



अनुसंधान नेशनल रिसर्च फाउंडेशन  
ANUSANDHAN NATIONAL  
RESEARCH FOUNDATION

## **EASE OF DOING SCIENCE**

# **Ready for Reference Compendium of Office Memorandums**

**Anusandhan National Research Foundation  
Government of India  
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New Mehrauli Road, New Delhi - 110 016**

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## **1. Introduction**

The Anusandhan National Research Foundation (ANRF), constituted under the Anusandhan National Research Foundation Act, 2023 (Act No. 25 of 2023), serves as the apex body for shaping the direction of research, innovation, and entrepreneurship in India. It is entrusted with the responsibility of supporting, promoting, and overseeing research activities across diverse domains, including natural sciences, engineering and technology, health, agriculture, environmental sciences, as well as interdisciplinary areas involving social sciences and humanities. Through its initiatives, ANRF aims to build a cohesive and robust research ecosystem by enhancing institutional collaboration, nurturing skilled human resources, and encouraging the application of research outcomes for societal and economic advancement.

The concept of “Ease of Doing Science” emphasizes the importance of a research environment that allows investigators to focus on their work without being burdened by unnecessary procedural hurdles. The effectiveness of research is shaped not only by financial resources, infrastructure, and manpower, but also by the quality of institutional processes, clarity of guidelines, and administrative responsiveness. In many instances, procedural bottlenecks, delays in financial approvals or disbursements, and fragmented instructions can slow down research progress and reduce overall efficiency. Addressing such challenges is therefore essential to streamline project implementation and to enable researchers to concentrate on generating impactful outcomes.

Over the years, various Office Memoranda (OMs) and policy guidelines have been issued to regulate research funding and project management. While these measures are important for maintaining transparency and accountability in the use of public funds, their scattered and evolving nature can create confusion and inconsistencies in interpretation. Consolidating these instructions into a single, well-structured, and easily accessible document can significantly improve clarity and facilitate smoother implementation.

Improving the ease of doing science is expected to enhance both the efficiency and quality of research, strengthen governance mechanisms, and accelerate the translation of knowledge into tangible societal benefits. It also contributes to building a more supportive and responsive research ecosystem that encourages innovation and excellence.

This Compendium on ANRF’s “Ease of Doing Science” has therefore been developed as a comprehensive reference document that brings together all relevant instructions in an organized manner. By simplifying procedures and improving clarity, it seeks to assist researchers, institutions, and administrators in effective project execution and to promote a transparent, efficient, and enabling environment aligned with ANRF’s broader vision of advancing science and technology in the country.

## 2. Office Orders and Office Memorandums related to the Ease of Doing Science

### 2.1 Ministry of Finance and Department of Expenditure

#### 2.1.1 Special Provisions for scientific Ministries / Departments in GFR 2017

No.F.20/42/2021-PPD  
Government of India  
Ministry of Finance  
Department of Expenditure  
Procurement Policy Division  
\*\*\*\*\*

709, Chandarlok Building,  
Janpath, New Delhi  
Dated 05.06.2025.

#### **OFFICE MEMORANDUM**

**Subject: Special provisions for Scientific Ministries/ Departments in General Financial Rules (GFRs), 2017.**

Attention is invited towards this Department's OMs of even number dated 20.05.2024 vide which amendments in the GFRs were carried out by this Department for Scientific Ministries/ Departments/ Organisations.

2. The above said amendments are applicable only to the following Ministries/ Departments/ Organizations of Government of India:

- (i) Department of Science and Technology
- (ii) Department of Biotechnology
- (iii) Department of Scientific & Industrial Research
- (iv) Department of Atomic Energy
- (v) Department of Space
- (vi) Ministry of Earth Sciences
- (vii) Defence Research & Development Organization
- (viii) Indian Council of Agricultural Research (ICAR), including its affiliated institutions and Universities;
- (ix) Department of Health Research (DHR), including Indian Council of Medical Research;
- (x) Educational and Research Institutes conducting post-graduate/ doctoral level courses or research, under any Ministry/ Department.

3. In pursuance of Committee of Secretaries (CoS) recommendations dated 22.04.2025 and in the continuation of the OM of even number dated 20.05.2024, following has been decided with respect to the **procurement of scientific equipment and consumables for research purposes** by Ministries/ Departments/ Organisations at para 2 above:

- i. Vice-Chancellors/ Directors of scientific organisations / academic institutions under Ministries/ Department/ Organisations indicated at para 2 above are permitted to make non-Government e-Marketplace (GeM) procurement of scientific equipment and consumables.
- ii. The monetary ceilings under Rule 154, 155, 161 & 162 of GFRs, 2017 for procurement of scientific equipment and consumables by the Ministries/ Departments/ Organizations mentioned under para 2 above shall be as follows:

Rule of GFR	Objective	Current limit	Amended limit
154	Purchase of goods without quotation	Rs. 1,00,000/- (Rupees one lakh)	Rs. 2,00,000/- (Rupees two lakh)
155	Purchase of goods by Purchase Committee.	Rs. 1,00,000/- (Rupees one lakh) and upto Rs. 10,00,000/- (Rupees ten lakh)	Rs. 2,00,000/- (Rupees two lakh) and upto Rs. 25,00,000/- (Rupees twenty five lakh)
162	Limited Tender Enquiry (LTE)	Upto Rs. 50 lakh	Upto Rs. 1 crore
161	Advertised Tender Enquiry	Above Rs. 50 lakh	Above Rs. 1 crore.

- iii. For procurement of scientific equipment and consumables required only for research purpose by procuring entities mentioned under para 2 above, Vice-Chancellors/ Directors concerned, as the case may be, shall be the competent authority to approve issuance of Global Tender Enquiry (GTEs) upto Rs.200 crore under Rule 161(iv) of GFRs, 2017, where they are satisfied that there is justification for such exemption.

4. It is reiterated that these amendments are applicable only for the Ministries/ Departments/ Organizations mentioned at para 2 alone and for the procurement of scientific equipment and consumables for research purpose only. A list of such procurements may be compiled and shared with concerned Administrative Ministry at the end of every Financial Year.

5. The Ministries/ Departments/ Organisations indicated under para 2 above may also adhere to the extant instructions issued in this regard vide this department's OM Nos. 13/4/2017-PPD(Pt.) dated 04.05.2018 para 1(b), 20/45/2020 dated 08.01.2021 and 20/42/2021-PPD dated 20.05.2024.

6. This issues with the approval of Secretary (Expenditure).



(Sher Bahadur)  
Under Secretary (Procurement Policy)  
Email: sher.bahadur@nic.in

To

Secretaries/ Financial Advisers of all Ministries/ Departments.

## 2.2 Ministry of Commerce and Industry

### 2.2.1 Public procurement (Preference to Make in India) Order, 2017-Revision

No. P-45021/2/2017-PP (BE-II)-Part(4)Vol.II  
Government of India  
Ministry of Commerce and Industry  
Department for Promotion of Industry and Internal Trade  
(Public Procurement Section)

Vanijya Bhawan, New Delhi  
Dated: 19 July, 2024

To

All Central Ministries/Departments/CPSUs/All concerned

#### **ORDER**

**Subject: Public Procurement (Preference to Make in India), Order 2017-Revision; regarding.**

Department for Promotion of Industry and Internal Trade, in partial modification [Paras 2, 3, 5, 10 & 13] of Order No.P-45021/2/2017-B.E.-II dated 15.6.2017 as amended by Order No.P-45021/2/2017-B.E.-II dated 28.05.2018, Order No.P-45021/2/2017-B.E.-II dated 29.05.2019, Order No.P-45021/2/2017-B.E.-II dated 04.06.2020 and Order No.P-45021/2/2017-B.E.-II dated 16.09.2020 hereby issues the revised 'Public Procurement (Preference to Make in India), Order 2017' dated 19.07.2024 effective with immediate effect.

**Whereas** it is the policy of the Government of India to encourage 'Make in India' and promote manufacturing and production of goods and services in India with a view to enhancing income and employment, and

**Whereas** procurement by the Government is substantial in amount and can contribute towards this policy objective, and

**Whereas** local content can be increased through partnerships, cooperation with local companies, establishing production units in India or Joint Ventures (JV) with Indian suppliers, increasing the participation of local employees in services and training them,

**Now therefore the following Order is issued:**

1. This Order is issued pursuant to Rule 153 (iii) of the General Financial Rules 2017.
2. **Definitions:** For the purposes of this Order:  
*'Local content'* means the amount of value added in India which shall, unless otherwise prescribed by the Nodal Ministry, be the total value of the item procured (excluding net domestic indirect taxes) minus the value of imported content in the item (including all customs duties) as a proportion of the total value, in percent.

#### **Explanatory notes for calculation of local content given above**

- a. Imported items sourced locally from resellers/distributors shall be excluded from calculation of local content.
- b. The license fees/royalties paid/ technical charges paid out of India shall be excluded from local content calculation.

- c. Procurement/Supply of repackaged/refurbished/rebranded imported products as understood commonly shall be treated as reselling of imported products and shall be excluded from calculation of local content. The definition of repackaged/refurbished/rebranded imported products is as follows;

'Refurbishing' means repair or reconditioning of an imported product does not amount to manufacture because no new goods come into existence.

'Repackaging' means repacking of imported goods from bulk pack to smaller packs would not ordinarily amount to manufacture of a new item.

'Rebranding' means relabeling or renaming or change in symbol or logo/makes or corporate image of a company/organization/ firm for an imported product would amount to rebranding.

- d. To ensure that imported items sourced locally from resellers/distributors are excluded from calculation of local content, procuring entities to obtain from bidders, the cost of such locally-sourced imported items (Inclusive of taxes) along with break-up on license/royalties paid/technical expertise cost etc. sourced from outside India. For items sold by bidder as reseller, OEM certificate for country of origin to be submitted.
- e. For contracts involving supply of multiple items, weighted average of all items to be taken while calculating the local content.

'Class-I local supplier' means a supplier or service provider, whose goods, services or works offered for procurement, meets the minimum local content as prescribed for 'Class-I local supplier' under this Order.

'Class-II local supplier' means a supplier or service provider, whose goods, services or works offered for procurement, meets the minimum local content as prescribed for 'Class-II local supplier' but less than that prescribed for 'Class-I local supplier' under this Order.

'Non - Local supplier' means a supplier or service provider, whose goods, services or works offered for procurement, has local content less than that prescribed for 'Class-II local supplier' under this Order.

'L1' means the lowest tender or lowest bid or the lowest quotation received in a tender, bidding process or other procurement solicitation as adjudged in the evaluation process as per the tender or other procurement solicitation.

'Margin of purchase preference' means the maximum extent to which the price quoted by a "Class-I local supplier" may be above the L1 for the purpose of purchase preference.

'Nodal Ministry' means the Ministry or Department identified pursuant to this order in respect of a particular item of goods or services or works.

'Procuring entity' means a Ministry or department or attached or subordinate office of, or autonomous body controlled by, the Government of India and includes Government companies as defined in the Companies Act.

'Works' means all works as per Rule 130 of GFR- 2017, and will also include 'turnkey works'.

**2A. Special treatment for items covered under PLI Scheme**

The manufacturers manufacturing an item under PLI scheme shall be treated as deemed Class II local supplier for that item unless they have minimum local content equal to or higher than that notified for Class-I local supplier for that item, provided the manufacturer has received incentive from the concerned PLI Ministry for the item. The above shall be applicable for the specific time period only, as notified by concerned PLI Ministry.

**3. Eligibility of 'Class-I local supplier'/ 'Class-II local supplier'/ 'Non-local suppliers' for different types of procurement**

(a) In procurement of all goods, services or works in respect of which the Nodal Ministry / Department has communicated that there is sufficient local capacity and local competition, only 'Class-I local supplier', as defined under the Order, shall be eligible to bid irrespective of purchase value.

(b) Only 'Class-I local supplier' and 'Class-II local supplier', as defined under the Order, shall be eligible to bid in procurement undertaken by procuring entities, except when Global tender enquiry has been issued. In global tender enquiries, 'Non-local suppliers' shall also be eligible to bid along with 'Class-I local suppliers' and 'Class-II local suppliers'. In procurement of all goods, services or works, not covered by sub-para 3(a) above, and with estimated value of purchases less than Rs. 200 Crore, in accordance with Rule 161(iv) of GFR, 2017, Global tender enquiry shall not be issued except with the approval of competent authority as designated by Department of Expenditure.

(c) For the purpose of this Order, works includes Engineering, Procurement and Construction (EPC) contracts and services include System Integrator (SI) contracts.

**3.1 Mandatory sourcing of items, with sufficient local capacity and competition, from Class-I local suppliers in SI/EPC/Turnkey Contracts/Service Tenders**

- a. The items, notified as having sufficient local capacity and competition, shall mandatory be sourced from Class-I local suppliers in SI/EPC/Turnkey Contracts/ Services tenders. This provision will be applicable only for those items which have been notified by the Nodal Ministry as Class I i.e. having sufficient local capacity and competition, with specific HSN codes."
- b. Notwithstanding above, if in any project, it is considered that it is not practically feasible to source such items from Class I local suppliers, it may take relaxation from such stipulation with the approval of Secretary of the administrative Ministry/ Department concerned or with the approval of the Competent Authority specified by the Administrative Ministry/Department, on case-specific basis.

**3A. Purchase Preference**

(a) Subject to the provisions of this Order and to any specific instructions issued by the Nodal Ministry or in pursuance of this Order, purchase preference shall be given to 'Class-I local supplier' in procurement undertaken by procuring entities in the manner specified here under.

(b) In the procurement of goods or works, which are covered by para 3(b)



above and which are divisible in nature, the 'Class-I local supplier' shall get purchase preference over 'Class-II local supplier' as well as 'Non-local supplier', as per following procedure:

- i. Among all qualified bids, the lowest bid will be termed as L1. If L1 is 'Class-I local supplier', the contract for full quantity will be awarded to L1.
  - ii. If L1 bid is not a 'Class-I local supplier', 50% of the order quantity shall be awarded to L1. Thereafter, the lowest bidder among the 'Class-I local supplier' will be invited to match the L1 price for the remaining 50% quantity subject to the Class-I local supplier's quoted price falling within the margin of purchase preference, and contract for that quantity shall be awarded to such 'Class-I local supplier' subject to matching the L1 price. In case such lowest eligible 'Class-I local supplier' fails to match the L1 price or accepts less than the offered quantity, the next higher 'Class-I local supplier' within the margin of purchase preference shall be invited to match the L1 price for remaining quantity and so on, and contract shall be awarded accordingly. In case some quantity is still left uncovered on Class-I local suppliers, then such balance quantity may also be ordered on the L1 bidder.
- (c) In the procurement of goods or works, which are covered by para 3(b) above and which are not divisible in nature, and in procurement of services where the bid is evaluated on price alone, the 'Class-I local supplier' shall get purchase preference over 'Class-II local supplier' as well as 'Non-local supplier', as per following procedure:
- i. Among all qualified bids, the lowest bid will be termed as L1. If L1 is Class -I local supplier', the contract will be awarded to L1.
  - ii. If L1 is not 'Class-I local supplier', the lowest bidder among the 'Class-I local supplier', will be invited to match the L1 price subject to Class-I local supplier's quoted price falling within the margin of purchase preference, and the contract shall be awarded to such 'Class-I local supplier' subject to matching the L1 price.
  - iii. In case such lowest eligible 'Class-I local supplier' fails to match the L1 price, the 'Class-I local supplier' with the next higher bid within the margin of purchase preference shall be invited to match the L1 price and so on and contract shall be awarded accordingly. In case none of the 'Class-I local supplier' within the margin of purchase preference matches the L1 price, the contract may be awarded to the L1 bidder.
- (d) "Class-II local supplier" will not get purchase preference in any procurement, undertaken by procuring entities.

**3B. Applicability in tenders where contract is to be awarded to multiple bidders-** In tenders where contract is awarded to multiple bidders subject to matching of L1 rates or otherwise, the 'Class-I local supplier' shall get purchase preference over 'Class-II local supplier' as well as 'Non-local supplier', as per following procedure:

- a. In case there is sufficient local capacity and competition for the item to be procured, as notified by the nodal Ministry, only Class I local suppliers shall be eligible to bid. As such, the multiple suppliers, who would be awarded the contract, should be all and only 'Class I Local suppliers'.
- b. In other cases, 'Class II local suppliers' and 'Non local suppliers' may also participate in the bidding process along with 'Class I Local suppliers' as per provisions of this Order.
- c. If 'Class I Local suppliers' qualify for award of contract for at least

50% of the tendered quantity in any tender, the contract may be awarded to all the qualified bidders as per award criteria stipulated in the bid documents. However, in case 'Class I Local suppliers' do not qualify for award of contract for at least 50% of the tendered quantity, purchase preference should be given to the 'Class I local supplier' over 'Class II local suppliers'/ 'Non local suppliers' provided that their quoted rate falls within 20% margin of purchase preference of the highest quoted bidder considered for award of contract so as to ensure that the 'Class I Local suppliers' taken in totality are considered for award of contract for at least 50% of the tendered quantity.

- d. First purchase preference has to be given to the lowest quoting 'Class-I local supplier', whose quoted rates fall within 20% margin of purchase preference, subject to its meeting the prescribed criteria for award of contract as also the constraint of maximum quantity that can be sourced from any single supplier. If the lowest quoting 'Class-I local supplier', does not qualify for purchase preference because of aforesaid constraints or does not accept the offered quantity, an opportunity may be given to next higher 'Class-I local supplier', falling within 20% margin of purchase preference, and so on.
  - e. To avoid any ambiguity during bid evaluation process, the procuring entities may stipulate its own tender specific criteria for award of contract amongst different bidders including the procedure for purchase preference to 'Class-I local supplier' within the broad policy guidelines stipulated in sub- paras above.
4. **Exemption of small purchases:** Notwithstanding anything contained in paragraph 3, procurement where the estimated value to be procured is less than Rs. 5 lakhs shall be exempt from this Order. However, it shall be ensured by procuring entities that procurement is not split for the purpose of avoiding the provisions of this Order.

**4A. Exemption in sourcing of spares and consumables of closed systems:**

Procurement of spare parts, consumables for closed systems and Maintenance/ Service contracts with Original Equipment Manufacturer/Original Equipment Supplier/Original Part Manufacturer shall be exempted from this Order.

5. **Minimum local content:** The 'local content' requirement to categorize a supplier as 'Class-I local supplier' is minimum 50%. For 'Class-II local supplier', the 'local content' requirement is minimum 20%. Nodal Ministry/ Department may prescribe only a higher percentage of minimum local content requirement to categorize a supplier as 'Class-I local supplier'/ 'Class- II local supplier'. For the items, for which Nodal Ministry/ Department has not prescribed higher minimum local content notification under the Order, it shall be 50% and 20% for 'Class-I local supplier'/ 'Class-II local supplier' respectively.
6. **Margin of Purchase Preference:** The margin of purchase preference shall be 20%.
7. **Requirement for specification in advance:** The minimum local content, the margin of purchase preference and the procedure for preference to Make in India shall be specified in the notice inviting tenders or other form of procurement solicitation and shall not be varied during a particular procurement transaction.
8. **Government E-marketplace:** In respect of procurement through the Government E-marketplace (GeM) shall, as far as possible, specifically mark the items which meet the minimum local content while registering the item for

display, and shall, wherever feasible, make provision for automated comparison with purchase preference and without purchase preference and for obtaining consent of the local supplier in those cases where purchase preference is to be exercised.

**9. Verification of local content:**

- a. The 'Class-I local supplier'/ 'Class-II local supplier' at the time of tender, bidding or solicitation shall be required to indicate percentage of local content and provide self-certification that the item offered meets the local content requirement for 'Class-I local supplier'/ 'Class-II local supplier', as the case may be. They shall also give details of the location(s) at which the local value addition is made.
- b. In cases of procurement for a value in excess of Rs. 10 crores, the 'Class-I local supplier'/ 'Class-II local supplier' shall be required to provide a certificate from the statutory auditor or cost auditor of the company (in the case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content.
- c. The bidder shall give self-certification for local content in the quoted item (goods/works/services) at the time of tendering. However, at the time of execution of the project, for all contracts above INR 10 Crore, the contractor/ supplier shall be required to give local content certification duly certified by cost/ chartered accountant in practice. For cases where it is not possible to provide certification by Cost/Chartered Accountant at the time of execution of project, the supplier shall be permitted to provide the certificate for local content from Cost/ Chartered Accountant after completion of the contract, within time limit acceptable to the procuring entity. In case the contractor/ supplier does not meet the stipulated local content requirement and the category of the supplier changes from Class-I to Class-II/ Non-local or from Class-II to Non-local, a penalty upto 10% of the contract value may be imposed. However, contract once awarded shall not be terminated on this account.
- d. Decisions on complaints relating to implementation of this Order shall be taken by the competent authority which is empowered to look into procurement-related complaints relating to the procuring entity.
- e. Nodal Ministries may constitute committees with internal and external experts for independent verification of self-declarations and auditor's/ accountant's certificates on random basis and in the case of complaints.
- f. Nodal Ministries and procuring entities may prescribe fees for such complaints.
- g. False declarations will be in breach of the Code of Integrity under Rule 175(1)(i)(h) of the General Financial Rules for which a bidder or its successors can be debarred for up to two years as per Rule 151 (iii) of the General Financial Rules along with such other actions as may be permissible under law.
- h. A supplier who has been debarred by any procuring entity for violation of this Order shall not be eligible for preference under this Order for procurement by any other procuring entity for the duration of the debarment. The debarment for such other procuring entities shall take effect prospectively from the date on which it comes to the notice of other procurement entities, in the manner prescribed under paragraph 9

i below.

- i. The Department of Expenditure shall issue suitable instructions for the effective and smooth operation of this process, so that:
  - i. The fact and duration of debarment for violation of this Order by any procuring entity are promptly brought to the notice of the Member-Convenor of the Standing Committee and the Department of Expenditure through the concerned Ministry /Department or in some other manner;
  - ii. On a periodical basis such cases are consolidated and a centralized list or decentralized lists of such suppliers with the period of debarment is maintained and displayed on website(s);
  - iii. In respect of procuring entities other than the one which has carried out the debarment, the debarment takes effect prospectively from the date of uploading on the website(s) in the such a manner that ongoing procurement are not disrupted.

