Year: **YY** (Numeric): Presently 25

For Example – FTT040511/HCP532501

ENCLOSURE-12

केंद्रीय योजना निदेशालय
वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
अनुसंधान भवन, 2, रफी मार्ग, नई दिल्ली -110001

No. 33/M/Guidelines/2020-21-CPD

March 08, 2021

कार्यालय ज्ञापन

Sub: SOP/ Guidelines for selection, implementation and monitoring of project proposals submitted FY 2021-22 (15th Financial Commission) onwards for consideration for implementation and funding (Facility Creation Projects (FCP) and project proposals submitted by CSIR-Units) — Reg.

Ref: OM No. 331/M/Guidelines/2020-CPD dated June, 2020.

1. Competent authority has accorded approval to the following:
 - I. SOP/Guideline for selection, implementation and monitoring of Facility Creation Project (FCP) proposal submitted for consideration for implementation and funding to CSIR FY 2021-22 onwards (Annexure A); and
 - II. SOP/Guideline for selection, implementation and monitoring of project proposals submitted by CSIR-Units for consideration for implementation and funding to CSIR FY 2021-22 onwards (Annexure B)
2. The instructions issued time to time for financial and expenditure management would be applicable to these projects also.

-Sd-
(Dr. Abhishek Kumar)
Scientist

Copy to:

1. Directors of all CSIR labs
2. Heads of all CSIR Units/ Directorates/ Divisions/ Sections
3. US to DG, CSIR
4. PS to FA, CSIR
5. PS to JS, CSIR
6. CSIR website through Head, IT
7. Office Copy

ANNEXURE A

SOP/Guidelines for selection, implementation and monitoring of Facility Creation Projects (FCP) submitted for consideration for implementation and funding to CSIR FY 2021-22 onwards

- I. The Facility Creation Project (FCP) proposal should be discussed and approved in the Research Council (RC) of laboratories and/or Advisory Committee (AC) of the CSIR-Unit to be submitted to CSIR for implementation and funding consideration;
- II. Screening Cum Expert committees will be formulated at CSIR HQ by CPD to examine, evaluate, shortlist, grade and recommend the proposals for funding by CSIR. The committee will also recommend the quantum of funding and tenure of implementation for considered project proposals;
- III. The recommended project/s (with the approval of the Competent Authorities) will be implemented as Major Lab Projects (MLP) and accordingly NILP number and respective OM will be issued by the implementing laboratory/ unit.
- IV. The implementation of the recommended FCP will be monitored through Task Force (TF) specifically constituted for each approved projects separately. The Director/ Head of the nodal/implementing laboratory/ unit will be the Chairperson and Nodal PI of the nodal/implementing laboratory/ unit will be the convener of the TF. The TF will have following composition:
 - a) Chairperson;
 - b) External experts on the subject area/s as member (minimum 3);
 - c) CSIR expert on the subject area/s as member (minimum 1);
 - d) COFA/F&AO (Finance) of the nodal/ implementing laboratory/unit as member;
 - e) HOD, CPD, CSIR HQ or his nominee as permanent invitee; and
 - f) Nodal PI of the nodal/ implementing laboratory/ unit as the member convener.
- V. The Terms of References (**TOR**) of the Task Force (TF) will be following:
 - a) Ensure the implementation of the project in a time bound and cost bound manner;
 - b) Periodically monitor and review the progress of the project including progressive expenditure vis-à-vis deliverables/output;
 - c) Ensure submission of half yearly performance report to CPD, CSIR HQ by 15th September and 15th April of every year; and
 - d) Any other activities assigned by DG, CSIR to the TF from time to time.The tenure of the Task Force will be co-terminus with the project.
- VI. The Monitoring Methodology (**MM**) will be as follow:
 - a) Task Force (TF) shall periodically meet to review the progress of the project. Though the periodicity of the meeting is left to the discretion of Chairperson, but it shall not less than 2 times a year (once in six months);

- b) TF shall monitor the micro details of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc. PERT and bar chart is required to be prepared in this regards for controlling the various activities of the project. TF may evolve suitable and monitor able parameters to effectively review the progress of the project. Further, TF may assess and advise the mid- course changes/corrections in the project to achieve the desired objectives;
- c) Examining the periodic progress of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc., the TF may recommend the foreclosure of the project in deplorable progress situation; and
- d) The proceedings of the TF meeting shall be recorded and maintained by the member convener and communicated to the CPD, CSIR HQ for information and record.