**10. Specifications in Tenders and other procurement solicitations:**

- a. Every procuring entity shall ensure that the eligibility conditions in respect of previous experience fixed in any tender or solicitation do not require proof of supply in other countries or proof of exports.
- b. Procuring entities shall endeavour to see that eligibility conditions, including on matters like turnover, production capability and financial strength do not result in unreasonable exclusion of 'Class-I local supplier' / 'Class-II local supplier' who would otherwise be eligible, beyond what is essential for ensuring quality or creditworthiness of the supplier.
- c. Procuring entities shall, within 2 months of the issue of this Order review all existing eligibility norms and conditions with reference to subparagraphs 'a' and 'b' above.
- d. Reciprocity Clause**
  - i. When a Nodal Ministry/Department identifies that Indian suppliers of an item are not allowed to participate and/ or compete in procurement by any foreign government, due to restrictive tender conditions which have direct or indirect effect of barring Indian companies such as registration in the procuring country, execution of projects of specific value in the procuring country etc., it shall provide such details to all its procuring entities including CMDs/CEOs of PSEs/PSUs, State Governments and other procurement agencies under their administrative control and GeM for appropriate reciprocal action.
  - ii. Entities of countries which have been identified by the nodal Ministry/Department as not allowing Indian companies to participate in their Government procurement for any item related to that nodal Ministry shall not be allowed to participate in Government procurement in India for all items related to that nodal Ministry/ Department, except for the list of items published by the Ministry/ Department permitting their participation.
  - iii. The stipulation in (ii) above shall be part of all tenders invited by the Central Government procuring entities stated in (i) above. All purchases on GeM shall also necessarily have the above provisions for items identified by nodal Ministry/ Department.
  - iv. State Governments should be encouraged to incorporate similar provisions in their respective tenders.
  - v. The term 'entity' of a country shall have the same meaning as under the FDI Policy of DPIIT as amended from time to time.
- e. Specifying foreign certifications/ unreasonable technical specifications/



brands/ models in the bid document is restrictive and discriminatory practice against local suppliers. If foreign certification is required to be stipulated because of non-availability of Indian Standards and/or for any other reason, the same shall be done only after written approval of Secretary of the Department concerned or any other Authority having been designated such power by the Secretary of the Department concerned.

- f. "All administrative Ministries/Departments whose procurement exceeds Rs. 1000 Crore per annum shall notify/update their procurement projections every year, including those of the PSEs/PSUs, for the next 5 years on their respective website."

**10A. Action for non-compliance of the Provisions of the Order:** In case restrictive or discriminatory conditions against domestic suppliers are included in bid documents, an inquiry shall be conducted by the Administrative Department undertaking the procurement (including procurement by any entity under its administrative control) to fix responsibility for the same. Thereafter, appropriate action, administrative or otherwise, shall be taken against erring officials of procurement entities under relevant provisions. Intimation on all such actions shall be sent to the Standing Committee.

11. **Assessment of supply base by Nodal Ministries:** The Nodal Ministry shall keep in view the domestic manufacturing / supply base and assess the available capacity and the extent of local competition while identifying items and prescribing the higher minimum local content or the manner of its calculation, with a view to avoiding cost increase from the operation of this Order.
12. **Increase in minimum local content:** The Nodal Ministry may annually review the local content requirements with a view to increasing them, subject to availability of sufficient local competition with adequate quality.
13. **Manufacture under license/ technology collaboration agreements with phased indigenization:** While notifying the minimum local content, Nodal Ministries may make special provisions for exempting suppliers from meeting the stipulated local content if the product is being manufactured in India under a license from a foreign manufacturer who holds intellectual property rights and where there is a technology collaboration agreement / transfer of technology agreement for indigenous manufacture of a product developed abroad with clear phasing of increase in local content.

13A. In procurement of all goods, services or works in respect of which there is substantial quantity of public procurement and for which the nodal ministry has not notified that there is sufficient local capacity and local competition, the concerned nodal ministry shall notify an upper threshold value of procurement beyond which foreign companies shall enter into a joint venture with an Indian company to participate in the tender. Procuring entities, while procuring such items beyond the notified threshold value, shall prescribe in their respective tenders that foreign companies may enter into a joint venture with an Indian company to participate in the tender. The procuring Ministries/Departments shall also make special provisions for exempting such joint ventures from meeting the stipulated minimum local content requirement, which shall be increased in a phased manner.

14. **Powers to grant exemption and to reduce minimum local content:** The administrative Department undertaking the procurement (including

procurement by any entity under its administrative control), with the approval of their Minister-in-charge, may by written order, for reasons to be recorded in writing,

- a. reduce the minimum local content below the prescribed level; or
- b. reduce the margin of purchase preference below 20%; or
- c. exempt any particular item or supplying entities from the operation of this Order or any part of the Order.

The Administrative Department, while seeking exemption under this para, shall certify that such an item(s) has not been notified by Nodal Ministry/ Department concerned under para 3 (a) of the Order.

A copy of every such order shall be provided to the Standing Committee and concerned Nodal Ministry / Department. The Nodal Ministry / Department concerned will continue to have the power to vary its notification on Minimum Local Content.

15. **Directions to Government companies:** In respect of Government companies and other procuring entities not governed by the General Financial Rules, the administrative Ministry or Department shall issue policy directions requiring compliance with this Order.
16. **Standing Committee:** A standing committee is hereby constituted with the following membership:  
Secretary, Department for Promotion of Industry and Internal Trade - Chairman  
Secretary, Commerce—Member  
Secretary, Ministry of Electronics and Information Technology—Member Joint Secretary (Public Procurement), Department of Expenditure—Member Joint Secretary (DPIIT)—Member-Convenor

The Secretary of the Department concerned with a particular item shall be a member in respect of issues relating to such item. The Chairman of the Committee may co-opt technical experts as relevant to any issue or class of issues under its consideration.

17. **Functions of the Standing Committee:** The Standing Committee shall meet as often as necessary, but not less than once in six months. The Committee
  - a. shall oversee the implementation of this order and issues arising therefrom, and make recommendations to Nodal Ministries and procuring entities.
  - b. shall annually assess and periodically monitor compliance with this Order
  - c. shall identify Nodal Ministries and the allocation of items among them for issue of notifications on minimum local content
  - d. may require furnishing of details or returns regarding compliance with this Order and related matters
  - e. may, during the annual review or otherwise, assess issues, if any, where it is felt that the manner of implementation of the order results in any restrictive practices, cartelization or increase in public expenditure and suggest remedial measures
  - f. may examine cases covered by paragraph 13 above relating to manufacture under license/ technology transfer agreements with a view to satisfying itself that adequate mechanisms exist for enforcement of such agreements and for attaining the underlying objective of progressive indigenization

g. may consider any other issue relating to this Order which may arise.

18. **Removal of difficulties:** Ministries /Departments and the Boards of Directors of Government companies may issue such clarifications and instructions as may be necessary for the removal of any difficulties arising in the implementation of this Order.
19. **Ministries having existing policies:** Where any Ministry or Department has its own policy for preference to local content approved by the Cabinet after 1<sup>st</sup> January 2015, such policies will prevail over the provisions of this Order. All other existing orders on preference to local content shall be reviewed by the Nodal Ministries and revised as needed to conform to this Order, within two months of the issue of this Order.
20. **Transitional provision:** This Order shall not apply to any tender or procurement for which notice inviting tender or other form of procurement solicitation has been issued before the issue of this Order.



(Himani Pande)

Additional Secretary to the Government of India

Tel: 011-23038888

E-mail: ashpdpiit@gov.in

## 2.2.2 Public procurement (Preference to Make in India) Order, 2017-Revision of Exemption Limit for Procurement by Scientific and Research Institutions

**No. P-45021/2/2017-PP(BE-II)-Part (4) Vol.II**  
Government of India  
Ministry of Commerce and Industry  
Department for Promotion of Industry and Internal Trade  
(Public Procurement Division)

Vaniya Bhawan, New Delhi  
Date: ..08.07.2025

### **OFFICE MEMORANDUM**

**Subject: Public Procurement (Preference to Make in India) Order, 2017-Revision of Exemption Limit for Procurement by Scientific and Research Institutions-reg.**

The undersigned is directed to refer to Paragraph 4 of the Public Procurement (Preference to Make in India) Order, 2017, dated 19.07.2024 and to say that in case of procurement of scientific equipment /consumables by the scientific and research institutes including higher education institutes offering Doctoral programs, the exemption limit of small purchases for such institutions is increased from Rs 5 lakh to Rs 50 lakh from the date of issuance of this order. However, it shall be ensured by procuring entities that procurement is not split for the purpose of avoiding the provisions of this Order.

2. All other provisions of the PPP-MII Order, 2017 dated 19.07.2024 shall remain unchanged.
3. This issue with the approval of the Competent Authority.

  
(Himani Panda)  
Additional Secretary to the Government of India  
Email: ashpdpiit@gov.in  
Tele No. 011-23038888

To,

All Secretaries to the Government of India

## 2.3 Ministry of Science and Technology, Department of Science and Technology

### 2.3.1 DST Notification of 10 items (having sufficient local capacity and competition) under Scientific Lab and Test Equipment - Public procurement (Preference to Make in India) Order, 2017-reg.

No.Misc.1/03/2021-CDN(e-31937)  
Government of India  
Ministry of Science and Technology  
Department of Science and Technology  
R&D Infrastructure Division

Technology Bhavan,  
New Mehrauli Road,  
New Delhi-110016  
Dated: 29.05.2025

#### **ORDER**

**Subject:** Notification of 10 items under Scientific Lab and Test Equipment - Public procurement (Preference to Make in India) Order, 2017-reg.

In pursuance of the policy of the Government of India to encourage 'Make in India' and promote manufacturing and production of goods and services in India, as enunciated under Public Procurement (Preference to Make in India) Order, 2017 dated 16.09.2020 and its revised order No.45021/2/2017-PP(B.E.II)-Part(4)Vol.II dated 19.07.2024, to encourage 'Make In India' and promote manufacturing and production of goods and services in India with a view to enhancing income and employment.

The Department of Science and Technology, being the Nodal Department for 'Scientific lab and Test Equipment' had already notified the list of 26 items for 'Scientific lab and Test equipment', have minimum local content as required for Class-I local suppliers, and having sufficient local capacity and competition, vide Order No. 1/03/2021-CDN(e-31937) dated 29.11.2022. DST have identified further 10 items (Annexed), under the category of "Scientific lab and Test equipment", having sufficient local capacity and competition, with specific HSN codes to align with Para 3(a) of PPP-MII Order dated 19.07.2024. The scientific equipment included in the list are widely used in research laboratories, and their supply is readily available through Indian vendors. Furthermore, there appears to be adequate local manufacturing capacity for these items.

#### **List of Items under the category of Scientific Lab and Test Equipment**

S. No.	Name of the Item	HSN Codes
1.	Autoclave (Horizontal and vertical)	84192010
2.	pH meter	90279090 9031
3.	Gas chromatography (GC)	90272000
4.	Mass Flow Controllers	90261010
5.	Industrial Chiller	84198990

6.	Air Flow Cabinet	84192090
7.	Minus 20 Laboratory Deep Freezer	841830 841840
8.	Hot air oven	85143090
9.	6000 Kgf Electrodynamic Vibration Shaker System	90318000
10.	Thermal Chamber	84171000

This order shall be applicable in respect of the procurement made by attached or subordinate officers or autonomous bodies under the Government of India including Government Companies as defined in the Companies Act, and/or the States and Local Bodies making procurement under all Central Schemes/Central Sector Schemes where the Schemes are fully or partially funded by Government of India. It is also to inform that Department of Science and Technology will keep updating the list on the basis of information received from procuring entities and other stakeholders.

This issues with the approval of competent authority.



(Dr. Shivprasad Amaravayal)  
Scientist B, R&D Infrastructure Division  
shiva.prasad@nic.in

Copy to:

1. All Ministries/Departments of Government of India.
2. Cabinet Secretariat.
3. PMO.
4. NITI Aayog.
5. Comptroller and Auditor General of India.
6. Joint Secretary, DPIIT, Member-Convener of Standing Committee of Public Procurement Order.
7. Autonomous Institutions of DST.
8. Secretary, Department of Higher Education, 127-C, Shastri Bhawan, New Delhi.
9. Secretary, Department of Biotechnology, 6<sup>th</sup> – 8<sup>th</sup> Floor, Block 2, CGO Complex, Lodhi Road, New Delhi-110003.
10. Director General CSIR-cum-Secretary Department of Scientific and Industrial Research, Anusandhan Bhawan, Rafi Marg, New Delhi.
11. Chairman, Defence Research and Development Organization, DRDO Bhawan, Rajaji Marg, New Delhi-110011.
12. Secretary, Ministry of Environment, Forest and Climate Change, India Paryavaran Bhawan, Jor Bagh, New Delhi-110003.

13. Secretary, Ministry of Micro, Small and Medium Enterprises (MSME), Udyog Bhawan, Rafi Marg, New Delhi-110011.
14. President, Federation of Indian Chambers of Commerce & Industry (FICCI), Federation House, Tansen Marg, New Delhi-110001.
15. President, Confederation of India Industry (CII), The Mantosh Sondhi Centre, 23, Institutional Area, Lodhi Road, New Delhi-110003.
16. Secretary, Anusandhan National Research Foundation (ANRF), 3<sup>rd</sup> & 4<sup>th</sup> Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi-110016.
17. Secretary, Technology Development Board (TDB), 2<sup>nd</sup> Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi-110016.
18. Director, Indian Institute of Technology, Hauz Khas, New Delhi-110016.
19. PS to JS (Admn.), Department of Science & Technology.

*Bund*

## **2.4 Anusandhan National Research Foundation**

### **2.4.1 ANRF Terms and Conditions & Relevant General Financial Rules for grantee's**

#### **General Terms and Conditions for ANRF Grants**

1. The grant-in-aid being released is subject to the condition that:-
  - a) A transparent procurement procedure in line with provisions of General Financial Rules 2017 will be followed by the Institute/Organisation under the appropriate rule of the grantee organization while procuring capital assets sanctioned for the above-mentioned project, and a certificate to this effect will be submitted by the Grantee organization immediately on receipt of the grant.
  - b) While submitting the utilization certificate/Statement of Expenditure, the organization has to ensure submission of supporting documentary evidence with regard to the purchase of equipment/capital/assets as per the provisions of GFR 2017. Subsequent release of grants under the project shall be considered only on receipt of the said documents.
2. As per FGR 2017 Rule 230 (17), “the Grantee Institute should agree to make reservations for Scheduled Castes and Scheduled Tribes or OBC in the posts or services under its control on the lines indicated by the Government of India.”
3. The account of the grantee organisation shall be open to inspection by the sanctioning authority and audit (both by C&AG of India and Internal Audit by the Office of the CEO ANRF or representative), whenever the organisation is called upon, Rule 236 (1) of General Financial Rules 2017.
4. Due acknowledgement of technical support/ financial assistance resulting from this project grant should mandatorily be highlighted by the grantee organization in bold letters in all publications/media releases, as well as in the opening paragraphs of their Annual Reports during and after the completion of the project.
5. Goods (consumables/Equipment) available in the GeM portal are to be procured mandatorily online through GeM only as per the provisions of Rule 149 of GFR.
6. The Grantee Institute should follow Global Tendering Enquiry (GTE) conditions as per Department of Expenditure ID Note No. 4/1/2021-PPD dated 10.09.2021.
7. If a one-time assistance or non-recurring grant, such as Grant-in-Aid for Rs. 10.00 lakhs to Rs. 50.00 lakhs, should be included in the Annual Report of the Institute.
8. The Grantee Institute must ensure any other provision of GFR 2017 and guidelines/amendments issued from Govt of India from time to time.
9. To maintain transparency and accountability, the facilities acquired from the ANRF Grant should be mapped to the Indian Science Technology and

Engineering facilities Map i.e. I-STEM portal ([www.istem.gov.in](http://www.istem.gov.in)), and should be accessible to the scientific community and industry. ANRF should be informed after mapping the research facilities in the I-STEM Portal.

10. The Grantee Institution should follow and adopt the Scientific Social Responsibility (SSR) guidelines of the Ministry of Science & Technology, GoI, released in May 2022.

### **General Relevant General Financial Rules 2017 provisions for grantees**

**Rule 230 (8)** All interests or other earnings against Grants in aid or advances (other than reimbursement) released to any Grantee institution should be mandatorily remitted to the Consolidated Fund of India immediately after finalisation of the accounts. Such advances should not be allowed to be adjusted against future releases.

#### **Rule 233 Funding of Sponsored Projects or Schemes.**

(i) Ministries or Departments of Government sponsor projects or schemes to be undertaken by Universities, Indian Institute of Technology, and other similar Autonomous Organisations such as ICAR, CSIR, ICMR, etc., the results from which are expected to be in the national interest. Normally, the entire expenditure on such projects or schemes, including capital expenditure, is funded by the Ministry or Department. The funds released for such projects or schemes in one or more instalments are not treated as Grants-in-aid in the books of the implementing agency. Apart from the requirement to submit technical and financial reports upon completion of the project or scheme, a stipulation should be made in such cases that the ownership of **the physical and intellectual assets created or acquired out of such funds shall vest in the sponsor**. While the Project or Scheme is ongoing, the recipients should not treat such assets as their own assets in their Books of Accounts, but should disclose their holdings and use of such assets in the Notes to Accounts.

(ii) On completion of the Projects or Schemes and the receipt of technical and financial reports, the Ministries/Departments should decide and communicate to the implementing agencies whether the assets should be returned, sold, or retained by them.

[**Note:** In relaxation of the extant provisions of the rule, Scientific Departments are allowed to extend the provisions of Rule 233 (i) & (ii) to the private sector / NGOs who are commissioned to execute projects or schemes.]

(iii) If the assets are to be sold, the proceeds therefrom should be credited to the account of the sponsoring Department /Organisation. If the assets are allowed to be retained by the Institution/ Organisation, the implementing agency should include the assets at the book value in their own accounts.

**Rule 235** Accounts of Grantee Institutions. Institutions or Organisations receiving

Grants should, irrespective of the amount involved, be required to maintain subsidiary accounts of the Government grant and furnish to the Accounts Officer a set of audited statements of accounts. These audited statements of accounts should be required to be furnished after utilization of the Grants-in-aid or whenever called for.

**Rule 236 (1) Audit of Accounts.** The accounts of all Grantee Institutions or Organisations shall be open to inspection by the sanctioning authority and audit, both by the Comptroller and Auditor General of India under the provision of CAG(DPC) Act 1971 and internal audit by the Principal Accounts Office of the Ministry or Department, whenever the Institution or Organisation is called upon to do so and a provision to this effect should invariably be incorporated in all orders sanctioning Grants-in-aid.

**Rule 236 (2) (i)** The accounts of the Grantee Institution or Organisation shall be audited by the Comptroller and Auditor General of India under Section 14 of the Comptroller and Auditor General of India (Duties, Powers and Conditions of Service) Act, 1971, if the Grants or loans to the institution in a financial year are not less than Rupees twenty- five lakhs and also not less than seventy-five percent of the total expenditure of the Institution. The accounts may also be audited by the Comptroller and Auditor General of India if the Grants or loans in a financial year are not less than Rupees one crore. Where the accounts are so audited by the Comptroller and Auditor General of India in a financial year, he shall continue to audit the accounts for a further period of two years, notwithstanding that the conditions outlined above are not fulfilled.

(ii) Where any Grant and /or loan is given for any specific purpose to any Institution or Organisation or authority, not being a foreign State or international Body/Organization, the Comptroller and Auditor General is competent under Section 15 (1) of the CAG's (DPC) Act, 1971, to scrutinize the procedures by which the sanctioning authority satisfies itself as to the fulfillment of the conditions subject to which such Grants and/or loans were given and shall, for this purpose, have right of access to the books and accounts of that Institute or Organisation or authority.

**Rule 236 (3)** In all other cases, the Institution or Organisation shall get its accounts audited from Chartered Accountants of its own choice.

## 2.4.2 Fellowship – JRF, SRF and RA

**No. SB/S9/Z-06/2019**  
**Science and Engineering Research Board (SERB)**  
(A statutory body of Department of Science and Technology, Govt. of India)

Third & Fourth Floor,  
Block-II, Technology Bhawan  
New Mehrauli Road,  
New Delhi – 110 016

Dated: **01<sup>st</sup> February 2024**

### OFFICE MEMORANDUM

**Subject:** Revision of emoluments for JRF/SRF/RA engaged in R&D Programmes of Science and Engineering Research Board (SERB)

Consequent upon issuance of guidelines and revision of fellowship by Department of Science and Technology (DST) for JRF/SRF/RA, the Science and Engineering Research Board (SERB) has approved the adoption of norms and emoluments given as per Office Memorandum No. DST/PCPM/Z-06/2022 dated 26.06.2023, in SERB sponsored R&D Programmes. The DST OM is annexed below.

2. The revised emoluments will take effect from 01.01.2023.
3. The Grantee Institutions / Principal Investigators are advised to pay the arrears and enhanced emoluments from the grant available, and send the details of additional funds required due to revision of fellowship, along with a certificate that the research fellow working in the project satisfy the eligibility conditions as prescribed in the Office Memorandum No. DST/PCPM/Z-06/2022 dated 26.06.2023, to the Program Officer concerned.
4. Service conditions of the JRF/SRF/RA will remain the same as given in the DST Office Memorandum No. DST/PCPM/Z-06/2022 dated 26.06.2023.
5. This issues with the approval of the SERB Board and concurrence of the competent authority in SERB.



(Dr. S.V. Prasanna)  
Scientist – E / Tel. No. 011- 2651 1081

Copy to:

1. Program Coordinators / Member Secretaries
2. PS to Secretary, SERB
3. PPS to Secretary, DST
4. PS to AS & FA, DST
5. Director, SERB
6. Notice Board / SERB Web Portal

**DST/PCPM/Z-06/2022**  
**(E-file -41804)**  
**Government of India**  
**Ministry of Science & Technology**  
**Department of Science & Technology**

Technology Bhavan  
New Mehrauli Road  
New Delhi-110016  
Dated: 26<sup>th</sup> June 2023

**OFFICE MEMORANDUM**

**Subject: Revision of emoluments and guidelines on service conditions for Research Personnel engaged in R&D programme of the Central Government Departments/ Agencies**

Attention is invited to the Office Memorandum (O.M.) No. SR/S9/Z- 08/2018 dated 30.01.2019 issued by the Department of Science and Technology, Government of India on the above subject. The matter has been further considered by the Government and the following revised emoluments have been approved. The O.M. is applicable to the research personnel working on R&D programmes funded by the Central Government Department/Agencies.

**1. Emoluments:**

**A. Junior Research Fellow (JRF) / Senior Research Fellow (SRF)**

Sl. No.	Designation & Qualification	Revised Emoluments per month
I	<b>Junior Research Fellow (JRF)</b>  Post Graduate Degree in Basic Science OR Graduate / Post Graduate Degree in Professional Course selected through a process described through any one of the following:  a. Scholars who are selected through National Eligibility Tests - CSIR-UGC NET including lectureship (Assistant Professorship) and GATE. b. The selection process through National level examinations conducted by Central Government Departments and their Agencies and Institutions such as DST, DBT, DAE, DOS, DRDO, MoE, ICAR, ICMR, IIT, IISc, IISER, NISER etc.	Rs. 37,000/-

*P. Yadav*

<b>II</b>	<b>Senior Research Fellow (SRF)</b>  Qualification prescribed for JRF with two years of research experience	Rs. 42,000/-
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A.1 After completion of two years, an external assessment by the Institution where the student is enrolled for Ph.D. is mandatory for upgradation from JRF to SRF. The fellow may be awarded SRF after successful assessment.

A.2 Annual Satisfactory Assessment is mandatory to continue the benefit of fellowship during SRF period.

#### **B. Research Associate**

Research associates may be fixed at a consolidated amount at one of the 3 pay levels given below depending upon the qualification and experience. The Institute/Organization concerned may decide the level in which a particular associate should be placed based on the experience. The Essential Qualification (EQ) for RA is as follows:

Ph.D./MD/MS/MDS or equivalent degree or having 3 years of research, teaching and design and development experience after MVSc/M.Pharm/ME/M.Tech with at least one research paper in Science Citation Indexed (SCI) journal.

Sl. No.	Category	Revised Emoluments per month
I	Research Associate –I	Rs. 58,000/-
II	Research Associate –II	Rs. 61,000/-
III	Research Associate –III	Rs. 67,000/-

#### **2. Service Conditions:**

- i. **DA:** JRFs, SRFs, and Research Associates will not be entitled to DA.
- ii. **House Rent Allowance (HRA):** All research fellows may be provided hostel accommodation wherever available. Research fellowship holders residing in hostels shall not be entitled for HRA. Wherever provision of hostel accommodation is not possible, HRA may be allowed to all the above categories viz. JRF, SRF, and RA as per Central Government norms applicable in the city/ location where they are working. The percentage required for calculating HRA will be based on the fellowship amount.
- iii. **Medical Benefits:** The research fellows and research associates (JRF/SRF/RA) will be entitled to medical allowance as applicable in the implementing institute.

*Tyada*

- iv. **Leave and other entitlements:** The JRF/SRF are eligible only for Casual leave while Research Associates are entitled to leave as per the rules of the host institution. Participation of any of these categories (JRF/SRF/RA) in scientific events/ workshops in India or abroad will be treated as "on duty" with due approval of the host institution. The travel entitlement for JRF/SRF/RA for participation in scientific events/workshops in India will continue to be the same as earlier i.e. 2<sup>nd</sup> AC by rail. Maternity leave as per the Govt. of India instructions issued from time to time would be available to female candidates in all categories.
- v. **Bonus & Leave Travel Concession:** JRFs, SRFs and Research Associates will not be entitled to these allowances.
- vi. **Retirement Benefits:** JRFs, SRFs, and Research Associates will not be entitled to these benefits.
- vii. **Publication/Patent:** The results of JRF/SRF/RA's work research work maybe published preferably in standard refereed journals with the concurrence of the Fellow and his/her Supervisor / Advisor. It should be ensured by the fellow that the assistance provided by the funding agency of the Government of India is acknowledged in all such publications.
- viii. **Obligation of JRF/SRF/RA:**
- a) He / She shall be governed by the disciplinary regulations of the host Institute where he/she is working.
- b) The JRF/SRF/RA must send a report of the research work done during the period of Fellowship as may be asked by the sponsoring agency.
3. Central Government Departments /Agencies are requested to ensure that the above guidelines are followed in regard to the remuneration and other benefits to the research personnel engaged in R&D projects funded by them.
4. Selection for award of fellowship shall ordinarily be through common competitive examinations. However, for subjects where there is no examination presently, Government Department and their authorized agencies and institutions may start conducting examination to screen candidates for award of fellowships. This shall not be applied retrospectively and the persons already enrolled shall be exempted.
5. Departments/Ministries concerned should meet the additional financial burden from their existing outlay under the respective schemes by efficient utilization of resources and cutting down on non-priority activities. Subsequently, if additional resources are needed, the same will be considered by the Ministry of Finance based on pace of expenditure and extent of savings in non-priority activities.

*Lyadav*

6. The revised emoluments will take effect from 01.01.2023.

7. This issues with the approval of the Department of Expenditure, Ministry of Finance vide DoE O.M No. 33(14)/PFC-II/2018 dated 21.06.2023.

*Ryadav*  
26/06/2023

(Rahul Yadav)  
Deputy Secretary (Finance)

To

1. All Ministries/Departments/Agencies of the Government of India
2. All Heads of DST

## 2.4.3 Fellowship – Other than JRF, SRF, RA etc.

**ANRF/OM/N-01/2024**

**Anusandhan National Research Foundation  
(Statutory Body Created by an Act of Parliament)**

3rd & 4th Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi – 110016

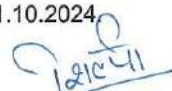
Dated: 14<sup>th</sup> October 2024

### **OFFICE MEMORANDUM**

Subject: Scientific / technical manpower other than JRF/SRF/RA in R&D Programs of ANRF: Guidelines and Emoluments

Ausandhan National Research Foundation (ANRF) has approved guidelines and emolument norms for Scientific / Technical Manpower other than JRF/SRF/RA in ANRF sponsored R&D Programs.

2. Specific manpower positions suitable for inducting in R&D projects with remuneration, essential qualification, upper age-limit and other guidelines as adopted are detailed in Annexure. These manpower positions would be adopted in R&D Programs and projects of ANRF. The guidelines help the Principal Investigators (PIs) / Institutes to choose appropriate manpower positions with required qualifications for successful implementation of projects. All Manpower positions in projects will be co-terminus with the project.
3. These norms and emoluments will take effect from April 01, 2024.
4. This issue with the approval of CEO -ANRF vide Diary No.700 dated 01.10.2024.



Dr Shilpi Paul

Scientist F

Copy to:

1. Program Coordinators / Member Secretaries
2. PPS to CEO- ANRF
3. Director, ANRF
4. All other concerned
5. ANRF Website/ ANRF online portal

**Annexure**

**Manpower Positions in ANRF Projects**

**Table A: Scientific / Technical Manpower positions with remuneration and essential qualification**

Sl. No.	Manpower Position	Essential Qualification	Monthly Emoluments (₹)
1	Scientific Administrative Assistant / Field Worker	Graduate degree in any discipline	24,000/- + HRA
2	Laboratory Assistant/Technician / Project Assistant / Technical Assistant / Field Assistant	Bachelor's degree in science / 3 years Diploma in Engineering & Technology	27,000/- + HRA Increment of 15% for 3 years of experience with a maximum ceiling of 4 such revisions i.e. up to 12 years of experience
3	A. Project Associate-I	Four years Bachelor's Degree in Natural or Agricultural Sciences / Master's Degree in Natural or Agricultural Sciences / BVSc / B. Pharm or Bachelor's degree in Engineering or Technology or Medicine or from a recognized University or equivalent	(i) 37,000/- + HRA to Scholars who are selected through  (a) National Eligibility Tests - CSIR-UGC NET including Lectureship (Assistant Professorship) or GATE or  (b) A selection process through National level examinations conducted by Central Government Departments and their Agencies and Institutions  (ii) 30,000/- + HRA for others who do not fall under (i) above
	B. Project Associate-II	Four years Bachelor's Degree in Natural or Agricultural Sciences / Master's Degree in Natural or Agricultural Sciences / BVSc/BPharm or Bachelor's degree in Engineering or Technology or Medicine or from a recognized University or equivalent and Two years' experience in	(i) 42,000/- + HRA to Scholars who are selected through a process as mentioned in 3(i) above.  (ii) 33,000/- + HRA for others who do not fall under (i) above

*Handwritten signature/initials*

		R&D in Industrial and Academic Institutions or Science and Technology Organizations and Scientific activities and services	
4	Senior Project Associate	<p>Four years Bachelor's Degree in Natural or Agricultural Sciences / Master's Degree in Natural or Agricultural Sciences / BVSc / BPharm or bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent and</p> <p>Four years' experience in R&amp;D in industrial and academic institutions or S&amp;T organizations and scientific activities and services</p> <p>OR</p> <p>Master's Degree in Engineering or Technology from a recognized university or equivalent and</p> <p>Two year's experience in R&amp;D in industrial and academic institutions or S&amp;T organizations and scientific activities and services</p> <p>OR</p> <p>Doctoral Degree in Science / Engineering / Technology / Pharma / MD / Master of Surgery from a recognized University or equivalent</p>	57,000/- + HRA
5.	Principal Project Associate	<p>Four years Bachelor's Degree in Natural or Agricultural Sciences / Master's Degree in Natural or Agricultural Sciences / BVSc / B. Pharm or Bachelor's degree in Engineering or</p>	67,000/- + HRA

		<p>Technology or Medicine from a recognized University or equivalent and  Eight years' experience in R&amp;D in industrial and academic institutions or S&amp;T organizations and scientific activities and services, out of which four years should be in science and technology program, planning, development and co-operation  OR  Master's Degree in Engineering or Technology from a recognized university or equivalent and  Six years' experience in R&amp;D in industrial and academic institutions or S&amp;T organizations and scientific activities and services  OR  Doctoral Degree in Science / Engineering / Technology / Pharma / MD / Master of Surgery from a recognized University or equivalent and  Four year's experience in R&amp;D in industrial and academic institutions or S&amp;T organizations and scientific activities and services</p>	
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**Table B: Scientific / Technical Manpower positions for mission mode projects, and projects with budget outlay of more than Rs 5.0 Crores**

Sl. No.	Manpower Position	Essential Qualification	Monthly Emoluments (₹)
1	Project Scientist I	Doctoral Degree in Science or Master's Degree in Engineering or Technology from a recognized university or equivalent	77,000/- + HRA Increment of 5% for every 2 years of experience subject to performance review

4 

2	Project Scientist II	Doctoral Degree in Science or Master's Degree in Engineering or Technology from a recognized university or equivalent and Three years' experience in R&D in industrial and academic institutions or S&T organizations and scientific activities and services	92,000/- + HRA Increment of 5% for every 2 years of experience subject to performance review
3	Project Scientist III	Doctoral Degree in Science or Master's Degree in Engineering or Technology from a recognized university or equivalent and Seven years' experience in R&D in industrial and academic institutions or S&T organizations and scientific activities and services	1,07,000/- +HRA Increment of 5% for every 2 years of experience subject to performance review
4	Project Manager	Doctoral Degree in Science or Master's Degree in Engineering or Technology from a recognized university or equivalent	60,000 – 1,25,000/- (Consolidated)
5	Senior Project Manager	Doctorate Degree in Science or Master's Degree in Engineering or Technology from a recognized university or equivalent and Five year's experience in relevant field	1,25,000 – 2,00,000/- (Consolidated)
6	Principal Project Manager	Doctorate Degree in Science or Master's Degree in Engineering or Technology from a recognized University or equivalent and Ten years of experience in relevant field	2,00,000 – 3,50,000/- (Consolidated)

## II. Selection Process

A Selection Committee with the following composition (minimum) would be constituted by the Head of the grantee institution for selection of the candidate/s:

1. Director / Head of the Institution or nominee
2. One subject expert from the Institute
3. One subject expert from outside the Department / Institute
4. Principal Investigator

*P. S. Choudhary*

### III. Service conditions of Scientific / Technical manpower

1. **Age Limit:** Upper Age Limit for all the manpower positions specified in Table A and Table B will be 50 yrs and 55 yrs, respectively. The service duration should not exceed beyond 60 yrs of age.
2. **Dearness Allowance (DA) & Child Care Allowance (CCA):** Scientific / Technical Manpower in projects are not entitled to DA & CCA.
3. **House Rent Allowance (HRA):** HRA is allowed for all categories, except for Project Manager/Senior/Principal Project Manager, as per Central Government norms applicable in the city/location where they are working. The percentage required for calculating HRA will be based on the remuneration.
4. **Medical Benefits:** The Scientific/Technical manpower will be entitled for medical benefits as applicable in the implementing institution.
5. **Leave and other entitlements:** The Scientific / Technical manpower is entitled to leave as per rules of the host institution. Maternity / Paternity leave as per the Govt. of India instructions issued from time to time would be available to all categories. The travel entitlement is as per Institute norms.
6. **Bonus, Gratuity & Leave Travel Concession:** The Scientific/Technical manpower will not be entitled to these allowances.
7. Remuneration is taxable as per norms.
8. All manpower positions are co-terminus with the project.

*12/10/11*

## 2.4.4 HRA norms

ANRF/HRA/2025/01  
अनुसंधान नेशनल रिसर्च फाउंडेशन  
ANUSANDHAN NATIONAL RESEARCH FOUNDATION (ANRF)  
3<sup>rd</sup> & 4<sup>th</sup> Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi - 110016


Dated: 03.06.2025

### Corrigendum

**Subject:** House Rent Allowance (HRA) for the research personnel engaged in the ANRF projects – reg. corrigendum

With reference to the OM No. dated 13.3.2025, the House Rent Allowance (HRA) for the research personnel engaged in ANRF (including the erstwhile SERB) funded projects may be read as 30, 20 and 10% applicable for the cities classified in X, Y and Z categories, respectively.

All other terms and conditions remain unchanged.

  
3/6/25  
Dr. T. Thangaradjou  
Scientist F

### Copy to:

1. All Officers of ANRF
2. PS to CEO ANRF
3. Director ANRF
4. All other concerned
5. ANRF Website / ANRF online portal

ANRF/HRA/2025/01  
अनुसंधान नेशनल रिसर्च फाउंडेशन  
ANUSANDHAN NATIONAL RESEARCH FOUNDATION (ANRF)  
3<sup>rd</sup> & 4<sup>th</sup> Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi - 110016

Dated: 13.03.2025

OFFICE MEMORANDUM

**Subject:** House Rent Allowance (HRA) for the research personnel engaged in the ANRF projects – reg.

The House Rent Allowance (HRA) for the research personnel engaged in ANRF (including the erstwhile SERB) funded projects shall be 10, 20, and 30% applicable for the cities classified in X, Y, and Z categories, respectively.

This will take effect from the date of issue of this order, i.e. 13.03.2025. This issues with the approval of the CEO ANRF vide Diary No. 1106/ANRF dated 13.03.2025.

  
13/3/25  
Dr. T. Thangaradjou  
Scientist F

**Copy to:**

1. All Officers of ANRF
2. PS to CEO ANRF
3. Director ANRF
4. All other concerned
5. ANRF Website / ANRF online portal

## 2.4.5 Revised norms of Travel, Contingency, overhead charges etc.

ANRF/OM/N-01/2024

**ANUSANDHAN NATIONAL RESEARCH FOUNDATION**

**(Statutory Body created by an Act of Parliament: ANRF Act 2023)**

3rd & 4th Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi - 110016

Dated: 14<sup>th</sup> October 2024

### OFFICE MEMORANDUM

**Subject:** Norms for Overheads, Travel, Contingencies, publication and patent filing charges in the projects funded by Anusandhan National Research Foundation

Anusandhan National Research Foundation has approved the norms for overhead, travel, contingencies, payment towards open access publications and patent filing. These norms are applicable to all projects funded by ANRF.

**(A) Overheads:** Overheads charges for ANRF projects are as follows:

Project Cost	Overhead Cost
Upto Rs.1 Cr	Academic institutions: 20% of the total cost National labs/ R&D institutions: 10% of the total cost
Above Rs.1 Cr and upto Rs. 5Cr	Academic institutions: 20 Lakh or 15 % of the total cost, whichever is maximum National labs/ R&D institutions: 10 Lakh or 7.5% of the total cost, whichever is maximum
Above Rs. 5 Cr and upto Rs. 10 Cr	Rs. 75 Lakh
Above Rs. 10 Cr and upto Rs. 50 Cr	Rs. 1.5Cr
Above Rs. 50 Cr	Quantum decided on case-to-case basis

**(B) Travel & Contingencies Budget:** Budget upto Rs. 5 Lakh each under travel and contingency heads of individual-centric projects will be provided. Higher amount, based on the recommendations of the Expert Committee/PAC, to be provided where the research work involves field work or/and project has many investigators / institutions and larger manpower. The contingency amount may also be used for paying Registration Fees for attending international conferences.

**(C) International travel:** International travel will be allowed within the sanctioned budget under travel head related to project work.



**(D) Publication and patent filing charges:** Payment towards open access publications, limited to publications in top journals of any discipline, and patent filing charges will be provided.

2. Other norms and guidelines will remain the same.

3. The revised norms will take effect from 1st October, 2024 and the projects which are already approved will not be re-opened for revision on account of this OM.

4. This issue with the approval of CEO -ANRF vide Diary No.700 dated 01.10.2024



Shilpi Paul  
Scientist F

Copy to:

1. Program Coordinators / Member Secretaries
2. PPS to CEO- ANRF
3. Director, ANRF
4. All other concerned
5. ANRF Website/ ANRF online portal

## 2.4.6 Serving of refreshment during meetings

No. 7(3)/E-Coord/2013  
Government of India  
Ministry of Finance  
Department of Expenditure  
\*\*\*

Dated the 6<sup>th</sup> May, 2015

### OFFICE MEMORANDUM

Subject: Economy in expenditure – serving of refreshments during meetings etc.

The undersigned is directed to refer to the Department of Expenditure O.M. No. OM No. 7(1)/E.Coord/2014 dated 29-10-2014 on the subject mentioned above whereby a ban has been imposed on holding meetings and conferences at Five Star Hotels except in case of bi-lateral / multi-lateral official engagements which are held at the level of Minister-in-Charge or Administrative Secretary with Foreign Governments or International Bodies of which India is a Member.


2. A number of references from various Ministries are being received where in view of the nature / level of international engagements as also availability of venue for such meetings, official engagements are proposed in Five Star Hotels and such meetings include extension of hospitality in the form of Lunch / Dinner etc.

3. In this context, it has been decided to extend rates as fixed by MEA for Lunch / Dinner as follows:-

BANQUET RATES	
Function	Rates
Buffet lunch	Rs. 950
Buffet Dinner	Rs. 950
Sit down lunch	Rs. 950
Sit down dinner	Rs. 1050
Cocktail	Rs. 575

4. The Administrative Secretary in consultation with the Financial Advisor would need to exercise utmost discretion and ensure that the above ceiling is adhered to keeping in view the austerity instructions contained in Department of Expenditure OM No. 7(1)/E.Coord/2014 dated 29-10-2014 and Cabinet Secretary's D.O. No. 213/1/2/2015-CA.IV dated 11-02-2015 for strict compliance.

5. This issues with the approval of Secretary (Expenditure).

  
[N. Radhakrishnan]  
Director

Secretaries of All Ministries / Departments  
All Financial Advisors

No. 7(3)/E-Coord/2013  
Government of India  
Ministry of Finance  
Department of Expenditure  
\*\*\*

North Block, New Delhi  
Dated the 6<sup>th</sup> May, 2015

**OFFICE MEMORANDUM**

Subject: Economy in expenditure – serving of refreshments during meetings etc.

The undersigned is directed to refer to the Department of Expenditure O.M. No. 7(2)E-Coord/03 dated 25.3.2004 on the subject mentioned above whereby the ceiling of Rs. 150/- per head was fixed for serving refreshment/working lunch during meetings/seminars/conferences.

2. A number of proposals have been received from various Ministries/Departments seeking relaxation of the above ceiling.

3. The matter has been re-examined and it has been decided to revise the ceiling of Rs. 150/- per head for serving refreshments/working lunch during meetings/seminars/conferences etc. in the following manner –

S.No.	Item	Ceiling (Rs.)
1.	Tea+Snacks	Rs. 200/-
2.	High Tea	Rs. 500/-
3.	Lunch/Dinner	Rs. 750/-

4. The Administrative Secretary in consultation with the Financial Advisor would need to exercise utmost discretion while deciding expenditure on above account keeping in mind economy in expenditure and adherence of financial rules/norms/propriety.

5. This issues with the approval of Secretary (Expenditure).

  
[N. Radhakrishnan]  
Director

Secretaries of all Ministries / Departments  
All Financial Advisors

## 2.4.7 Instructions regarding Air Travel on Government account

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No. 19024/03/2021-E.IV  
Government of India  
Ministry of Finance  
Department of Expenditure  
\*\*\*

North Block, New Delhi.  
Dated the 16<sup>th</sup> February, 2022

### OFFICE MEMORANDUM

**Subject: Modification of instructions regarding Air Travel on Government account.**

The undersigned is directed to refer to this Department's O.M. dated 31.12.2021 regarding booking of air tickets on Government account after disinvestment of Air India through three authorized agencies viz. Balmer & Lawrie, IRCTC and Ashok Travels. Several references have been received in this Department seeking clarification regarding booking of air tickets for Domestic and International travel by private airlines in view of the disinvestment of Air India.

2. It is clarified that the air travel on Government account both Domestic (including LTC) and International travel can be made by private airlines. Tickets shall be purchased only through the above three authorized agents.

3. This is issued with the approval of the Finance Secretary & Secretary (Expenditure).

  
(Nirmala Dev)  
Director

To,

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

Copy : O/o C&AG, UPSC etc. as per standard endorsement list.

## 2.4.8 TA/DA entitlements of Non-Official members of Committees/ Boards/ Panels, etc.

F.No. 19047/1/2016-E.IV  
Government of India  
Ministry of Finance  
Department of Expenditure  
\*\*\*\*\*

North Block, New Delhi.  
Dated: 14.09.2017

### OFFICE MEMORANDUM

**Subject: TA/DA entitlements of Non-officials of Committees/Boards/Panels etc.**

The undersigned is directed to state that the issues related to payment of TA/DA to Non-officials of Committees/ Boards/ Panels etc. have been examined in D/o Expenditure. It has been decided that TA/DA entitlement of Non-officials may be regulated by the Administrative Ministries/ Departments in the following manner:-

**(I) Retired Govt. officials nominated as Non-official in the Committees/Boards/Panels etc. :**

TA/DA entitlement of these Non-officials will be same as per their entitlement at the time of retirement as per revised rates mentioned in this Department's O.M. No.19030/01/2017-E.IV dated 13.07.2017.

**(II) Persons from various fields nominated as Non-official in Committees/Boards/ Panels etc. :**

TA/DA entitlement of these Non-official will be same as admissible to officers in Pay level-11 (Pre-revised Grade Pay of Rs.6600/-) in the Pay Matrix. TA/DA Entitlements will be as under:-

- i) Travel entitlement within the country - Economy class by Air or AC-II by train.
- ii) Reimbursement for hotel accommodation/guest house of up to Rs.2250/- per day.
- iii) Reimbursement of non-AC taxi charges of up to Rs.338/- per day for travel within the city.
- iv) Reimbursement of food bills not exceeding Rs.900/- per day.