ANNEXURE B

SOP/Guidelines for selection, implementation and monitoring of Project Proposals submitted by CSIR-Units for consideration for implementation and funding to CSIR FY 2021-22 onwards

- I. The projects proposals should be discussed and approved in the Advisory Committee (AC) of the CSIR-Unit to be submitted to CSIR for implementation and funding consideration;
- II. Screening Cum Expert committees will be formulated at CSIR HQ by CPD to examine, evaluate, shortlist, grade and recommend the proposals for funding by CSIR. The committee will also recommend the quantum of funding and tenure of implementation for considered project proposals;
- III. The recommended project/s (with the approval of the Competent Authorities) will be implemented as Major Lab Projects (MLP) and accordingly MLP number and respective OM will be issued by the implementing unit.
- IV. The implementation of the recommended project proposals will be monitored through Task Force (TF) specifically constituted for each approved projects separately. The Head of the nodal/implementing unit will be the Chairperson and Nodal PI of the nodal/implementing unit will be the convener of the TF. The TF will have following composition:
 - a Chairperson;
 - b External experts on the subject area/s as member (minimum 3);
 - c CSIR expert on the subject area/s as member (minimum 1);
 - d COFA/F&AO (Finance) of the nodal/ implementing unit as member;
 - e HOD, CPD, CSIR HQ or his nominee as permanent invitee; and
 - f Nodal PI of the nodal/ implementing unit as the member convener.
- V. The Terms of References (TOR) of the Task Force (TF) will be following:
 - a Ensure the implementation of the project in a time bound and cost bound manner;
 - b Periodically monitor and review the progress of the project including progressive expenditure vis-à-vis deliverables/output;
 - c Ensure submission of half yearly performance report to CPD, CSIR HQ by 15th September and 15th April of every year; and
 - d Any other activities assigned by DG, CSIR to the TF from time to time.The tenure of the Task Force will be co-terminus with the project.
- VI. The Monitoring Methodology (MM) will be as follow:
 - a) Task Force (TF) shall periodically meet to review the progress of the project. Though the periodicity of the meeting is left to the discretion of Chairperson, but it shall not less than 2 times a year (once in six months);
 - b) TF shall monitor the micro details of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc. PERT and bar chart is required to be prepared in this regards for controlling the various activities of the project. TF may evolve suitable and monitor able parameters

to effectively review the progress of the project. Further, TF may assess and advise the mid-course changes/corrections in the project to achieve the desired objectives;

- c) Examining the periodic progress of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc., the TF may recommend the foreclosure of the project in deplorable progress situation; and
- d) The proceedings of the TF meeting shall be recorded and maintained by the member convener and communicated to the CPD, CSIR HQ for information and record.

ENCLOSURE-13

वैज्ञानिक और औद्योगिक अनुसंधान परिषद (सीएसआईआर)
Council of Scientific & Industrial Research (CSIR)
केंद्रीय योजना निदेशालय/ Central Planning Directorate
अनुसन्धान भवन, रफी मार्ग, नई दिल्ली-110001
Anusandhan Bhawan, 2, Rafi Marg, New Delhi – 110001

No.33/M/Guidelines/2024-25-CPD

22nd October, 2024

OFFICE MEMORANDUM/ कार्यालय ज्ञापन

Sub: SOP/Guidelines for selection, implementation and monitoring of Facility Creation Projects 2.0 (FCP 2.0) under CSIR Special Projects Scheme (CSPS-2024)-reg.

Ref: 1) CSIR OM No.33/M/Guidelines/2020-21-CPD dated 8th March,2021.

2) CSIR OM No.6/10/Reorient CSIR/2021/2 dated 9th October,2024.

1. The Competent Authority has accorded approval to the following:
 - I. The SOP/Guidelines for selection, implementation and monitoring of Facility Creation Projects 2.0 under CSIR Special Projects Scheme (CSPS-2024) (Enclosed).
 - II. The SOP/Guidelines for selection, implementation and monitoring of Facility Creation Projects issued vide CSIR OM No.33/M/Guidelines/2020-21-CPD dated March 08,2021 will continue to be applicable for Facility Creation Projects initiated from FY 2021-22 and before FY 2024-25.
2. The instructions issued time to time for financial and expenditure management would be applicable to these projects also.