**(III) Eminent personalities nominated as Non-official in the Committees/Boards/Panels:**

TA/DA entitlement of these Non-officials will be same as admissible to officers in Pay level 14 (pre-revised Grade pay Rs.10,000/-) in the Pay Matrix. TA/DA Entitlements will be as under:

- i) Regarding travel entitlement of these Non-officials, Secretary in the Administrative Ministry, in consultation with the FA, may allow eminent personalities who are Non-officials in the Committees/Boards/Panels etc., to travel in Executive class in the Domestic airlines within the country subject to the following conditions :-
  - a) Where a Non-official is or was entitled to travel by air by Executive class under the rules of the organization to which he belongs or might have belonged before retirement.
  - b) Where the Administrative Ministry is satisfied that the travel by Executive class by air is the customary mode of travel by the Non-official concerned in respect of journeys unconnected with the performances of Govt. duty.
- ii) Reimbursement for hotel accommodation/guest house of up to Rs.7500/- per day.
- iii) Reimbursement of AC taxi charges as per actual for travel within the city.
- iv) Reimbursement of food bills not exceeding Rs.1200/- per day.

Contd..2/-

2. In respect of Non-officials who are local, Mileage Allowance at the following rates will be admissible:-
  - i) **For retired Government officers-** TA/DA as per their entitlement at the time of retirement as per revised rates mentioned in this Department's O.M. No.19030/01/2017-E.IV dated 13.07.2017.
  - ii) **Other Non-officials nominated from various fields** - Reimbursement of non-AC taxi charges of up to Rs.338/- per day for travel within the city.
  - iii) **For eminent personalities nominated as Non-officials** - Reimbursement of AC taxi charges as per actual for travel within the city.
3. The TA/DA entitlements mentioned in Para I above will be subject to the following conditions:-
  - i) These TA/DA entitlements will be applicable in case of Non-officials coming from outside. Local Non-officials will not be entitled for TA/DA.
  - ii) Local Non-officials will be entitled for Mileage Allowance only.
  - iii) Cases seeking deviation from the above entitlements may be referred to M/o Finance giving full justification for seeking deviation.
4. These instructions will be effective from the date of issue of this O.M.
5. This is issued with the approval of Finance Minister.



(Nirmala Dev)  
Deputy Secretary (EG)  
Telefax. 23093276

1. **Secretaries of all Ministries/ Departments (as per standard list)**
2. **Financial Advisors of all Ministries/ Departments as per standard list**

## 2.4.9 Anusandhan National Research Foundation (Utilisation of Research Development and Innovation Fund) Financial Rules, 2026.

### MINISTRY OF SCIENCE AND TECHNOLOGY

(Department of Science and Technology)

#### NOTIFICATION

New Delhi, the 2nd March, 2026

**G.S.R. 152(E).**— Whereas, sub-section (2) of section 13 of the Anusandhan National Research Foundation Act, 2023 (25 of 2023) provides that the Governing Board shall constitute various Funds, into which it shall allocate, in the manner as it determines fit, the amounts received from clauses (a), (b), (c), (d) and (f) of sub-section (1) of that section;

And whereas, clause (d) of sub-section (2) of section 13 of the Anusandhan National Research Foundation Act, 2023 (hereinafter referred to as the said Act) provides that the Governing Board shall constitute one or more Special Purpose Funds for any specific project or research;

And whereas, the Governing Board has constituted the Research Development and Innovation Fund under clause (d) of sub-section (2) of section 13 of the said Act and sub-section (4) of said section provides that the Central Government shall frame such financial rules for the utilisation of the amounts in the Funds established under the said Act;

And whereas, draft of the Special Financial Rules, 2025 for utilisation of the amounts in the Research Development and Innovation Fund was published as required under sub-section (1) of section 23 of the said Act in the Gazette of India, Extraordinary, Part II, Section 3, Sub-section (i), vide notification number G.S.R. 809 (E) dated the 1st November, 2025 inviting objections and suggestions from all persons likely to be affected thereby within thirty days from the date on which copies of the said notification published in the Gazette of India were made available to the public;

And whereas, the objections and suggestions received from the public in respect of the said draft rules have been duly considered;

Now, therefore, in exercise of the powers conferred by clause (f) of section 23 read with sub-section (4) of section 13 of the said Act, the Central Government hereby makes the following rules for the utilisation of the amounts in the Research Development and Innovation Fund, namely:

- 1. Short title and commencement.** – (1) These rules may be called the Anusandhan National Research Foundation (Utilisation of Research Development and Innovation Fund) Financial Rules, 2026.  
(2) They shall come into force on the date of their publication in the Official Gazette.
- 2. Financial Rules.** - For the purposes of the utilisation of the amounts in the Research Development and Innovation Fund established under the Anusandhan National Research Foundation Act, 2023 (25 of 2023), it shall confirm the rules specified in the Annexure annexed to those rules, which is also available at <https://rdifund.anrf.gov.in/>

[F. No. 01/RDI/ANRF-2025]

A. DHANALAKSHMI, Jt. Secy.

## ANNEXURE

**Rule 1 Definition.** In these rules, unless the context otherwise requires-

- 1) **Anusandhan National Research Foundation (ANRF):** means the Foundation established through the Anusandhan National Research Foundation Act, 2023.
- 2) **Alternative Investment Funds:** means Alternative Investment Funds, as defined in Section 2 (1) (b) of Securities and Exchange Board of India (Alternative Investment Fund) Regulations, 2012.
- 3) **Carried Interest:** means a percentage of profit generated from investments, and is a reward for the fund manager for maximising the return for investors in the Alternative Investment Fund.
- 4) **Consolidated Fund of India (CFI):** means the Consolidated Fund of India, as under Article 266(1) of the Constitution of India.
- 5) **Financial Year:** means the year beginning on the 1<sup>st</sup> of April and ending on 31<sup>st</sup> of March of the following year.
- 6) **Eligible Technology Entities:** means any legal entity which is engaged in developing RDI-intensive technology (TRL 4 and above). These could include companies registered the Companies Act 2013, partnerships registered under the Indian Partnership Act, 1932, and limited liability partnerships registered under the Limited Liability Partnership Act, 2008, engaged in scale-up of RDI-intensive technologies beyond Technology Readiness Level 4. These shall include startups as defined in the Department for Promotion of Industry and Internal Trade Notification G.S.R. 127(E) dated 19 February 2019, as may be modified from time to time.
- 7) **Empowered Group of Secretaries (EGoS):** means an Apex Level Committee of RDIF comprising of Cabinet Secretary as the Chair, Principal Scientific Advisor to the Government of India, Secretaries to the Government of India in the Department of Economic Affairs, Department of Promotion of Industry and Internal Trade, Department of Science and Technology, and other co-opted members depending on subjects/ sectors/ projects involved.
- 8) **Executive Council (EC):** means the Council constituted under Sub-section 1 of Section 7 of the Anusandhan National Research Foundation Act, 2023.
- 9) **Executive Director RDIF (ED RDIF):** Executive Director of RDIF, appointed by the Executive Council of ANRF, and to be responsible for the overall management of the RDIF
- 10) **Expert Advisory Committee:** means a committee constituted by the Executive Council under Sub-section 1 of Section 12 of the Anusandhan National Research Foundation Act, 2023, comprising of an eminent industry leader drawn from technology, industry, investment, and/ or R&D sectors as the Chair; three to four experts drawn from industry, investment, and/ or technology R&D sectors, and Executive Director as the Member Secretary of the Committee.
- 11) **Fund of Funds:** means Alternative Investment Funds which themselves invest in units of other AIFs as per the Securities and Exchange Board of India (Alternative Investment Fund) Regulations, 2012. Such an AIF would be referred to as a Fund of Funds. In such cases, these Funds of Funds shall ensure that any daughter AIFs to which it contributes RDIF funds (a) shall not themselves invest RDIF funds in units of other AIFs (b) shall themselves comply with all the provisions specified for, and be treated as, SLFMs.
- 12) **Intellectual Property Rights:** means rights pertaining to patents, trademarks, registered designs, copyrights and layout design of integrated circuits, and all other property rights protected by The Patents Act, 1970, as amended by the Patents (Amendment) Acts of 1999, 2002, and 2005; and other statutes and acts relevant to these rights.
- 13) **Investment Committee (IC):** means a committee set up by SLFMs, for assessing and vetting investment proposals presented by the Fund Management Team, and taking investment decisions.

- 14) **Management Fee:** means fees chargeable to the Alternative Investment Fund, as per the Investment Management Agreement between the fund and the fund manager. This fee is paid to the fund manager, which is usually specified as a percentage of the capital committed during the commitment period. Thereafter, it reduces to a fixed percentage of the actual invested capital, if it is lesser than the committed capital, or as a percentage of the underlying value of the assets under management (AUM) of the fund.
- 15) **Net Interest Margin:** means the difference between the interest rate at which any Second Level Fund Manager lends capital to Eligible Technology Entities, and that at which the said Second Level Fund Manager receives funding from RDIF.
- 16) **Quality and Cost Based Selection (QCBS):** means a selection process as defined in Rule 52 of Special Financial Rules of RDIF.
- 17) **Research Development & Innovation Fund (RDIF):** means a Special Purpose Fund of ANRF established as an Independent Business Unit under Clause (d) of Sub-Section (2) of Section 13 of the Anusandhan National Research Foundation Act, 2023 with a purpose to spur private sector's efforts in Research, Development, and Innovation.
- 18) **RDIF Professionals and Employees:** means the personnel as defined in the RDIF Governance Structure and Management Team document as approved by the EC.
- 19) **Second Level Fund Managers:** means Alternative Investment Funds, Development Finance Institutions, Non-banking Finance Corporations, and Focused Research Organisations which are selected to receive funds under the Research Development and Innovation Scheme to invest in Eligible Technology Entities the form of equity, debt, or a combination of both.
- 20) **Treasury Single Account:** means Treasury Single Account system as outlined in OM No. 3/(06)/PFMS/2023 dated 21st May, 2024.

**Rule 2 Removal of Doubts.** Where doubt arises as to the interpretation of any of the provisions of these Rules, the matter shall be referred to the Department of Science & Technology (DST) for decision.

**Rule 3 Modifications.**

- (i) The systems and procedures established by these Rules are subject to general or special instructions/ orders, which the DST may issue from time to time;
- (ii) The systems and procedures established by these Rules may be modified by DST only with the concurrence of the Department of Expenditure/Ministry of Finance.

**Rule 4** Notwithstanding anything stated under the General Financial Rules, 2017 (hereafter referred to as GFR) the financial transaction/governance related to this Special Purpose Fund (RDIF) shall be governed by these Special Financial Rules (hereafter referred to as SFR).

**Rule 5** Any matter unless otherwise specifically addressed in this SFR, the provisions of GFR shall apply till such time such provisions are made, amended and included in the SFR following the due process as provided for in Rule 5.

**Rule 6** It is the duty of the RDIF professionals and employees concerned to ensure that the receipts and dues of the RDIF are correctly and promptly assessed, collected and duly credited to the RDIF account.

**Rule 7** Amounts due to RDIF shall not be left outstanding without sufficient reasons. Where such amounts appear to be irrecoverable, the approval of the EC shall be obtained for their adjustment.

**Rule 8 Standards of financial propriety.** Every professional and employee of RDIF incurring or authorizing expenditure from RDIF should be guided by high standards of financial propriety. Every professional and employee should also enforce financial order and strict economy and see that all relevant financial rules and regulations are observed, by his own office and by subordinate disbursing professionals and employees. Among the principles on which emphasis is generally laid are the following:

- (i) Every professional and employee is expected to exercise the same vigilance in respect of expenditure incurred from RDIF money as a person of ordinary prudence would exercise in respect of expenditure of his own money.
- (ii) The expenditure should not be prima facie more than the occasion demands.
- (iii) No authority should exercise its powers of sanctioning expenditure to pass an order which will be directly or indirectly to its own advantage.
- (iv) Expenditure from RDIF moneys should not be incurred for the benefit of a particular person or a section of the people, unless –
  - a. a claim for the amount could be enforced in a Court of Law, or
  - b. the expenditure is in pursuance of a recognized policy or custom. [GFR Rule 21]

**Rule 9 Intellectual Property Rights.** In all cases, ownership of the physical and intellectual assets created or acquired out of funds provided by the RDIF shall vest with Eligible Technology Entities.

**Rule 10 Hiring of Full-time RDIF professionals and employees.** RDIF may select and hire competent and meritorious professionals and employees from the market at appropriate remuneration levels subject to the maximum compensation as approved by the competent authority for the positions created under RDIF.

**Rule 11 Part-time Hiring.** RDIF may hire part-time consultants/experts/agencies from the market at appropriate compensation rates.

**Rule 12** The flow of funds from RDIF to SLFM shall be done in “Just-In-Time” manner in the Treasury Single Account (TSA) system<sup>1</sup>. For this purpose, the ANRF shall open an account in Reserve Bank of India (RBI) for RDIF.

**Rule 13** RDIF shall open an account in any Scheduled Commercial Bank to receive fund returned by SLFMs, which includes principal/ interest repaid, exit proceeds, and other receipts etc.

**Rule 14** The fund flow from CFI to RDIF shall be provided based on half-yearly net requirements of funds for disbursement to SLFMs.

**Rule 15** DST will issue authorization to ANRF for RDIF based on half-yearly net fund requirement. Based on the authorisation issued by DST, fund shall be drawn in “Just- In-Time” manner by RDIF.

**Rule 16 Operational Expenditure of RDIF.** Direct budgetary support will be provided to meet operational expenditure (salary and administrative expenditure, etc) of RDIF. DST will create a separate budget line in its budget. Once RDIF starts getting returns from SLFMs and starts breaking even, the direct budgetary support will be stopped, as it is expected that RDIF will become self-sustaining with respect to operational expenses.

**Rule 17** RDIF shall have the freedom to invest the surplus fund, if any, in a deposit instrument, other than that mentioned in Rule 18, in any scheduled commercial bank, at market driven highest interest rate using a transparent bidding method.

**Rule 18** RDIF shall have to return the entire fund to the CFI only after 50 years, without any interest. The year means Financial Year.

**Rule 19** RDIF shall recycle the capital received from SLFMs to keep supporting research, development, and innovation efforts by the private sector.

**Rule 20** The Financial Year will be taken into consideration to calculate 50 years for the purpose of return. The money received in the respective Financial Year by RDIF is to be returned to CFI at the closure of the corresponding 50<sup>th</sup> Financial Year.

[**Note:** For example, let us say Rs 10,000 crore is received in Financial Year 2025-26, Rs 20,000 crores in Financial Year 2026-27, and so on. Then RDIF shall have to return

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<sup>1</sup> Ref: OM is No. 3/ (06)/PFMS/2023 dated 21st May, 2024.

Rs 10,000 crore in Financial Year 2075-76 (by 31st March 2076), Rs 20,000 crore in Financial Year 2076-77 (by 31st March 2077), and so on.]

**Rule 21** RDIF to return the loan to CFI in a manner such that the entire amount of Rs One Lakh Crore gets repatriated back to CFI in an efficient and timely manner after the time-period of 50 years in accordance with Rule 22.

- (i) In case, after return of Rs One Lakh Crore any surplus remains with RDIF, then the same shall also be returned to CFI.
- (ii) In case, there is any shortfall, then the same shall be written off following Rule 24.

**Rule 22 Write off.** In case there is a shortfall in returning the loan by RDIF to CFI after 50 years, its write-off shall be done by the Government as per extant rules.

**Rule 23** Fund flow from RDIF to SLFMs shall be via:

- (i) Alternate Investment Fund (AIF) mechanisms i.e., purchase of units in Schemes of AIF Trusts via Contribution Agreements (including Fund of Funds); or
- (ii) Loans, at low rates with extended tenors via Loan Agreements

**Rule 24** RDIF to release funds to the SLFMs as per drawdown notice as mentioned in Loan/Contribution Agreements.

**Rule 25** RDIF shall stop new commitment/funding to SLFM from such time after assessing the requirement of repatriating back the principal amount to CFI in accordance with Rule 22 and Rule 23.

**Rule 26** SLFMs shall prepare fund requirement, in such form as may be decided/prescribed by the RDIF, showing estimated receipts from the proceeds on repayment, or exit proceeds from the private entities, and other sources, and forward the same to RDIF.

**Rule 27** Upon receipt of such demand from SLFMs, RDIF to release the fund to the designated bank account of the SLFM within a specified time frame (ref Rule 26).

**Rule 28 Funding Terms.** RDIF shall allocate funds to AIFs through modes as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 29 Term Life.** RDIF shall allocate funds to AIFs with term life as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 30 Limits to RDIF Financial Contribution.** RDIF shall contribute to SLFM's aggregate capital up to limits as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 31 Management Fees.** RDIF shall accept amounts charged as management fees by the SLFMs, subject to maximum cap, as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 32 Carried Interest.** RDIF shall accept amounts charged as carried interest by the SLFMs, subject to maximum cap, as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 33 Returns.** SLFMs shall return funds to RDIF according to Modes as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*. The Modes applied may vary from one SLFM to another in line with the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 34 Interest Rates.** RDIF shall allocate funds to SLFMs at such lower rates as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*. These rates may vary from one SLFM to another.

**Rule 35 Tenors.** RDIF shall allocate funds to SLFMs over such extended tenors as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*. These tenors may vary from one SLFM to another.

**Rule 36 Management Fees.** RDIF shall accept amounts charged as management fees by the SLFMs, subject to maximum cap, as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 37 Lock-in Period.** RDIF shall provide SLFMs with a minimum lock-in period on principal and interest payments as may be decided by RDIF following the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*. SLFM shall pay back both principal and interest after the lock-in period as per the terms and conditions of the loan agreement.

**Rule 38 Investment Limit of RDIF.** RDIF contributions in the loan mode to any SLFM shall be subject to a maximum limit as prescribed in the *Financing Framework for RDIF to fund SLFMs (attached in Appendix 2)*.

**Rule 39 Financial Year.** Financial Year of the RDIF shall commence on the 1st day of April of each year and end on the 31st day of March of the following year.

**Rule 40** The RDIF shall have to prepare its annual budget and that shall contain the following:

- (i) Estimates of all receipts, from SLFMs, interest income from short-term deposits, if any, etc. expected to be generated during the financial year to which the budget relates;
- (ii) Estimates of all expenditure to be incurred (disbursements to SLFMs), operational expenditure for management of RDIF in the financial year, etc;

- (iii) Any other information as may be prescribed.

**Rule 41** RDIF shall present its annual budget to DST after getting it approved from the EC at a time and format as may be prescribed by DST in consultation with RDIF.

**Rule 42 Duties and Responsibilities of ED RDIF.** The ED RDIF shall:

- (i) be responsible and accountable for financial management of RDIF;
- (ii) ensure that the RDIF funds are used for the purpose for which they were meant;
- (iii) be responsible for the effective, efficient, economical and transparent use of the resources of the RDIF in achieving its stated objectives, whilst complying with performance standards;
- (iv) review and monitor regularly the performance of the RDIF to determine whether stated objectives are achieved;
- (v) be responsible for preparation of expenditure and other statements relating to RDIF as required by regulations, guidelines or directives issued by EC/ EGoS/DST;
- (vi) shall ensure that RDIF maintains full and proper records of financial transactions and adopts systems and procedures that shall at all times afford internal controls;
- (vii) shall ensure that RDIF follows the procurement procedure for execution of works, as well as for procurement of services and supplies, and implements it in a fair, equitable, transparent, competitive and cost-effective manner. ED RDIF shall ensure that such procedures shall be designed and executed for nimbleness, speed, and efficiency;
- (viii) shall take appropriate steps to ensure that RDIF:
  - a. collects all moneys due to the RDIF and
  - b. avoids unauthorized, irregular and wasteful expenditure.

**Rule 43 Accounts.** RDIF shall maintain proper accounts and other relevant records and prepare an annual statement of accounts in such form as may be prescribed by the EC of ANRF in consultation with CAG. Accounts of the RDIF shall be prepared every year showing receipts from all sources (DST, SLFMs, Interest etc.) and all disbursements (to SLFMs, operational expenditures of RDIF) for the year, surplus or deficit generated during the year and changes in the liabilities and assets.

**Rule 44 Period of Accounts.** The Annual Accounts of RDIF shall record transactions which takes place during a financial year running from 1<sup>st</sup> April to 31<sup>st</sup> March.

**Rule 45 Currency.** The accounts of RDIF shall be maintained in Indian Rupees. Foreign currency transactions and foreign aid, if any, shall be brought into account after conversion into Indian Rupees on the date of such transaction.

**Rule 46 Principal of Accounting.** The RDIF shall prepare an accounting policy (cash basis, accrual basis or dual basis) in consultation with CAG and prepare its account as per the approved accounting principal.

**Rule 47 Capital or Revenue Expenditure.** Significant expenditure incurred with the object of acquiring tangible assets of a permanent nature (for use in the RDIF and not for sale in the ordinary course of business) or enhancing the utility of existing assets, shall broadly be defined as Capital expenditure.

Subsequent charges on maintenance, repair, upkeep and working expenses, which are required to maintain the assets in a running order as also all other expenses incurred for the day-to-day running of the organisation, including establishment and administrative expenses shall be classified as Revenue expenditure. Capital and Revenue expenditure shall be shown separately in the RDIF Accounts.

**Rule 48 Principles for allocation of expenditure between Capital and Revenue.** The following are the main principles governing the allocation of expenditure between Revenue and Capital:

- (i) Capital shall bear all charges for the first construction and equipment of a project as well as charges for intermediate maintenance of the work while not yet opened for service. It shall also bear charges for such further additions and improvements, which enhance the useful life of the asset, as may be sanctioned under rules made by competent authority.
- (ii) Subject to Clause (iii) below, revenue shall bear subsequent charges for maintenance and all working expenses. These embrace all expenditure on the working and upkeep of the project and also on renewals and replacements and additions, improvements or extensions that are revenue in nature as per rules made by the RDIF.
- (iii) In the case of works of renewal and replacement, which partake expenditure both of a capital and revenue nature, the allocation of expenditure shall be regulated by the broad principle that Revenue should pay or provide a fund for the adequate re- placement of all wastage or depreciation of property originally provided out of capital grants. Only the cost of genuine improvements, which enhance the useful life of the asset whether determined by prescribed rules or formulae, or under special orders of RDIF, may be debited to Capital.
- (iv) Expenditure on account of reparation of damage caused by extraordinary calamities such as flood, fire, earthquake, enemy action, etc., shall be charged to Capital, or to Revenue, or divided between them, depending upon whether such expenditure results in creation/acquisition of new assets or whether it is only for restoring the condition of the existing assets, as may be determined by RDIF according to the circumstance of each case.
- (v) Expenditure on a temporary asset cannot ordinarily be considered as a capital expenditure and shall not, except in cases specifically decided on the advice of the CAG, be debited to a Capital Head.

**Rule 49 Methods of Selection of SLFMs.** The method of selection of SLFMs shall be Quality and Cost Based Selection (QCBS) and nomination basis as approved by the EC in the *Selection of Second Level Fund Managers (attached in Appendix 3)*.

**Rule 50 Quality and Cost Based Selection (QCBS) for Commercial SLFMs.** QCBS may be used for selection of SLFMs as approved by the EC.

- (i) In QCBS initially the quality of SLFMs is scored as per quality criteria announced in the RFP. Only those responsive proposals that have achieved at least a minimum specified qualifying score in quality criteria are considered further.
- (ii) After opening and scoring, the cost criteria of qualitatively qualified bidders, a final combined score is arrived at by giving predefined relative weightages for the score of quality criteria of the SLFM and the score of cost-criteria of the SLFM.
- (iii) The RFP shall specify the minimum qualifying score for the quality criteria and the relative weightages to be given to the quality and cost. The SLFM with the highest weighted combined score (quality and cost) shall be selected.
- (iv) The weightage of the quality criteria in no case should exceed 90 percent.

**Rule 51 Execution of Contribution/Loan Agreements between RDIF and SLFMs.** RDIF shall enter into an appropriate legal agreement (Contribution/Loan) with SLFMs. The following principles should be observed while entering into such agreements.

- (i) **General Principles:**
- a. The terms of such agreements must be precise, definite and without any ambiguities.
  - b. Details of RDI-intensive technologies/ R&D and RDIF Priority Sectors as approved in the *Investment Thesis of RDIF (attached in Appendix 1)*
  - c. Periodicity of fund transfer (ref Rule 28)
  - d. Details of SLFM fund requirements (ref Rule 28)
  - e. Details of release of funds from RDIF to SLFMs (ref Rule 29)
  - f. Limits to use of RDIF funds in projects
  - g. SLFMs shall prepare their own investment guidelines to govern their follow-on investments in companies including startups.
  - h. Technology Acquisition limits
  - i. Exceptions and Exclusions
  - j. Clauses related to conflict of interest
  - k. Clauses related to arbitration
- (ii) **Specific to Contribution Agreement.** The terms of Contribution Agreements must include clear specifications of the following:
- a. Funding Terms for RDIF contribution to AIF (ref Rule 30)
  - b. Term Life (ref Rule 31).
  - c. Limits to RDIF Financial Contributions (ref Rule 32)
  - d. Management Fees (ref Rule 33)
  - e. Carried Interest (ref Rule 34)
- (iii) **Specific to Loan Agreement.** The terms of Loan Agreements must include clear specifications of the following:
- a. Interest Rates (ref Rule 36)
  - b. Tenors (ref Rule 37)
  - c. Management Fee (ref Rule 38)
  - d. Lock-in Period (ref Rule 39)
  - e. Investment Limit of RDIF (ref Rule 40)
  - f. **In the case of simple pass-through:** Net interest margin, tenor, and moratorium requirements

**Rule 52 Monitoring Contracts.** The RDIF should be involved throughout in the monitoring of SLFMs and continuously monitor their performance so that it is in line with RDIF's objectives.

**APPENDIX 1: Investment Thesis of RDIF**

1. **Introduction.**<sup>2</sup>The Investment Thesis serves as a strategic framework to guide the investment activities of the Research, Development, and Innovation Fund (RDIF), which is established as a Special Purpose Fund (SPF) under the Research, Development and Innovation scheme. It is designed to fulfil RDIF's mandate as outlined by the Government of India.
2. **Background.** Research, development, and innovation (RDI) remains essential to India's economic security, strategic purpose, and self-reliance. To retain strategic autonomy and competitiveness, India must rank amongst the top three to five globally, in five to 10 of our chosen key technology areas.

To achieve this, India has built strength in applied R&D. India occupies global top- five positions for high-impact research in 45 out of 64 critical technologies on the 2024 Australian Strategic Policy Institute (ASPI) Critical Technology Tracker<sup>3</sup>; a top-three position in scientific publications per year; a top-three position in the number of science and engineering PhDs; and a top-seven position in resident patent filings. India has launched dedicated programmes – including the National Mission on Integrated Cyber Physical Systems, the National Quantum Mission, the India AI Mission, inter alia – to gain strategic autonomy in emerging technologies.

Despite this, India's private sector was responsible for just 36.4% of India's R&D investments (as a percentage of GDP) in 2021. Combined public and private R&D investment totalled just 0.64% of GDP. This is due the following:

- 2.1. **Special nature of R&D scaling and RDI-intensive technologies**<sup>4</sup>. Private underinvestment in RDI is caused by the novelty and uncertainty involved in applying scientific advances to commercial opportunities. Entities scaling RDI- intensive emerging technologies derive value from (a) new advances in underpinning science bases, and (b) new applications of these advances to use-cases, unlocking new markets. This novelty is essential to the high economic returns and capability that RDI generates. However, it also multiplies failure points in technology development, and the uncertainties accompanying such failure. This affects both innovators and investors.

<sup>2</sup> The Guidelines balance three factors: (a) accountability to Parliament for public funds (b) encouraging private investors to invest in RDI-intensive technology innovators (c) derisking Indian companies including innovating RDI-intensive technologies, who are RDIF's final beneficiaries.

<sup>3</sup> *Critical Technology Tracker Report*. (2024). Australian Strategic Policy Institute. See Appendix 1: Top 5 countries visual snapshot (2019–2023)

<sup>4</sup> Government's case for (a) intervening in the private investment market (b) restricting use of RDIF's taxpayer funds to R&D/ RDI- intensive technologies (c) a flexible, but rigorous, definition of exactly what such technologies are – see below.

- 2.2. Risks affecting innovators. For innovators, the aforesaid failure points and uncertainty impinge on every stage of R&D scaling, including (a) product development, challenged by untested functionality and architectures of novel technologies; through (b) production, complicated by undefined value chains, immature supply networks, and the absence of established technical or regulatory standards; to (c) marketing and adoption, hampered by unpredictable user behaviour and market readiness for new technologies. These risks collectively impact cashflow volatility, escalating the risk of enterprise failure, especially for early-stage firms.
- 2.3. Risks affecting investors. The novelty and uncertainty of RDI also limits the availability of conventional risk assessment frameworks typically used by private investors such as those underpinning capital asset pricing models in more mature domains. Equally, investors can find their understanding of scientifically complex RDI-based projects limited, relative to that of the innovators seeking their investment.

This information asymmetry creates uncertainty for private investors in evaluating the viability of investments in RDI-intensive technologies, and deterring principal-agent problems such as adverse selection (innovators understating their technologies' risks to seek under-priced capital) and moral hazard (investees misusing funds for purposes other than innovation financing). This impacts investors' cashflows and returns, deterring the private investment essential to long-term scaling of RDI.

- 2.4. RDIF Solutions. RDIF addresses these challenges by

- (i) Financially supporting eligible entities developing RDI-intensive technologies with capital at:
- (a) developmental stages (Technology Readiness Level 4 and above) conducive to scaling R&D;
  - (b) rates sufficiently low to survive failure risk; and
  - (c) tenures adequately long to recover from failure, and sustain R&D's extended gestation periods;
- (ii) Routing these funds via Second Level Fund Managers, which would also include private investors, at rates low enough to limit their risk when investing in RDI-intensive technologies. This blended financing approach familiarises India's private investors with emerging technologies, to:
- (a) reduce investment uncertainty; and
  - (b) mobilise private capital to R&D at large scales over the long term.

**3. Objectives.** RDIF is set up with the following objectives:

- 3.1. Encourage the private sector to scale up RDI in sunrise domains and in other sectors relevant for economic security, strategic purpose, and self-reliance;
- 3.2. Finance transformative projects at higher levels of Technology Readiness Level (TRL) of 4 and above.
- 3.3. Support acquisition of technologies which are critical or of high strategic importance;
- 3.4. Facilitate setting up of a Deep-Tech Fund of Funds.

RDIF's Investment Thesis framework is designed with the intention to achieve the aforesaid objectives.

**4. Encouraging the Private Sector to Scale Up RDI: Access to Funding.** To encourage private sector scaling of RDI, RDIF shall:

- 4.1. Make funds available to Eligible Technology Entities (as defined in Para 6 below) including startups scaling up R&D from TRL 4 onward:
  - (i) Through financing or refinancing<sup>5</sup> via (a) long-term loans (including optionally convertible debt), which are expected to be unsecured (b) equity, especially in the case of startups (c) a combination of both;
  - (ii) With patient capital at low rates so as to moderate the risks and sustain the extended gestation periods of scaling up R&D;
  - (iii) But not via grant financing or short-term loans.
- 4.2. Channel these funds via Second Level Fund Managers (SLFMs), which shall include:
  - (i) Alternative investment funds (AIF)

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<sup>5</sup> "The RDI Scheme aims to provide long-term financing or refinancing with long tenors at low or nil interest rates to spur private sector investment in RDI."  
<https://www.pib.gov.in/PressReleaseDetail.aspx?PRID=2141130>

- a. These may also include AIFs which themselves invest in units of other AIFs as permitted in the Securities and Exchange Board of India (Alternative Investment Fund) Regulations, 2012. Such an AIF would be referred to as a Fund of Funds. In such cases, these Funds of Funds shall ensure that any daughter AIFs to which it contributes RDIF funds (a) shall not themselves invest RDIF funds in units of other AIFs (b) shall themselves comply with all provisions specified for, and be treated as, SLFMs in the Implementation Guidelines.

- (ii) Development finance institutions (DFIs);
- (iii) Non-banking finance corporations (NBFCs), and
- (iv) Focused research organisations (FROs);

4.3. Provide these funds to SLFMs as:

- (i) Contributions to AIFs, typically via purchase of units in Schemes of AIF Trusts;
- (ii) Loans, at low rates with extended tenors.

5. **Sunrise Domains: RDIF Priority Sectors.** To achieve Government of India objectives in targeting sunrise domains, RDIF shall fund Eligible Technology Entities as defined in Para 6 below:

5.1. In sunrise sectors:

- (i) Energy security and transition, and climate action;
- (ii) 'Deep Technology' including quantum computing, robotics, and space;
- (iii) Artificial Intelligence and its application to Indian problems, including in agriculture, health, and education;
- (iv) Biotechnology, biomanufacturing, synthetic biology, pharmaceuticals, and medical devices;
- (v) Digital economy, including digital agriculture;

5.2. In other sectors:

- (i) Technologies whose indigenization is important for strategic reasons or for economic security and Atmanirbharta;

(ii) Any other sector or technology deemed necessary in the public interest;

5.3. In sectors updated to these lists with the approval of the RDIF Empowered Group of Secretaries (EGoS), on the recommendation of the ANRF Executive Council;

5.4. In a manner that supports entire industry sectors in scaling R&D, from laboratory-tested components to manufactured products and proven systems. RDIF will achieve this by methodically targeting funding to companies working across the entire value network involved in transitioning R&D from laboratory to commercialisation. This will help create new industries, or transform existing ones, around Indian RDI.

#### 6. Eligibility Criteria for Receiving RDIF Funds via SLFMs.

6.1. RDIF funds shall be provided by SLFMs exclusively, at the time of investment by the SLFM<sup>6</sup> to<sup>7</sup> **Eligible Technology Entities**, which:

- (i) Are defined as any legal entity registered in India, and duly incorporated and governed under the applicable laws of India (including the Companies Act 2013, the Indian Partnership Act, 1932, the Limited Liability Partnership Act, 2008, etc.; this to include startups as defined in the Department for Promotion of Industry and Internal Trade Notification G.S.R. 127(E) dated 19 February 2019, as may be modified from time to time); with principal place of business/operations in India; engaged in developing RDI-intensive technology at Technology Readiness Level 4 and above,

<sup>6</sup> The objective of this section is to achieve strategic autonomy and a product economy for India. It therefore ensures that controlling stakes remain with resident Indian citizens, so that RDIF-funded companies and technologies are not acquired by those outside India, in a manner that undermines this objective. Equally, the section allows for Indian companies to raise foreign direct investment, to scale to globally-competitive standards consequent to RDIF funding.

<sup>7</sup> As defined in the Department for Promotion of Industry and Internal Trade Notification G.S.R. 127(E) dated 19 February 2019.

- (ii) Are under the control<sup>8</sup> of resident Indian citizens<sup>9</sup>, as defined in the Department for Promotion of Industry and Internal Trade (DPIIT)'s Consolidated FDI Policy (2020);
- (iii) Have their registered global headquarters in India. This ensures that global revenues and profit would be consolidated under the Indian-registered entity.

6.2 Eligible Technology Entities receiving RDIF funds shall, for all Intellectual Property Rights (IPRs)<sup>10</sup>, as defined in applicable Indian law and rules, developed as a consequence of RDIF funding:

- (i) Register such IPR in India, under applicable Indian law and rules;
- (ii) Retain ownership of such IPR, for the term of the IPR (i.e. the period for which the IPR is valid) under applicable Indian law.

6.3 Eligible Technology Entities receiving RDIF funds shall comply with applicable Government of India rules and directions related to security, export control<sup>11</sup>, foreign acquisition or control, and other strategic concerns.

6.4 Many of the technologies developed by RDIF will offer new capabilities relevant to Government agencies e.g. under Aatmanirbhar Bharat. RDIF shall proactively reach out to Government of India agencies concerned, to inform and coordinate with their decision-making in this regard.

## 7 Financing Transformative Projects.

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<sup>8</sup> DPIIT Consolidated FDI Policy 2020 Section 2.1.9: "*'Control' shall include the right to appoint a majority of the directors or to control the management or policy decisions, exercisable by a person or persons acting individually or in concert, directly or indirectly, including by virtue of their shareholding or management rights or shareholders agreements or voting agreements. For the purposes of Limited Liability Partnership, 'control' will mean right to appoint majority of the designated partners, where such designated partners, with specific exclusion to others, have control over all the policies of the LLP.*"

<sup>9</sup> DPIIT Consolidated FDI Policy 2020 Section 2.1.45: "*'Resident Indian Citizen' shall be interpreted in line with the definition of 'person resident in India' as per FEMA, 1999, read in conjunction with the Indian Citizenship Act, 1955.*"

<sup>10</sup> All applicable Indian laws, rules, and guidelines would apply. IPR include patents, trademarks, registered designs, copyrights and layout design of integrated circuits. For example, these would include but not be limited to: The Patents Act, 1970, as amended by the Patents (Amendment) Acts of 1999, 2002, and 2005; The Semiconductor Integrated Circuits Layout-Design Act, 2000; The Protection of Plant Varieties and Farmers' Rights Act, 2001; The Designs Act, 2000; The Trade Marks Act, 1999; The Copyright Act, 1957; and others. The descriptive list, designed to comprehensively cover the results of RDI funding, derives from Government of India precedent from the Department of Telecommunications' Telecom Technology Development Fund.

<sup>11</sup> Including the Special Chemicals, Organisms, Materials, Equipment, and Technologies (SCOMET) list overseen by the Director General of Foreign Trade (DGFT).

7.1 **Funded Projects.** SLFMs shall utilize RDIF capital for projects advanced by Eligible Technology Entities from TRL 4 or higher. Project selection shall be carried out by the SLFMs, strictly within the sectors and project types defined in the RDIF mandate and fund allocation.

7.2 **Funding Limit.** The financing under the scheme shall be limited to not more than 50 per cent of the total assessed cost of the project. The balance financing should be arranged by the project proponent from self or commercial sources. In exceptional types of projects/ sectors, the financial limit for government share in financing can be relaxed with the approval of the EGoS.

- (i) **Loan.** For Eligible Technology Entities receiving debt funding (via loan or optionally convertible debt) from the SLFM, this shall be calculated as 50% of the project cost, as specified in a proposal for achieving clearly-defined deliverables and outcomes of a project.
- (ii) **Equity.** For Eligible Technology Entities receiving funding via equity or equity linked instruments from the SLFM, this shall be calculated as 50% of the value of each funding round. This value would be considered when it constitutes the entire cost of achieving the objectives proposed at the time of raising the funds. At every stage of funding, RDIF funding will remain 50%.

**Note:** Once the project (in case of loan) or objectives (in case of equity financing) have been completed, the Eligible Technology Entities may be eligible for RDIF funds for follow-on projects / objectives.

## 8. Research, Development, Innovation.

8.1. RDIF funds shall only be used to support RDI-intensive technologies, which<sup>12</sup>

- (i) are generally based on advances in science and engineering innovation;
- (ii) typically have high uncertainty (and consequent failure risks) in functionality, adoption, production, standards / architecture;
- (iii) may entail investment in scientific or engineering R&D before product development.

<sup>12</sup> The characteristics derive from Murray et al's work at the Massachusetts Institute of Technology (MIT), Day and Schoemaker's work at the Wharton School, Kolev et al's work at the USPTO, Rogers' work at the University of New Mexico, Auerswald and Branscomb's work at George Mason University and IBM, Swati Chaturvedi at Propel (X), among others. These are definitive authorities in the fields of emerging technologies, Deep Tech, and early-stage technology development and entrepreneurship. (Swati Chaturvedi is responsible for first coining the term 'Deep Tech' in 2015.) The characteristics remain consistent with global government initiatives.

- 8.2 Ministries of the Government of India seeking inclusion of a specific technology under the Scheme shall submit their proposals to the DST for consideration by the EC ANRF, which shall thereafter be recommended to EGoS for final approval.

**Note:** RDIF will not fund low-end technology projects or what is generally perceived as "routine" R&D. The Executive Council may modify these characteristics and conditions as it deems fit.

**9. Markets.** RDIF may also strive to target markets that:

- 9.1 Possess strong demand, driving early adoption;
- 9.2 Are highly scaled globally, expanding adoption;
- 9.3 Promise high compounded annual growth.

**10 Selection of SLFMs.** Selection of SLFMs shall be in accordance with the SLFM Selection Guidelines (Appendix 3).

**11 Limits to RDIF Financial Contributions to SLFMs: *Contribution to AIFs.***

- 11.1 To encourage private investment in RDIF Priority Sectors and RDI- intensive technologies: RDIF shall contribute to AIFs as a percentage of aggregate capital as may be determined by the Executive Council; this percentage reflecting the AIFs' focus on RDI-intensive technologies and RDIF Priority sectors, so as to enable increased RDIF funding to these technologies and sectors. RDIF-funded Funds of Funds shall contribute RDIF capital to AIFs via the same approach as above.
- 11.2 **RDIF Funds Exclusive to RDI-intensive technologies and Priority Sectors.** Across all categories above, SLFMs shall invest all funding contributed by RDIF only in Eligible Technology Entities that focus on (a) RDI- intensive technologies, as defined in Para 8 above (b) RDIF Priority Sectors, as defined in Para 5 above.
- 11.3 The Executive Council may mandate a minimum contribution by SLFMs from private funds to RDIF priority sectors and RDI-intensive technologies, alongside the use of RDIF capital for these purposes; should this be deemed fit.

**12 Limits to RDIF Financial Contributions to SLFMs: *Loans.*** The maximum limit on capital that RDIF would provide to SLFMs via loan mode may be determined by the Executive Council.

**13 Acquisition of technologies which are critical or of high strategic importance.** Financing of acquisition of technologies that are critical or of high strategic importance shall also be permissible. Acquisition must occur within the context of a wider project that translates to the development of a product.

- 13.1 The definition of criticality and strategic importance shall be recommended by the Executive Council for the approval of EGoS.
  - 13.2 The total financing from an SLFM from RDIF funds for such acquisition should not exceed the percentage limit, as may be prescribed by the Executive Council, of the total funds allocated to that SLFM.
  - 13.3 Such a limit shall not apply in cases where an SLFM is constituted exclusively or acquisition.
- 14 **Encouraging the Private Sector to Scale Up RDI: *Comprehensive Derisking Partnerships*.** To maximise success in scaling Indian private sector RDI:
- 14.1 RDIF will form outreach, awareness and information partnerships with Government agencies procuring and adopting technology, particularly in strategic domains.
  - 14.2 RDIF will ensure such agencies are informed about the Indian technological capabilities being advanced by its funding, that may be relevant to their needs and procurement plans.
  - 14.3 Equally, RDIF will inform SLFMs and their final investee companies and startups about such agencies' requirements, informing their R&D scaling.
  - 14.4 Such coordination will follow an open, transparent, equitable approach.
  - 14.5 RDIF will also form such partnerships with public institutions and organisations containing research equipment and other technology derisking facilities which Indian RDI-intensive technology innovators may find essential.
- 15 **Exceptions and Exclusions.**
- 15.1 RDIF shall not finance next generation labs for pre-commercial R&D. However, the cost of setting up such labs may form part of larger proposals to be financed as a project by RDIF.
  - 15.2 RDIF shall not finance RDI by government entities and central public sector enterprises (CPSEs), unless they are involved in strategic projects in partnership with the private sector.
  - 15.3 RDIF shall not provide grant financing. RDIF shall also not provide short- term loans, which can be met from commercial finance.

**Annexure 1A to Appendix 1: Special Provisions for Strategic Sectors**

1. To comply with the Government of India's objectives to scale up RDI for economic security, strategic purpose, and self-reliance: RDIF shall include terms in its contractual agreements with SLFMs.
2. These would require SLFMs to include special provisions in their own investment/ loan agreements with Indian companies and startups operating in strategic sectors.

**2.1. In specific and exceptional situations, related to**

- (i) Times of emergency;
- (ii) Protection of national interest or when required in public interest;
- (iii) Health and safety requirements, for Government to act in public interest;
- (iv) National security reasons;

**2.2. RDIF would retain the option, following guidance from the Executive Council, to use RDIF-funded IP or its commercialised forms in the national interest<sup>13</sup>.**

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<sup>13</sup> The vision of the RDIF is to achieve Aatmanirbharta and strategic autonomy. This provision advances this vision.

APPENDIX 2: Financing Framework for RDIF to fund SLFMs

- 1. Background.** These guidelines are prepared in accordance with the Research Development and Innovation Fund (RDIF) Investment Thesis (Appendix 1). They specify general conditions on which RDIF allocates funds to Second Level Fund Managers (SLFMs) in a manner that complies with the broad objectives set out by the Government of India.
- 2. First Level Custodian or Fund Manager.** An Independent Business Unit of the Anusandhan National Research Foundation acts as first-level custodian or fund manager of RDIF, with a separate team that shall specifically manage the fund. This fund shall be in the form of 50-year interest free loan from the Government of India, and act as scheme corpus. The funds to the corpus shall be provided based on the half-yearly net requirement of funds for disbursement to the SLFMs.
- 3. Second Level Fund Managers.** SLFMs refers to entities specified in the RDIF Investment Thesis.
- 4. Fund Flow.** Funds from the Consolidated Fund of India (CFI) flow to RDIF through the Department of Science and Technology (DST), and from RDIF to the SLFM for further deployment in private Eligible Technology Entities engaged in scaling R&D, and vice versa, in a manner as specified in the Special Financial Rules of RDIF.
- 5. Investment Streams.** Funds from RDIF to SLFMs to be in the form of the following investment streams:
  - 5.1. Investing via contribution to Alternative Investment Funds (AIFs), including those which invest in units of other AIFs in arrangements referred to in this document as Funds of Funds; and
  - 5.2. Loan financing.

Note: No grants or short-term loans are permissible by RDIF.
- 6. Provisions Specific to AIF Investment Stream.** RDIF contributions in the AIF investment stream shall normally be via purchase of Units in a Scheme of the AIF Trust following the criteria given below:
  - 6.1. Eligible entities.
    - (i) AIFs as defined in Securities and Exchange Board of India (Alternative Investment Fund) Regulations, 2012. These can be existing or new AIFs.
    - (ii) Fund of Funds, which shall in turn invest these funds in units of AIFs.

6.2. Investment Principles. RDIF to allocate funds to AIFs through three suggested modes of contribution:

- (i) Mode 1: RDIF provides capital at an internal rate of return that is lower than the hurdle rate offered by the AIF to private contributors. AIFs would be required to prioritise distributions to RDIF, e.g. by providing RDIF with a higher position in the distribution waterfall.
- (ii) Mode 2: RDIF provides capital to the AIF at the same hurdle rate and/ or internal rate of return as other contributors. It would receive distributions in pari passu with other contributors to the AIF.
- (iii) Mode 3: RDIF provides capital at an internal rate of return that is higher than that offered by the AIF to private contributors. RDIF would take a lower position in the distribution waterfall.

Notes.

- (i) Details for all Modes may be worked out by the RDIF Management Team. Specific terms and other Modes would be considered by the Executive Council.
- (ii) RDIF-funded Funds of Funds shall contribute RDIF capital to AIFs via the same Modes specified above.

6.3. Terms of Allocation of Funds. RDIF to allocate funds to AIFs on the broad terms outlined below. The Executive Council shall modify these terms as needed. RDIF-funded Funds of Funds shall contribute RDIF capital to AIFs on the same terms.

- (i) Investment Thesis of RDIF. The Investment Thesis (which may be part of the Private Placement Memorandum) of the AIF should align to the greatest possible extent with the RDIF Investment Thesis (Appendix 1).
- (ii) Underlying Investments of SLFMs. Investment by SLFM should be
  - (a) In the form of equity, debt, or a combination of both;
  - (b) In Eligible Technology Entities engaged in developing RDI- intensive technology projects at TRL 4 and above, in sectors as per the RDIF Investment Thesis (Appendix 1);

- (c) Combining RDIF and private capital in proportions reflecting the alignment of the AIF's and RDIF's focus areas, as specified in the RDIF Investment Thesis Para 11.
- (iii) *Funding Parameters.* The following parameters placed in Table 2.A shall be decided by the Executive Council from time to time. Illustrative example figures are also summarised in Table 2.A.

**Table 2.A**  
**Example Funding Parameters for Investment Stream 1 AIF**

S. Nos.	Funding Parameters From RDIF to SLFM  <i>to be decided by the Executive Council</i>	Illustrative Example  <i>Values to be decided by the Executive Council</i>
1	Rate of return for Mode 1 Funding	IRR at 5-6%
2	Distribution priority for Mode 1 Funding	RDIF to receive higher priority in distributions
3	Rate of return for Mode 2 Funding	As provided by AIF to all contributors
4	Distribution priority for Mode 2 Funding	In pari passu with all contributors to the AIF
5	Rate of return for Mode 3 Funding	RDIF to receive IRR higher than provided to private contributors
6	Distribution priority for Mode 3 Funding	RDIF to receive lower priority in distributions
7	Term	Up to 15 years inclusive of extension
8	Capital Contribution and Investment Limits for SLFM (AIFs)	As a percentage: per RDIF Investment Thesis Para 11

**Notes:**

- Internal Rate of Return: the target rate of return offered by the AIF on RDIF capital (the discount rate at which net present value of all cashflows from AIF becomes zero).*
- Distributions: RDIF's position in the distribution 'waterfall' where the AIF returns capital to its contributors.*
- Fund Term: the lifespan of the AIF. RDIF would prefer extended terms, reflecting the greater patience needed with R&D / RDI-intensive technology investments.*
- Capital Contribution and Investment Limit: the amount of capital RDIF would allocate to the SLFM, as a maximum percentage of aggregate capital contributions received by the AIF at every close.*

- (iv) *Eligible Management Fees.* RDIF will accept the following amounts charged by an AIF SLFM:
- A management fee charged by the SLFM not exceeding 2% per annum (i) of the aggregate Capital Commitment at the beginning of the year, from the initial closing date until the end of the Commitment Period (ii) of the actual invested capital, if it is lesser than the committed capital, or as a percentage of the underlying value of the assets under management (AUM) of the fund, after the end of the Commitment Period;
  - Carried Interest not exceeding 20% of the AIF SLFM's distributions after return of capital, hurdle rate, and catch-up;

- (c) As may be decided by the Executive Council as the case may be from time to time. These terms would also be applied by RDIF-funded Funds of Funds to AIFs to which they contribute,  
i.e. daughter AIFs.
- (v) *Drawdowns*. RDIF to make Capital Commitments to the AIF SLFM within a period from the date of a Drawdown Notice issued by the AIF SLFM as mentioned in the Special Financial Rules of RDIF.
- 7. Provisions Specific to Loan Financing Investment Stream.** RDIF to provide loan financing to eligible SLFMs listed below.
- 7.1. *Eligible entities*. RDIF to provide loan financing to
- (i) Focused Research Organisations;
  - (ii) Development Finance Institutions;
  - (iii) Non-banking finance corporations (NBFCs).
- 7.2. *Investment Principles*. RDIF to fund eligible SLFMs listed in 7.1 above through low-interest debt on concessional terms. These will include lower rates, over longer tenors, than offered by private contributors.
- 7.3. *Terms of Allocation of Funds*. RDIF would invest on the broad terms outlined below. The following terms shall be decided by the Executive Council from time to time. Illustrative example figures are summarised in Table 2.B.
- (i) *RDIF Investment Thesis*. RDIF contributes to eligible SLFMs listed in 7.1 above which have technology commercialisation objectives aligned with RDIF's Investment Thesis (Appendix 1).
  - (ii) *Underlying Investments of SLFMs*. RDIF contributes to eligible SLFMs listed in 7.1 above which shall, in accordance with applicable law and regulation, invest:
    - (a) In the form of equity, debt (including optionally convertible debt), or a combination of the equity and debt;
    - (b) In Eligible Technology Entities engaged in developing RDI- intensive technology projects at TRL 4 and above, in sectors as per the RDIF Investment Thesis (Appendix 1).

However, RDIF does not provide grant funding.
  - (iii) *Funding Parameters*. The following parameters placed in Table 2.B shall be decided by the Executive Council from time to time. Illustrative example figures are also summarised in Table 2.B.

**Table 2.B**  
**Funding Parameters for Investment Stream 2 Loan Financing**

S. Nos.	Funding Parameters	Illustrative Example <i>Values to be decided by Executive Council from time to time</i>
1	Interest Rate	Low; for strategic projects, these may be retained even at 1-2%.
2	Tenor	Up to 20 years.
3	Capital Contribution and Investment Limits	RDIF contributions in the loan mode will be limited only by the Executive Council.
4	Tranches	Funding shall be released in tranches depending on the underlying investment requirement of the SLFM. Annually every SLFM shall provide an estimate of their annual money requirement and it will be released by RDIF as and when required. The quarterly estimated drawdowns from the RDIF to SLFMs shall be honoured in 30 days.
5.	Lock-in period	10-15 Years, subject to pre-payment being permitted without penalty.

(iv) *Eligible Management Fees.* RDIF will accept a management fee charged by the SLFM not exceeding 1% per annum of the total amount of the loan provided by RDIF to the SLFM.

**8. General Provisions to Ensure RDIF Mandate.** RDIF funds shall be used exclusively for the core purpose for which Government has established RDIF. To ensure that the low-interest financing fulfils the Budget mandate to encourage the private sector to significantly scale up research and innovation in sunrise domains, RDIF shall ensure the following general provisions across all Investment Streams:

- 8.1. Reports and Information from SLFMs to RDIF. RDIF requires from all SLFMs, in a format to be approved by the Executive Council and adapted to the specific requirements of each Investment Stream:
- (i) Reports within 60 days of the end of every six-month period, from the date of execution of the Contribution/ Investment / Loan agreement between RDIF and the SLFM: including unaudited financial statements of the SLFM, and status reports on the SLFM's investments (including investee companies, technologies, sectors, and other criteria defined by the RDIF Investment Thesis);
  - (ii) Annual reports within 90 days of the conclusion of every fiscal year including audited financial statements and annual valuation of the assets of the SLFMs; a statement of account in relation to the units held by RDIF as a contributor; and status reports on the SLFM investments (including investee companies, technologies, sectors, and other criteria defined by the RDIF Investment Thesis);
  - (iii) The ability to visit Eligible Technology Entities invested in by the SLFMs to observe performance;
  - (iv) Meetings with SLFM teams for joint review.

**Note:** RDIF shall retain the right to audit any SLFM via a professional agency.

- 8.2. Reports from RDIF to Executive Council and EGoS. Based on information provided by SLFMs, RDIF shall provide the Executive Council with the following data on an annual basis; this to be further shared with EGoS:

- (i) Technological advancement: Number of prototypes, proofs-of- concept, or innovations developed from the funded projects over the years measured relative to the Technological Readiness Level (TRL) of the projects at the time of sanction. Other relevant parameters such as commercial readiness, market readiness, etc. to be considered as well.
- (ii) Commercialization and Industry Impact: Number of projects leading to market-ready products or collaborations with industries resulting from the funded projects.
- (iii) Catalysing private/commercial capital for R&D: Amount of private capital mobilized at the level of SLFMs or at the project level.
- (iv) Scheme sustainability: Number of projects which make it to commercial stage and the revenue of such units.
- (v) Ability to create project visibility and facilitate exits: Number of projects successfully exited at the end of 5/10/15 years.

**Note:** Union Cabinet has approved a Design and Monitoring Framework (DMF) placed at Appendix 1. The above data will be used to monitor the Scheme as part of this Cabinet-approved framework.

8.3. **Reporting from RDIF to SLFMs.** RDIF shall periodically share with all SLFMs, a list of all SLFMs and the Eligible Technology Entities in which they have invested. This would be used by SLFMs to ensure that its own financing does not drive RDIF funding above the limit in Appendix 1 Para 7.2.

**9. Conflict of Interest.** RDIF shall take measures, including but not limited to the disclosure of interests and information and structuring of its decision-making processes, to remove the possibility of conflict of interest amongst any RDIF employees or personnel, involved in any decision related to the provision and use of RDIF funds.

**Annexure 2A to Appendix 2: Design & Monitoring Framework Research,  
Development, and Innovation (RDI) Scheme**

As Approved by Union Cabinet

Impact the scheme is aligned with:			
<p>To mobilize private investments in R&amp;D sector and thereby increase the total investment in R&amp;D from present (~0.65%) to more than 1% (world average being ~2.7%).</p> <p>Enhanced Indian research and innovation ecosystem in priority sectors, aligned with the vision of recent Union Budgets and India's long-standing R&amp;D/STI Policies, focusing on technological advancement for <i>Atmanirbhar</i> Bharat.</p>			
RESULTS CHAIN	PERFORMANCE INDICATORS WITH TARGETS AND BASELINES	DATA SOURCES AND REPORTING MECHANISMS	RISKS
<p><b>Outcome</b> Innovation performance and global ranking, Productivity growth, Economic Impact including high-tech exports, increased development, piloting, and commercialization of indigenous R&amp;D solutions in strategic and emerging technology sectors.</p>	<ol style="list-style-type: none"> <li>Change in India's ranking in the Global Innovation Index (GII) published by the World Intellectual Property Organization (WIPO)</li> <li>Changes in Total Factor Productivity linked to innovation including the diversity of the number of projects in sunrise sectors supported annually and aligned with national priorities</li> <li>Direct and indirect jobs created in innovation and high-tech sectors</li> <li>Participation of skilled Indian diaspora (reverse brain drain) attracted into the underlying investee entities of RDIF</li> <li>Enhanced national strategic autonomy in critical sectors and technologies</li> <li>Strengthening of domestic supply chains and reduced import dependency</li> <li>Contribution to improved health and social indicators through innovation-led solutions</li> <li>Improvement in the overall R&amp;D ecosystem in India: Improvement in India's rank in indices related to research development</li> </ol>	<p>SPF to create digital system for providing data on the following points: -</p> <ol style="list-style-type: none"> <li>Project progress reports;</li> <li>TRL assessments by technical committees</li> <li>MOUs, partnership agreements,</li> <li>Fund disbursement records</li> <li>Patent records data;</li> <li>Tracking companies and their products being launched with technologies emerging out of RDI funding</li> </ol>	<ol style="list-style-type: none"> <li>High risk of financing including high chances of failure of technologies and companies leading to potential loss of capital.</li> <li>Long gestation periods for maturity of technologies and low TRL maturity</li> <li>Ability to attract top talent from private sector, Indian diaspora overseas etc. as well as managing the conflict of interest in such cases</li> <li>Possibility of private sector funds/companies being concerned in availing investments from 100% government owned funds</li> <li>Multiple stages of funding requirement even in situations where desired outcomes are not achieved.</li> <li>In Deep Tech, failure of companies between Seed</li> </ol>
<b>Output</b>	<ol style="list-style-type: none"> <li><b>Financial parameters:</b></li> </ol>		

	<p>a) Amount sanctioned from 1st level custodian to 2<sup>nd</sup> level manager annually;</p> <p>b) Downstream investment commitment by 2<sup>nd</sup> level fund manager to the individual project</p> <p>c) IRR of the underlying funds/investments</p> <p><b>2. Giving impetus to the R&amp;D ecosystem:</b> Number of projects supported annually, total and sector wise</p> <p><b>3. Intellectual Property (IP) Generation:</b> Number of patents, copyrights, or other IP assets registered annually from the funded projects (benchmarked against Industry average for patent filings in the specific science and technology domain)</p> <p><b>4. Technological Advancement:</b> Number of prototypes, proof-of-concepts, or innovations developed from the funded projects over the years measured relative to the Technological Readiness Level (TRL) of the projects at the time of sanction. Other relevant parameters such as commercial readiness, market readiness etc. to be considered as well.</p> <p><b>5. Commercialization and Industry Impact:</b> Number of projects leading to market-ready products or collaborations with industries resulting from the funding projects.</p> <p><b>6. Catalysing private/commercial capital for R&amp;D:</b> Amount of private capital mobilized at the level of 2<sup>nd</sup> level Fund Manager(s) or at the project level.</p>		<p>stage to Series A funding is 95%.</p> <p>7. Low private sector participation in co-funded R&amp;D projects</p> <p>8. Delays in fund disbursement due to delay in identification of projects</p> <p>9. Weak IP protection and commercialization pathways</p> <p>10. Lack of accessible datasets</p> <p>11. Ethical concerns and data privacy</p>
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	<p><b>7. Scheme sustainability:</b> Number of projects which make it to commercial stage and the revenue of such units</p> <p><b>8. Ability to create project viability and facilitate exists:</b> Number of projects successfully exited at the end of 5/10/15 years</p>		
<b>Key Activities</b>		<b>Milestones</b>	
<ol style="list-style-type: none"> <li>1. Scheme approval by the competent authority</li> <li>2. Preparation of detailed operational guidelines for the scheme including the process to be followed for selection of the projects, selection of 2<sup>nd</sup> level fund managers, type of funding to be provided by 1<sup>st</sup> level custodian to different typed of 2<sup>nd</sup> level fund manager, broad parameters for type of funding from 2<sup>nd</sup> level fund manager to individual projects by Q1 of FY25-26</li> <li>3. Preparation of Liberalized Financial Rules for scheme implementation</li> <li>4. Scheme Launch</li> <li>5. Formation of Special Purpose Fund (SPF) within ANRF</li> <li>6. Putting in place an independent business unit</li> <li>7. Setting-up a digital mechanism for tracking the financial and technical parameters of performance of the projects</li> <li>8. Selection and approval of 2<sup>nd</sup> level Fund Managers</li> <li>9. Formation of 2<sup>nd</sup> Level Fund</li> <li>10. Staffing of 2nd-Level Fund Managers and formation of Investment Committees</li> <li>11. Scheme Outreach</li> <li>12. Release of Funds from CFI to SPF</li> </ol>		<p>T0</p> <p>T1 = T0 + 10 weeks</p> <p>T2 = T0 + 8 weeks</p> <p>T3 = T1 + 4 weeks</p> <p>T4 = T0 + 10 weeks</p> <p>T5 = T0 + 15 weeks</p> <p>T6 = T1 + 15 weeks</p> <p>T7 = T1 + 6 weeks</p> <p>T8 = T6 + 4 weeks T9 = T6 + 10 weeks</p> <p>T10 = T1 + 4 weeks &amp; T8 + 4 weeks</p> <p>T11 = T6 + 2 weeks</p>	
<b>Inputs</b>			
<ol style="list-style-type: none"> <li>1) Rs 1 lakh crore budgetary allocation over a period of 6 years</li> <li>2) Rs 20,000 crore budgetary allocation for FY 2025-26</li> <li>3) Staff for the SPF</li> </ol>			

**APPENDIX 3: Selection of SLFMs**

**1. Quality and Cost Based Selection Method.** The Union Government has decided that the RDIF shall follow the quality and cost-based selection (QCBS) method to select SLFMs. RDIF adapts QCBS to its mandate, to select SLFMs on the basis of:

- 1.1. Competence to support Indian startups and companies in scaling up R&D in sunrise sectors, with RDIF funds;
- 1.2. Ability to spur private investment in scaling Indian R&D (including from more generalised private funds with limited prior experience in R&D / RDI-intensive technologies), leveraging RDIF funds.

**2. Relative Quality and Cost Weightage in RDIF QCBS.** Investment in RDI- intensive technology companies and startups requires specialised skill-sets, owing to the technical, adoption, and agency uncertainties that define emerging technologies. Accordingly, RDIF QCBS prioritises quality in selecting SLFMs. RDIF QCBS allocates: 80% weightage to Quality criteria, and 20% weightage to Cost criteria.

**3. QCBS Cost Criteria.** Cost criteria in the QCBS methodology aim to maximise cost efficiency in the use of public funds. RDIF adapts this principle to RDIF's mandate to spur private-sector driven research and innovation via concessional financing.

3.1. Cost Score. RDIF QCBS cost criteria is aligned to the investment stream via which RDIF provides funds to SLFMs as follows:

(i) AIFs. The RDIF Implementation Guidelines permit SLFMs receiving contributions from RDIF to charge a management fee and carried interest (Para 6 of Appendix 2 Financing Framework for RDIF to fund SLFMs). The QCBS Cost Score would consider management fee and carried interest charged by the SLFM. SLFMs charging lower management fee and carried interest shall have a higher cost score.

(ii) Loan financing. Where RDIF provides funds via loans, the cost score shall consider:

- (a) The interest rate offered by the SLFM to RDIF; the lower the interest, the higher the score;
- (b) The net interest margin i.e. the difference between the interest rate at which any SLFM lends capital to Eligible Technology Entities, and that at which the said SLFM receives funding from RDIF; the lower the margin, the higher the score;
- (c) The management fee charged by the SLFM from the RDIF (subject to a cap of 1% per annum on the amount of the loan requested); the lower the fee, the higher the score.

**Note.** Specific terms would be approved by the ANRF Executive Council.

- (iii) Nomination basis. QCBS cost criteria shall not apply to SLFMs that are
- (a) statutory organisations
  - (b) public institutions
  - (c) academic/research/non-profit organisations wholly funded by the Government of India or State Governments. Such SLFMs shall be appointed on the basis of nomination by the EGoS, on the recommendation of the ANRF Executive Council. For (b) and (c) above, such nomination could be guided by Quality criteria tailored to the technology, sector, or innovation function in which the SLFM specialises.

- 4. QCBS Quality Criteria for Commercial SLFMs (AIFs, DFIs, NBFCs).** To select AIFs most competent to support Indian RDI-intensive technology startups and companies in scaling up R&D in sunrise sectors with RDIF funds, RDIF applies the following QCBS Quality Criteria, evaluated by the Executive Council (summarised in **Table 3.A** with example measures, to be selected as appropriate by the Executive Council).
- 4.1. Global practices in technology investment sector. QCBS Quality Criteria for selecting SLFMs reflects global practices widely followed in the private technology investment sector. These prioritise the SLFM Management Team's professional calibre, evaluated by the Executive Council on the advice of the Expert Advisory Committee.
- 4.2. Part A | General Competence: Managing Investments and Operational Risks for Scaled Returns. The Executive Council assesses the core competence of the SLFM team in building consistently successful investment portfolios. This shall be irrespective of the extent of the SLFM's RDI-intensive technology focus, allowing more general funds to also participate and apply to RDIF. The evaluation may consider:
- (i) Fund Management Team Competence: General capability of the SLFM team in managing investments and operational risks, investee entities in the technology sector (irrespective of RDI-intensive technology specialisation).
- (a) For AIFs, this will consider the professional capabilities of Partners, the Investment Committee, and the Advisory Board of the SLFM; and their skillsets in managing founder teams, emerging technologies and products, finance and investment, and resourcing and support networks.
- (b) For DFIs and NBFCs, this will consider the organisation's credentials and management team experience.
- (ii) Demonstrated Track Record of Investment Management Competence: The SLFM team's success and consistency in delivering prior Funds, through repeatable processes, robust execution, and effective risk management.
- 4.3. Part B | R&D and RDI-Intensive Technology Focus: Orientation and Competence to Execute RDIF Mandate. The evaluation may consider the SLFM's ability to execute RDIF's mandate for India's RDI-intensive Technology entities. The SLFM's track record demonstrating these competences does not need to have exclusively been in RDI-intensive technologies. Competences shown in other technology investments would also be considered.
- (i) Investment Thesis (which may be part of the Private Placement Memorandum): alignment with RDIF Investment Thesis (Appendix 1).
- (ii) Track Record in R&D Scale Up and RDI-Intensive Technology Competence: the SLFM's demonstrated competence with the high- uncertainty investments characterising RDI-intensive technologies at the TRLs concerned; including its ability to manage the complexities of technology stage / maturity, advanced science bases, and 'hockey- stick' valuation growth (long low period, followed by exponential increase) characterising emerging technologies;
- (iii) Track Record in Investment Sizes for R&D Scale Up: the SLFM's demonstrated competence with the larger size of investments needed to scale-up R&D. This prior SLFM track record does not need to have been in RDI-intensive technologies, but would involve similar investment values ('ticket sizes').

- (iv) *Track Record in Patience with Capital*: the SLFM's demonstrated commitment to endure the long gestation periods required to scale R&D and RDI-intensive technologies. This prior SLFM track record does not need to have been in RDI-intensive technologies, but would involve similar investment values ('ticket sizes').
- (v) *Absorption and Utilisation Capacity*. The SLFM would be evaluated for its ability to effectively invest capital contributions received, in private investees.

**Table 3.A | Quality Selection Criteria for Commercial SLFMs**

S. Nos.	Selection Criteria	Measures	Weight	Score
	<i>(Options, to be selected for respective cohort by Executive Council)</i>	<i>(Examples, to be selected by Executive Council)</i>	<i>(Set by Executive Council) Example values:</i>	<i>(TBD by Executive Council) Example values, to be kept constant across cohorts:</i>
<b>Part A   General Competence: Managing Investments and Operational Risks for Scaled Returns</b>				
<i>(RDIF may select any or more of the options listed below, as deemed fit by the Executive Council on advice of the Expert Advisory Committee.)</i>				
1	<b>Fund Management Team Competence:</b> General capability of the SLFM team in managing investments and operational risks, investees in the technology sector (irrespective of R&D/RDI-intensive technology specialisation)  <i>For AIFs:</i>	Qualitatively assessed and scored, based on expert evaluation of (for example) - Team profiles - Successful scaling of operations at technology firms or prior fund investees  1. <u>AIFs</u> : Teams, for - experience leading deals and exits for technology firms; - successful scaling of operations at technology firms; - ability to build strong teams with low attrition; - ability to build strong processes for consistent investment performance and risk management;		

	<p><u>Professional background</u> of General Partners and Principals (or equivalent): successful investors, founders, managers, technologists.</p> <p><u>Skillssets</u>: expertise, experience, and success related to (for example) Managing founder teams, to ensure robust teams, scaled operations, and strong returns Emerging technologies Product management Finance and investment Building and maintaining mentoring networks <b>For DFIs</b>: organisation's credentials and management team experience.</p>	<p>- track record of having raised third party capital.</p> <p><i>Note. These would normally be evaluated for the Fund organisation. In cases where a new Fund is being established, these may be evaluated for the individuals forming the new Fund.</i></p> <p><b>2 DFIs / NBFCs</b>: organisation's</p> <ul style="list-style-type: none"> <li>- credentials</li> <li>- management team and board: track record and experience</li> <li>- experience in RDIF Priority Sectors</li> <li>- project financing experience: manufacturing, working capital.</li> </ul> <p><b>3. In common across AIFs, DFIs, NBFCs:</b></p> <ul style="list-style-type: none"> <li>- Key personnel's track record related to functions such as deal-sourcing, due diligence / evaluation, portfolio management, exits;</li> <li>- Combined team (including advisory boards) for domain expertise in technologies / sectors;</li> </ul> <p><b>4. Where quantitative criteria are considered essential, the following may be explored:</b></p> <ol style="list-style-type: none"> <li>1. Combined number of person-years of experience in technology and investment, in RDIF <ul style="list-style-type: none"> <li>- Priority sectors, in India</li> <li>- Technology Readiness Levels / venture development stages</li> </ul> </li> <li>2. Total number of funds from which successful exits have taken place</li> <li>3. Internal rates of return (IRR) / distribution to paid-in capital (DPI) across previous Funds: mean values; standard deviations (to verify consistent performance)</li> <li>4. Number of years that Fund Management Team have worked together</li> </ol>		
2	<p><b>Demonstrated Track Record of Investment Management Competence.</b> Success and consistency in delivering prior Funds, through</p>	<ol style="list-style-type: none"> <li>1. Net Internal Rate of Return (IRR) over <ul style="list-style-type: none"> <li>- last two Funds (for AIFs) or</li> <li>- the last 10 years (for DFIs / NBFCs) (<i>annualised return of Fund to LPs</i>)</li> </ul> </li> </ol> <p>AND / OR</p>		

<ul style="list-style-type: none"> <li>- Repeatable processes</li> <li>- Robust execution</li> <li>- Effective risk management</li> </ul>	<p>2. Multiple on Invested Capital (MOIC) over previous two Funds (for AIFs) (<i>what multiple of the invested money was actually returned</i>)</p> <p>AND/ OR</p> <p>3. Distributions to Paid-In Capital (DPIC) over</p> <ul style="list-style-type: none"> <li>- last two Funds (for AIFs) (<i>realised returns – cash actually distributed to LPs</i>)</li> <li>- last</li> </ul> <p>10 years (for</p> <p>DFIs /</p> <p>NBFCs)</p> <p>AND/ OR</p> <p>4. Yield on Loans or Portfolio Yield over previous two funds (for debt AIFs) (<i>average interest rate earned on the outstanding loan portfolio, measuring income generated from Debt AIF's investments</i>)</p> <p>AND/OR</p> <p>5. Vintage Year Performance (<i>AIF's performance against other funds in the same First Close year</i>)</p> <p>AND/OR</p> <p>6. Default Rates or Non-Accrual Loans (for debt AIFs, DFIs, NBFCs) (<i>percentage of loans in portfolio that are unable to make repayments as scheduled – as a measure of robustness of execution and risk management</i>)</p> <p>AND/ OR</p> <p>7. Recovery Rates (for, DFIs, NBFCs) (<i>percentage of the principal and accrued interest amounts recovered from loans that are in default e.g. via liquidation of assets, etc. – measuring robustness of SLFM's measures against downside.</i>)</p>		
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<b>Part B   R&amp;D and RDI-Intensive Technology Focus: Orientation and Competence to Execute RDIF Mandate</b>				
<i>(RDIF may select any or more of the options listed below, as deemed fit by the Executive Council on the advice of the Expert Advisory Committee.)</i>				
3	<p><b>Investment Thesis (which may be part of the Private Placement Memorandum):</b> alignment with RDIF Investment Thesis.</p>	<p>Qualitatively assessed and scored, based on expert evaluation against RDIF Investment Thesis criteria. Scoring would take place against</p> <p>Alignment with RDIF R&amp;D / RDI-intensive technology and Priority Sectors</p> <ul style="list-style-type: none"> <li>- Focuses only on R&amp;D / RDI-intensive technology and only in RDIF Priority Sectors (Score A)</li> <li>- Focuses only on R&amp;D / RDI-intensive technology in RDIF Priority Sectors plus other Sectors (Score B)</li> <li>- Focuses on R&amp;D / RDI-intensive technology and other sources of value in RDIF Priority Sectors plus other Sectors (Score C)</li> </ul> <p>Based on the scale adopted by the Executive Council, the final value of A, B, and C shall be decided. However, A &gt; B &gt; C shall be maintained.</p> <p>Technology maturity ranges specified in the RDIF Investment Thesis (TRL 4+)</p> <p>Venture development stage (laboratory spin-out to production)</p>		
4	<p><b>Track Record in R&amp;D Scale Up and RDI-Intensive Technology Competence.</b></p> <p>Demonstrated competence with the high- uncertainty investments characterising RDI-intensive technology – at the TRLs concerned.</p>	<p>While Indian AIFs / DFIs / NBFCs have limited experience with R&amp;D-intensive RDI- intensive technology, Fund Management teams that have achieved the following would be highly scored:</p> <p>At least <b>one</b> exit from an RDI-intensive technology firm; AND/OR</p>		

	This would include technology stage / maturity, advanced science bases, 'hockey-stick' valuation growth (long low period, followed by exponential increase).	At least <b>two</b> prior investments in RDI-intensive technology firms.		
5	<b>Track Record in Investment Sizes for R&amp;D Scale Up.</b> Demonstrated competence with the size of investments needed to scale-up R&D.	Ticket Sizes in previous Funds (for AIFs) or across the previous five years (for DFIs / NBFCs):  1. Average value across previous Funds (for AIFs) or across the previous five years (for DFIs / NBFCs): indicating general familiarity with managing investment ticket sizes in the RDIF's target range;  2. Modal value across previous Funds (for AIFs) or across the previous five years (for DFIs / NBFCs): indicating consistent ability to manage these ticket sizes  3. Trends (longitudinal) across previous two Funds (for AIFs) or across the previous five years (for DFIs / NBFCs).		
6	<b>Absorption and Utilisation Capacity.</b> Ability to effectively invest capital contributions received, in companies including startups.	Percentage of previous Fund committed to investees.		

**5. QCBS Quality Criteria for Focused Research Organisations.** Focused research organisations (FROs) are defined by a specialised focus on particular technologies, sectors, or innovation functions. In India, they are typically attached to public academic or research institutions. Reflecting their institutional nature and specialised functions, RDIF

- 5.1. Selects FRO SLFMs on the basis of nomination by EGoS, on the recommendation of the Executive Council;
- 5.2. Supports such nominations with competitive quality-based selection criteria that are tailored to the specific requirements of technology, sector, or innovation function concerned;

Except for statutory / autonomous institutions of the Government of India, which may be directly nominated by the EGoS, on the recommendation of the Executive Council.

**6. Selection Process.** RDIF executes QCBS through the following process. This presumes (a) a 15-year cycle of investment and returns, to be repeated across RDIF overall 50-year lifespan, and (b) a 6-year commitment period from Year 1 to Year 6 of each cycle.

- 6.1. Step 1: Notice Inviting Applications and Bid Submission. RDIF releases Notes Inviting Applications (NIAs) to become SLFMs from Year 1 to Year 6 of its first cycle. Following a cohort-based approach (at a frequency to be decided by the RDIF), these are released periodically during each financial year.

- (i) NIA Formulation. The RDIF shall draft NIAs to reflect
- (a) Sectors, sub-sectors, and types of projects (not specific projects by SLFMs) approved by the EGoS, and updated in the RDIF Investment Thesis;
  - (b) Quality criteria as listed above;
  - (c) Cost criteria as listed above.
- (ii) NIA Publication. RDIF must maximise awareness of its NIAs in an open and transparent process, including via public advertisement and upload to its public digital channels.
- (a) Simultaneously, the RDIF may ensure that the most competent Indian SLFMs are available for consideration.
  - (b) RDIF may proactively reach out to highly-regarded AIFs, focused research organisations (FROs), development finance institutions (DFIs), and non-banking finance corporations (NBFCs), to encourage their application to the open NIA process
- (iii) Bid Submission. Organisations interested in becoming RDIF SLFMs provide bid documents details to the RDIF in bid documents. These shall include
- (a) Due diligence information as may be specified by the RDIF, including supporting documents (such as Indentures of Trust for the AIF Trust, Articles of Association and Memoranda of Agreement for Investment Managers, etc.);
  - (b) Quality criteria template information as selected by the RDIF from the options provided above, including supporting documents;
  - (c) Cost criteria template information following the specification above;
  - (d) Any other information as advised by the Expert Advisory Committee.
- 6.2. Step 2: Screening and Investment Memorandum Preparation by RDIF. The RDIF shall:
- (i) Conduct a detailed verification, review, and analysis of the Bid Documents, and all supporting material; seeking clarification or additional information where needed from applicants;
  - (ii) Screen applications for basic compliance with NIA information and due diligence requirements;
  - (iii) For those Bids clearing such screening: drafts Investment Memoranda summarising key details (and seeking clarification where needed from applicants) from the verification and review;
  - (iv) Provide these Investment Memoranda accompanied by supporting Bid Documents to the Executive Council for its consideration along with the specific advice of the Expert Advisory Committee, if any.
- 6.3. Step 3: Evaluation and Recommendation by the Expert Advisory Committee. The Expert Advisory Committee may invite applicants to make presentations on their suitability for RDIF funding.
- (i) The Expert Advisory Committee evaluates and scores the suitability of applicants, and recommend SLFMs for selection, on the basis of

- (a) Cost, following broad criteria outlined above;
  - (b) Quality, following broad criteria outlined above.
- (ii) The Executive Director, RDIF shall document the recommendations of the Expert Advisory Committee regarding the selection process and submit them to the Executive Council for its consideration.
- 6.4. Step 4: Executive Council Recommendations. The Executive Council, after due deliberations on the submitted proposals, may recommend a list of SLFMs to EGoS for final approval.
- 6.5. Step 5: EGoS Approvals. EGoS shall consider the recommendations of the Executive Council and record its decisions and approvals accordingly.
- 6.6. Step 6: Provisional Letter of Intent and Contribution/Loan Agreement.
- (i) To support SLFMs in raising further private capital for RDI-intensive technology investment, the RDIF shall issue a Provisional Letter of Intent to the SLFM within a reasonable time-period.
  - (ii) Upon receipt of the Contribution/ Loan Agreements executed by the SLFM with private investors, the RDIF shall, within a reasonable time- period, finalize and execute its own Contribution/ Loan Agreement with the SLFM.

## 2.4.10 Code of Conduct Policy

**Anusandhan National Research Foundation  
(Statutory Body Created by an Act of Parliament)**

3rd & 4th Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi - 110016

**Code of Conduct for Members of Various Committees of ANRF**

The Anusandhan National Research Foundation (ANRF) has a duty to ensure that applications for funding are assessed expertly, objectively and impartially. Review by an appropriately constituted body is therefore seen as an essential element of the ANRF's decision-making process. For this reason, the ANRF delegates authority to make recommendations on applications to an appropriate Committee. The ANRF relies heavily on the willingness of members of the scientific community to spare their time to serve these Committees and is most grateful to them for the vital role they play in the grant-giving process.

The ANRF also recognizes the need to protect and preserve the integrity of the ANRF's grant-giving processes, and is concerned that members may not breach confidentiality and provide information on Committee discussions, decisions and recommendations especially when under pressure. To assist the Committee members in these situations, a code of conduct has been drawn for members of the Committee.

For the protection of Committee members and referees, and to ensure the impartiality of the peer-review process, if the ANRF has reason to believe that a member of the Committee has breached the following code of conduct, then he/she may be asked to resign his/her membership. If concerns of a serious nature come to the attention of the ANRF, then an enquiry will be constituted and appropriate decisions taken.

**CODE OF CONDUCT**

**1. The Committee Member's should be aware that:**

- 1.1** They are covered by the Policy on Conflicts of Interest<sup>1</sup> and are required to declare any interests that could give rise to a conflict of interest with their role.
- 1.2** They should not offer advice to members of the scientific community on the ANRF/Committee policy and practices; for example, on application procedures - all such enquiries should be directed to the concerned staff of the ANRF.

**2. The following are strictly confidential:**

- 2.1** The Committee discussions (including the reasons for decisions to fund or not to fund).
- 2.2** The contents of papers and correspondence relating to applications for funds.

**3. The Committee members and referees also have a right to expect that their comments will be treated in confidence; by both the ANRF Officer/staff and other members of the Committee and that the granting system is fair.**

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<sup>1</sup> The conflict of interest policy is given separately.

**For these reasons:**

- 3.1 Papers and electronic material must be kept secure and not disseminated to anyone but those authorized.
- 3.2 Proposals must not be discussed with others (including colleagues at the member's organization or referees) without prior permission from the ANRF.
- 3.3 Members of the Committee must not inform applicants of the composition of the Committee or details of other applicants. The ANRF will provide details or make them publicly available as appropriate.
- 3.4 Members of a Committee are not allowed to submit research proposals to the Committee as Principal Investigators or Co-Principal Investigators. Proposals from members will be submitted and reviewed by another relevant committee, with *ad hoc* experts if necessary.
- 3.5 Members of the Committee who are connected<sup>2</sup> in any way with a proposal must absent themselves from the meeting room during discussion of the proposal and must not be informed of the outcome of the application by other members. The ANRF will inform them in due course if appropriate.
- 3.6 No aspect of the deliberations of recommendations regarding the proposal should be discussed with applicants, either in connection with their own proposal, or any other proposal. Feedback will be provided as appropriate by the ANRF, in accordance with the practice. Should this feedback require interaction with a committee member, this will be conveyed to the member by the ANRF. The Committee members should refuse any requests for information or for an explanation of how a particular decision was reached – all such requests must be referred to the ANRF.
- 3.7 The identity of referees must be kept confidential at all times.

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<sup>2</sup> An individual will be connected with a grant application if he or she is: A relative or member of the household of one of the applicants (including but not limited to spouse, child, sibling or parent), a business partner of one of the applicants, the applicant's thesis or postdoctoral mentor, or scientific collaborator in the preceding 5 years, a member or employee of the same Department or Institution (Refer conflict of interest policy for details).

## 2.4.11 Conflict of Interest Policy

**Anusandhan National Research Foundation  
(Statutory Body Created by an Act of Parliament)**

3rd & 4th Floor, Block II, Technology Bhawan, New Mehrauli Road, New Delhi - 110016

**Policy on Conflict of Interest**

**For Grant Applicants (Including Collaborators), Reviewers, Committee Members and Officers  
Dealing with Various Programs/ Schemes of ANRF**

Issues of Conflicts of Interest and ethics in scientific research and research management have assumed greater prominence, given the larger share of Government funding in the country's R & D scenario. The following policy pertaining to general aspects of Conflicts of Interest and code of ethics, are objective measures that is intended to protect the integrity of the decision-making processes and minimize biasness. The policy aims to sustain transparency, increase accountability in funding mechanisms and provide assurance to the general public that processes followed in award of grants are fair and non-discriminatory.

**Definition of Conflict of Interest**

Conflict of Interest means "any interest which could significantly prejudice an individual's objectivity in the decision-making process, thereby creating an unfair competitive advantage for the individual or to the organization which he/she represents". The Conflict of Interest also encompasses situations where an individual, in contravention to the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

**1. Coverage of the Policy**

- a) The policy shall be binding on persons applying for and receiving funding from ANRF, Reviewers of the proposal and Members of Expert Committees, Programme Advisory Committees and other relevant committees of ANRF. The policy is also binding on all individuals including Officers of ANRF and Committees involved in evaluation of proposals and subsequent decision-making process.
- b) This policy aims to minimize aspects that may constitute actual Conflict of Interests, apparent Conflict of Interests and potential Conflict of Interests in the funding mechanisms that are presently being operated by ANRF. The policy also aims to cover, although not limited to, Conflict of interests that are Financial (gains from the outcomes of the proposal or award), Personal (association of Family members) and Institutional (Colleagues, Collaborators, Employer, persons associated in a professional career of an individual such as Ph.D. supervisor etc.).

**2. Specifications as to what constitutes Conflict of Interest**

Any of the following specifications (non-exhaustive list) imply Conflict of Interest if,

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a relative or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision-making process
- (iii) The applicant for the grant is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer-employee relationship in the past five years with that individual.

- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.
- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant (such as Ph.D. supervisor, Mentor, Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last five years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

### **3. Regulation**

The ANRF shall strive to avoid conflict of interest in its funding mechanisms to the maximum extent possible. Self-regulatory mode is however recommended for stake holders involved in scientific research and research management, on issues pertaining to Conflict of Interest and scientific ethics. Any disclosure pertaining to the same must be declared voluntarily by the Applicant/Reviewer/Committee Member.

### **4. Code of Conduct to be followed by the Applicant for Grant**

- (a) The applicant must refrain from suggesting referees with potential Conflict of Interest that may arise due to the factors mentioned in the specifications described above in Point No. 2.
- (b) The applicant may mention the names of individuals to whom the submitted proposal should not be sent for refereeing, clearly indicating the reasons for the same.

### **5. Code of Conduct to be followed by Reviewers/Committee Members**

- (a) All reviewers shall submit a conflict-of-interest statement, declaring the presence or absence of any form of conflict of interest.
- (b) The reviewers shall refrain from evaluating the proposals if the conflict of interest is established or if it is apparent.
- (c) All discussions and decisions pertaining to conflict of interest shall be recorded in the minutes of the meeting.
- (d) The Chairman of the Committee shall decide on all aspects pertaining to conflict of interests.
- (e) The Chairman of the Committee shall request that all members disclose if they have any conflict of interest in the items of the agenda scheduled for discussion.
- (f) The Committee Members shall refrain from participating in the decision-making process and leave the room with respect to the specific item where the conflict of interest is established or is apparent.

- (g) If the Chairman himself/herself has conflict of interest, the Committee may choose a Chairman from among the remaining members, and the decision shall be made in consultation with Member Secretary of the Committee.
- (h) It is expected that a committee member will not seek funding from a committee in which he/she is a member. If any member applies for grant, such proposals will be evaluated separately outside the Committee in which he/she is a member.

**6. Confidentiality**

The Reviewers and the Members of the Committee shall safeguard the confidentiality of all discussions and decisions taken during the process and shall refrain from discussing the same with any applicant or a third party.

**7. Code of Conduct for Officers dealing with Programs in ANRF**

While it is mandatory for the program officers to maintain confidentiality as detailed in point no. 6 above, they should declare, in advance, if they are dealing with grant applications of a relative or family member (including but not limited to spouse, child, sibling, parent) or personal friend or thesis/ post-doctoral mentor or stands to benefit financially if the applicant proposal is funded. In such cases, ANRF will allot the grant applications to the other program officer.

**8. Appellate authority**

CEO, ANRF, shall be the appellate authority in issues pertaining to conflict of interest and issues concerning the accountability of the decision-making process. The decision of CEO, ANRF in these issues shall be final and binding.

## 2.5 Other Guidelines

### i. Exemption of Make in India clause for procurement of various ICT items through GeM

2(8)/2021-EG-II  
Government of India  
Ministry of Electronics & Information Technology  
\*\*\*\*\*

Electronics Niketan  
6, CGO Complex  
New Delhi-110003  
Dated: 14.09.2021

#### OFFICE MEMORANDUM

**Subject: Exemption of Make in India (MII) clause for procurement of various ICT items through GeM – regarding.**

This has reference to the request made by National Informatics Centre (NIC)/ National Informatics Centre Services Inc. (NICS) for the exemption of Make in India (MII) clause for procurement of various ICT items through GeM.

2. The various ICT items (hardware and software items) requested for exemption along with their justification for exemption are listed in table at **Annexure I**.

3. In this regard, the Government has issued Public Procurement (Preference to Make in India) Order 2017 vide the Department for Promotion of Industry and Internal Trade (DPIIT) Order No.P-45021/2/2017-B.E.-II dated 15.06.2017, as amended by Orders dated 28.05.2018, 29.05.2019, 04.06.2020 and 16.09.2020 to encourage 'Make in India' and promote manufacturing and production of goods and services in India with a view to enhancing income and employment.

4. In furtherance of the Public Procurement (Preference to Make in India) Order 2017 [PPP-MII Order 2017], Ministry of Electronics and Information Technology (MeitY) has notified Electronic Product Notification vide F. No. 43(4)/2019-IPHW dated 07.09.2020 a mechanism for calculating local content for 13 Electronic Products viz., (i) Desktop PCs, (ii) Thin Clients, (iii) Computer Monitors, (iv) Laptop PCs, (v) Tablet PCs, (vi) Dot Matrix Printers, (vii) Contact and Contactless Smart Cards, (viii) LED Products, (ix) Biometric Access Control / Authentication Devices, (x) Biometric Finger Print Sensors, (xi) Biometric Iris Sensors, (xii) Servers, and (xiii) Cellular Mobile Phones, for procurement to be made from local suppliers.

5. In this regard, I am directed to convey the approval of Hon'ble Minister of Electronics and Information Technology for exemption of Make in India (MII) clause for procurement of the ICT items requested by NIC/ NICS (refer Annexure I) as per clause 14 of the Public Procurement (Preference to Make in India) Order 2017 with order No.P-45021/2/2017-B.E.-II dated 16.09.2020 with following conditions:

- i. NIC/ NICS will do a thorough check on Government e-Marketplace (GeM) for availability of ICT items as per Make in India (MII) conditions before going for the exempted category of procurement.
- ii. Exemption is given for a maximum period of one year which may be reviewed any time after completion of 6 months.



6. NIC/ NICS I to adhere to Public Procurement (Preference to Make in India) Order 2017 by DPIIT and Electronic Product Notification by MeitY as amended from time to time.

This issues with the approval of competent authority.



(D. K. Sagar)  
Deputy Director  
Tel. no. 24301234

To

1. DG, NIC
2. MD, NICS I
3. Secretary, DPIIT & Chairman, Standing Committee on PPP-MII Order 2017
4. IPHW Division, MeitY

Annexure I

List of various hardware and software items requested by NIC/ NICS I for Exemption of Make in India (MII) clause for procurement through GeM

Sl. No.	ICT Item Categories	Item Details	Justification for MII Exemption
<b>National Informatics Centre(NIC)</b>			
1	<b>Software - Cloud Orchestration &amp; System Software.</b>	<p>Cloud Computing &amp; System Software like VMware, Microsoft and RHEL.</p> <p>RedHat Enterprise Linux Server OS, Standard &amp; VDC Premium</p> <p>RedHat Enterprise Linux Server Smart Management software (Unlimited guests)</p> <p>Microsoft Windows OS+ Software Assurance 2 Core 2019</p> <p>Microsoft SQL Server 2019 Standard &amp; Enterprise</p> <p>VMware for Standard for VShpere</p> <p>VMWare . VCloud Suit Advanced</p> <p>Quest Backup and Disaster recovery s/w</p>	<p>To provide continuous Service support to the existing users (various ministry/dept/org from central as well as state governments) for their running applications, Cloud Orchestration &amp; management software Licenses need to be procured from OEM VMware and OEM Microsoft for regular renewal/ refresh of the existing setup and for enhancement for meeting the growing requirements.</p>
2	<b>SAN Storage and Backup</b>	<p><b>Enterprise Storage (Enterprise SAN, All Flash)</b></p> <p>It is informed that two units of existing Enterprise Storage with total 1.0 PB are reaching end of support life and must be replaced immediately.</p> <p>Enterprise Storage with 1.0PB raw capacity (all Flash Disks)</p> <p><b>Upgrade of Physical Tape Library with LTO8 Drives</b></p> <p>NDC is providing data backup &amp; restore services for the data protection of</p>	<p>Enterprise Class Storage systems are not presently being manufactured in India.</p> <p>The currently deployed Tape Library at Delhi need to be upgraded. This can be done from the existing OEM only. Upgradation can be done from the same only M/s Overland Tandberg.</p>

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	<p>applications and databases hosted here. At present data backup of around 6800 application/databases is taken. With the increased demand data backup requirement is growing exponentially. To cater to this backup infrastructure is regularly upgraded. There is a need of many critical projects for Long Term Retention (LTR), of more than 2 years, to be based on user demand and criticality of the project. Data backup with LTR is kept on LTO8 Tapes using Physical Tape Library (PTL) having LTO8 tape drives. These is an urgent requirement to expand the services by increasing the number of LTO drives.</p> <p>11 LTO8 drives from same OEM i.e. M/s Overland Tandberg.</p> <p><b>Purpose Built Backup Appliances with Backup Software for upgrade of IBS</b></p> <p>An Integrated Backup System (IBS) has been deployed in November 2019 in Delhi. This solution at Delhi is also required to be upgraded.</p> <p>In order to ensure protection of the data at NDC Pune a similar solution is required procured to meet growing requirements for backing up of data at National Data Centre.</p>	<p>Integrated Backup System/Purpose Built Backup Appliance solutions are not presently being manufactured in India.</p>
3 Data Centre Networking	Data Centre class LAN Switches	These DC class network switches are presently not

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		<p>There is constant ongoing requirement for replacements and for additional equipment to provide connectivity to new servers to meet the growing requirements of the Data Centres</p> <p>Presently there are multiple proposals for procurement of Network Switches (48 ports with 10/25 G port speed) in process of approval to meet new requirements as well as replacements.</p> <p>SAN Switch, 48 port SAN Switch, Router</p>	<p>manufactured in India</p>
4	<p><b>Data Centre Cyber Security</b></p>	<p><b>Anti-Distributed Denial of Services (DDoS) Solution</b></p> <p>NIC Data Centres have multiple layers of security deployed across Data Centre from perimeter to Server/Endpoint. DDoS attacks on any service of the Data Centre will completely exhaust the resources of security solutions like the firewall. This will result in all the services of Data Centre becoming unavailable for the users. Even DDoS attack on a single server may lead to the denial of service to the whole Data Center leading to total disruption of services, Network Firewall to provide the access only for desired services i.e. only authorized services, Intrusion Prevention System (IPS devices) for the deep inspection of packets through predefined signatures and Web</p>	<p>Distributed Denial of Services Mitigation solution (DDoS) for the protection of DDoS types of attacks is critical cyber security solution and are not presently manufactured in India.</p>

	<p>Application Firewall to provide the protection to web services like OWASP top 10 attacks at the perimeter level, Antivirus, Patch Management are at the End Point server-level protection, Hardening of OS, Webserver, DB and Framework and Vulnerability Assessment at server level, Security Audit and VA PT at the Application level and Encryption and Digital Signatures at the Data level security.</p> <p><b>Advanced Threat (SANDBOX)</b>      <b>Persistent Solution</b></p> <p>All these above deployed security solutions rely on identified known indicators of attack, be it through signatures, heuristics or reputation methods. Deployed existing security solutions are very good to give us necessary protection but still there is some security gaps including zero-day attacks, unknown malwares and malicious files/objects and Advanced Persistent Threats attacks and multi-flow attacks, lateral Movement threats including threats which have the ability to mutate and change to avoid detection. These can only be addressed through APT Solutions.</p> <p>2 pair of Network &amp; Web APTs/Sandboxing</p>	<p>Existing security solutions are very good to give necessary protection but still there are some security gaps including zero-day attacks, unknown malwares and malicious files/objects and Advanced Persistent Threats attacks and multi-flow attacks, lateral Movement threats including threats which have the ability to mutate and change to avoid detection. These can only be addressed through APT Solutions which is an essential cyber security solution and are not presently manufactured in India.</p> <p>This is a very critical equipment and since this is managing the firewalls across the Data Centre which are of Checkpoint OEM this a PAC buying and has to be procured from the OEM M/s Checkpoint which is not manufacturing this equipment in India. (File</p>
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	<p><b>MDS &amp; MLM – PAC buying from M/s Checkpoint</b></p> <p>NDC Delhi has a homogeneous environment to protect at perimeter level through Firewalls for all the 38 PODs deployed through a single console of OEM M/s Checkpoint. The Centralized Management Solution i.e., (MDS (Multi-Domain Security Management Appliance) and MLM (Multi-Customer Log Manager)) are deployed to manage all Checkpoint firewalls i.e. to create the global rules or a specific rule to any POD firewall and subsequently deploy the same at all Checkpoint firewalls through a single click and MLM is used to store all logs and policies of all Gateways (Firewalls). This is deployed in high availability mode and one set of the MDS and MLM are obsolete and need to be replaced.</p> <p><b>Intrusion Prevention System (IPS)</b></p> <p>Intrusion Prevention system works by examining incoming/outgoing traffic for intrusions, vulnerabilities, exploits and provides remediation to protect network, Servers, and Applications. IPS provides holistic view of intrusions across the network through a single Dashboard (Existing IPS Manager), where it stores</p>	<p>with ICT Committee)</p> <p>Presently some of the IPS procured from McAfee are reaching obsolete status and will soon be at end of support, and urgently need to be replaced. The proposal is in approval stage.</p>
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		<p>Logs, Single point where vulnerability patches, and signatures can be pushed to all the IPS sensors across the network. The IPS managers can be utilized as a single window to troubleshoot customer/network issues related to IPS. In the present setup the Data Centre has IPS Solutions of two OEMs – Radware and McAfee.</p> <p>Intrusion Prevention System VA Solution for Cloud Native Platform HIPS/AV Server Solution for Cloud Native Platform</p> <p><b>Network Firewall / Next Generation Firewall / NG UTM</b></p> <p>Firewall is a critical component of the perimeter level security to ensure no unauthorized access to any user servers. At present there is no OEM manufacturing this class of equipment in India.</p> <p>Firewall NextGen Software Defined Firewall</p>	<p>The Security set-up including Firewalls was initially procured during establishment of the Data Centre and has been extended as well as upgraded multiple times since then.</p>
5	<p><b>Rackmountable Servers and Hyper Converged Infrastructure</b></p>	<p>There are a number of proposals in GeM bid process for rackmount servers</p> <p>Open Stack &amp; Kubernetes (Server &amp; Storage Servers) Server</p> <p><b>Mini Cloud</b> (Computer infra cluster, Virtual Load Balancer, Backup application/Solutions, Cloud</p>	<p>Compute for critical services needs rigorous testing for its their reliability, security, support, etc. from their respective OEMs. Such systems are not presently manufactured in India.</p>

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		<p>Manager., Engineer Cloud Administrator, Hypervisor Licence)</p> <p><b>Compute Hyper Converged Infrastructure (HCI) Cluster</b></p>	
6	<b>Barracuda WAF instant replacement and Subscription Renewal support</b>	<p>NIC is having 12 numbers of Web Application Firewalls (Barracuda make) deployed in the Data Centres at NDCSP Delhi and NDC Hyderabad to cater to the Web protection service requirements. These devices are maintained by the OEM (Barracuda Networks Inc) that provides energised updates regularly in terms of latest definitions of attack vectors to ensure comprehensive web protection.</p>	<p>The subscription purchased for the updates can be procured only from the OEM or the dealer authorised by the OEM.</p> <p>So, the update license needs to be procured from the OEM/dealer only.</p>
7	<b>Mobile Testing Devices and Solutions (iOS(iPhone), IOS device (tab), Burp Suite Pro, Hopper Disassembler, GenY Motion Emulator, Laptop (Mac))</b>	<p>NIC Application Security Group (ASG) and five CoE-AppSec Centres have been carrying out the tasks of Pre-hosting Application Security Auditing and Post-deployment Application Penetration Testing of applications as a continuous activity in order to enhance the security posture of hosted web-applications/mobile Apps.</p> <p>Currently most portals and websites have also provided equivalent Mobile Apps to provide more ease and availability of information to the user. These Mobile Apps are designed for multiple environments like Windows, Android, and iOS, etc.</p> <p>For testing the security of</p>	<p>The Mobile Apps Test setup for testing Android, Windows and iOS is required, for which require devices may be needed from their respective OEMs. Some of the used Testing tools also need MII exemption as they are not available in India</p>

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		<p>Mobile Apps infrastructure following challenges are currently being faced:</p> <p>1. For testing Apps designed for Android, Windows, and iOS in respective live environments, relevant and robust testing devices are required.</p> <p>2. Additionally, testing tools and Software for the respective environments are also required.</p> <p>For testing the iOS-based applications, no testing can be undertaken due to unavailability of necessary resources.</p> <p>Thus, to have a broader platform for taking up the testing of Mobile Apps (for Android and iOS) following devices/solutions are needed:</p> <p>Laptop (MacBook)  iOS device (iPhone)  iOS device (Tab)  Burp Suite Professional  Hopper Disassembler</p>	
8	<p><b>The Videoconferencing setup items</b></p>	<p>The Videoconference is very essential services for Government of India and are being by Government officials at all levels. The quality and reliability of service also depends on performance and feature of the hardware equipment setup used at Studio/conference Hall at user premises.</p> <p>The Videoconference setup at many districts/states need to be replaced with new equipment. Details of the items are:</p> <p>The Videoconferencing Systems</p>	<p>The Videoconference is very essential services for Government of India and are being by Government officials at all levels. The quality and reliability of service also depends on performance and feature of the hardware equipment setup used at Studio/conference Hall at user premises.</p> <p>The Videoconference setup at many districts/states need to be replaced with new equipment.</p> <p>At present no OEMs are manufacturing this class of</p>

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			equipment In India.
9	<b>The MCU based Videoconferencing infrastructure Solution</b>	<p>The videoconferencing service play a vital role for Government of India in implementing &amp; monitoring of central/states government project, e-governance activities etc. The services are being extensively used by various Central and State Government officials at all levels including Hon'ble Prime Minister of India, Union Ministers, Governors, Chief Ministers, Cabinet Secretary, Secretaries, Chief Secretaries etc.</p> <p>The quality and experience of videoconferencing depend on the stability and features of the Central Infrastructure setup. It is advisable to setup a robust and unified videoconferencing solution, which can cater to high demand of Videoconferencing services and can integrate various devices from all platforms, networks etc.</p> <p>The proposal is to upgrades the MCU based Central Videoconferencing solutions with high capacity and start of Art technology.</p> <p>The items are: MCU and its components</p>	<p>The videoconferencing service play a vital role for Government of India in implementing &amp; monitoring of central/states government project, egovernance activities etc. The services are being extensively used by various Central and State Government officials at all levels including Hon'ble Prime Minister of India, Union Ministers, Governors, Chief Ministers, Cabinet Secretary, Secretaries, Chief Secretaries etc.</p> <p>The quality and experience of videoconferencing depend on the stability and features of the Central Infrastructure setup. It is advisable to setup a robust and unified videoconferencing solution, which can cater to high demand of Videoconferencing services and can integrate various devices from all platforms, networks etc.</p> <p>The proposal is to upgrades the MCU based Central Videoconferencing solutions with high capacity and start of Art technology.</p> <p>At present there is no OEM manufacturing this class of equipment in India.</p>
10	<b>MCU based Videoconferencing infrastructure Solution</b>	The items are MCU and its components.	The videoconferencing service play a vital role for Government of India in implementing & monitoring of central/states government project, egovernance activities etc. The services are being extensively used by various

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			<p>Central and State Government officials at all levels including Hon'ble Prime Minister of India, Union Ministers, Governors, Chief Ministers, Cabinet Secretary, Secretaries, Chief Secretaries etc.</p> <p>The quality and experience of videoconferencing depend on the stability and features of the Central Infrastructure setup. It is advisable to setup a robust and unified videoconferencing solution, which can cater to high demand of Videoconferencing services and can integrate various devices from all platforms, networks etc.</p> <p>The proposal is to upgrade the MCU based Central Videoconferencing solutions with high capacity and start of Art technology.</p> <p>At present there is no OEM manufacturing this class of equipment in India.</p>
11	<p><b>Strengthening of Web based Videoconferencing Infra Solution for Government of India</b></p>	<p>The items are Server Infrastructure, Firewall, Network Switch, VMWARE advanced cloud suite, VMware Vcentre suite etc.</p>	<p>The Web based BharatVC Videoconferencing technology solution was selected through MeitY Innovation Challenge under Digital India Initiative. The service is being rolled out by NIC for use by Government of India. A pilot setup has been created at NIC Data Centre SP. The demand of this VC service is increasing.</p> <p>It is necessary to create a stable, redundant and scalable videoconferencing infrastructure at NIC Data Centre to meet the increasing demand for video</p>

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			<p>conferencing services from the Government of India.</p> <p>At present there is no OEM manufacturing this class of equipment in India</p>
12	<b>The videoconferencing setup items</b>	<p>The Videoconferencing setup at many districts/states and many strategic locations like PMO, PMR, Cabinet Secretary Office, Office of Minister, MEITY etc. need to be replaced with items like The Videoconferencing Systems and Display Units etc.</p>	<p>The Videoconference is very essential services for Government of India and are being by Government officials at all levels. The quality and reliability of service also depends on performance and feature of the hardware equipment setup used at Studio/conference Hall at user premises.</p> <p>The Videoconference setup at many districts/states need to be replaced with new equipment.</p> <p>At present no OEMs are manufacturing this class of equipment In India.</p>
13	<b>SAN Storage and Backup</b>	<p><b>Enterprise Storage (Enterprise SAN, All Flash)</b></p> <p>It is informed that two units of existing Enterprise Storage with total 1.0 PB are reaching end of support life and must be replaced immediately. Hence, there is an urgent need to procure one Enterprise Storage with 1.0PB raw capacity (all Flash Disks) so that Data can be migrated on new storage well before 28-01-2022 to avoid any service outed or data loss.</p> <p>At present there is no OEM manufacturing this class of equipment in India.</p> <p><b>Upgrade of Physical Tape Library with LTO8 Drives</b></p>	<p>Enterprise Class Storage systems are not presently being manufactured in India.</p> <p>The currently deployed Tape Library at Delhi need to be upgraded. This can be done</p>

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	<p>NDC is providing data backup &amp; restore services for the data protection of applications and databases hosted here. At present data backup of around 6800 application/databases is taken. With the increased demand data backup requirement is growing exponentially. To cater to this backup infrastructure is regularly upgraded. There is a need of many critical projects for Long Term Retention (LTR), of more than 2 years, to be based on user demand and criticality of the project. Data backup with LTR is kept on LTO8 Tapes using Physical Tape Library (PTL) having LTO8 tape drives. There is an urgent requirement to expand the services by increasing the number of LTO drives. Hence there is need to upgrade the existing PTL by procuring 11 LTO8 drives from same OEM i.e. M/s Overland Tandberg.</p> <p>The proposal is under approval process. At present there is no OEM manufacturing this class of equipment in India.</p> <p><b>Purpose Built Backup Appliances with Backup Software for upgrade of IBS</b></p> <p>An Integrated Backup System (IBS) has been deployed in November 2019 in Delhi. This solution at Delhi is also required to be upgraded.</p>	<p>from the existing OEM only. Upgradation can be done from the same only M/s Overland Tandberg.</p> <p>Integrated Backup System/Purpose Built Backup Appliance solutions are not presently being manufactured in India.</p>
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		In order to ensure protection of the data at NDC Pune a similar solution is required procured to meet growing requirements for backing up of data at National Data Centre.	
14	<b>Data Centre Networking</b>	<p><b>Data Centre class LAN &amp; SAN Switches</b></p> <p>There is constant ongoing requirement for replacements and for additional equipment to provide connectivity to new servers to meet the growing requirements of the Data Centres. Presently there are multiple proposals for procurement of Network (48 ports with 10/25 G port speed) and <b>SAN Switches in process of approval to meet new requirements as well as replacements.</b></p> <p>SAN Switch with 144 Nos of FC Ports and 8 Nos of FCIP ports</p> <p>These DC class network &amp; SAN switches are presently not manufactured in India.</p>	These DC class network switches are presently not manufactured in India.
15	<b>Data Centre Cyber Security</b>	<p>NIC Data Centres have multiple layers of security deployed across Data Centre from perimeter to Server/Endpoint.</p> <p>Distributed Denial of Services Mitigation solution (DDoS) for the protection of DDoS types of attacks, Network Firewall to provide the access only for desired services i.e. only authorized services, Intrusion Prevention System (IPS devices) for the deep inspection of packets through predefined signatures and Web</p>	

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	<p>Application Firewall to provide the protection to web services like OWASP top 10 attacks at the perimeter level, Antivirus, Patch Management are at the End Point server-level protection, Hardening of OS, Webserver, DB and Framework and Vulnerability Assessment at server level, Security Audit and VA PT at the Application level and Encryption and Digital Signatures at the Data level security.</p> <p><b>Advanced Persistent Threat (SANDBOX) Solution</b></p> <p>All these above deployed security solutions rely on identified known indicators of attack, be it through signatures, heuristics or reputation methods. Deployed existing security solutions are very good to give us necessary protection but still there is some security gaps including zero-day attacks, unknown malwares and malicious files/objects and Advanced Persistent Threats attacks and multi-flow attacks, lateral Movement threats including threats which have the ability to mutate and change to avoid detection. These can only be addressed through APT Solutions.</p> <p>Procurement for 2 pair of Network &amp; Web APTs/Sandboxing solution is under approval process and needs to be procured</p>	<p>Existing security solutions are very good to give necessary protection but still there are some security gaps including zero-day attacks, unknown malwares and malicious files/objects and Advanced Persistent Threats attacks and multi-flow attacks, lateral Movement threats including threats which have the ability to mutate and change to avoid detection. These can only be addressed through APT Solutions which is an essential cyber security solution and are not presently manufactured in India.</p>
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	<p>urgently in view of the growing threat landscape.</p> <p>At present there is no OEM manufacturing this class of equipment in India.</p> <p><b>MDS &amp; MLM – PAC buying from M/s Checkpoint</b>  NDC Delhi has a homogeneous environment to protect at perimeter level through Firewalls for all the 38 PODs deployed through a single console of OEM M/s Checkpoint. The Centralized Management Solution i.e., (MDS (Multi-Domain Security Management Appliance) and MLM (Multi-Customer Log Manager)) are deployed to manage all Checkpoint firewalls i.e. to create the global rules or a specific rule to any POD firewall and subsequently deploy the same at all Checkpoint firewalls through a single click and MLM is used to store all logs and policies of all Gateways (