-Sd-
(राजेश पारप्यानी)
इंजीनियर 'डी

प्रतिलिपि :

1. Directors of all CSIR labs
2. Heads of all CSIR Directorates/Divisions/Sections
3. Sr.PPS to DG, CSIR
4. PS to FA, CSIR
5. PS to JS, CSIR
6. CSIR website through Head, IT
7. Office Copy

SOP/Guidelines for selection, implementation and monitoring of Facility Creation Projects 2.0 (FCP 2.0) under CSIR Special Projects Scheme (CSPS-2024)

- I. The Facility Creation Project 2.0 (FCP 2.0) proposal should be discussed and approved in the Research Council (RC) of laboratories to be submitted to CSIR for implementation and funding consideration;
- II. Screening Cum Expert committees will be formulated at CSIR HQ by concern directorate to examine, evaluate, shortlist, grade and recommend the proposals for funding by CSIR. The committee will also recommend the quantum of funding for considered project proposals;
- III. The project/s (approved by the Competent Authority) will be implemented by the implementing laboratory. The OM for the approved project/s will be issued by the concerned or the coordinating directorate in CSIR HQs. The implementing laboratory will also issue project OM and information of the same shall be provided to CSIR HQ, Lab PME and lab Finance.
- IV. The implementation of the recommended FCP will be monitored at CSIR Lab level through Task Force (TF) specifically constituted for each approved projects separately and by External Monitoring Committee at CSIR HQ level. The Mission Director/ Nodal Lab Director will be the Chairperson and Head PME of the Nodal lab will be the convener of the TF. The TF will have following composition (as per OM No.6/10/Reorient CSIR/2021/2 dated 9 October,2024):
 - a) Mission Director/Nodal Lab Director – Chairperson
 - b) Participating Labs' Directors, if any
 - c) PIs & Co-PIs of the Project/VPs in the Mission mode projects
 - d) CSIR HQ Project Coordinator
 - e) Head, PME of the Nodal lab (convenor)
- VI. The Terms of References (TOR) of the Task Force (TF) will be following:
 - a) Ensure the implementation of the project in a time bound and cost bound manner;
 - b) Periodically monitor and review the progress of the project including progressive expenditure vis-à-vis deliverables/output;
 - c) Ensure submission of quarterly progress in the format enclosed at Annexure I to the concerned directorate in CSIR HQ every year; and
 - d) Any other activities assigned by DG, CSIR to the TF from time to time.The tenure of the Task Force will be co-terminus with the project.
- VII. The Monitoring Methodology (MM) will be as follow:
 - 1) Task Force (TF) shall meet once in every quarter to review the progress of the project;
 - 2) TF shall monitor the micro details of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc. PERT and bar chart is required to be prepared in this regards for controlling the various activities of the project. TF may evolve suitable and monitorable parameters to

effectively review the progress of the project. Further, TF may assess and advise the mid- course changes/corrections in the project to achieve the desired objectives;

- 3) Examining the periodic progress of project in terms of outputs, activities, yearly/ half yearly targets, quantifiable deliverables, costs etc., the TF may recommend the foreclosure of the project in deplorable progress situation; and
- 4) The proceedings of the TF meeting shall be recorded and maintained by the member convener and communicated to CSIR HQ for information and record.
- 5) External Monitoring Committee at CSIR HQ will also monitor the progress of the project twice every year.

Facility Creation Project 2.0

**Template/ Format for Reporting Progress/Status of Project by CSIR Lab to CSIR HQ/
EMC-FCP2.0**

As on _____

A. Project Details:

1.	Nodal Lab (Participating Labs/ Agencies, if any)	
2.	i. Project Title	
	ii. Project Number	
	iii. Project start date	
	iv. Scheduled date of completion	
	v. Extended date of completion (if applicable)	
3.	Principal Investigator (PI) & Co-PI (pl. provide email and mobile number also)	
4.	Project Objective (As per DPR/Proposal)	
5.	Status of the Project with reference to DPR Activity/Bar chart (As on _____)- cumulative i. Accomplishments in Terms of Activities, procurement of equipments, progress in works & services etc. (Planned in DPR vs Actual)	
	ii. Shortfalls in achievement of Milestones	
	iii. Whether above shortfalls reported to Task Force & CSIR HQ External Monitoring Committee (pl. provide a copy of minutes)	
6.	Progress during the current quarter (period----- To -----)	

7.	Approved CSIR HQ support for FCP (Capital B/H) - (Rs. in Lakhs)	
8.	Details of funds Allocated/received – Year wise (Rs. in Lakhs)	
9.	Funds Utilised (Rs. in Lakhs) <ul style="list-style-type: none"> • Year wise details • Funds surrendered – Year wise (Please provide reason for non-utilisation/surrender of funds) 	
10.	i. Time extension to the Project, if given (pl. provide details with documentary support)	
	ii. Justification for the extension	

B. Lab level Monitoring of FCP:

1.	Task Force (TF) <ul style="list-style-type: none"> • Task Force constituted: Yes/No; If yes, please provide date of constitution and details of members • Please provide details of meetings held during the project period along with copy of minutes • In case of less than four Task Force Meetings held in a year, please provide the reason.
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Note: Please enclose the original bar chart of Project Time Frame (as provided in DPR/ Proposal submitted to CSIR Hq), and add/ highlight the actual time taken by various activities mentioned therein as against the originally planned time.
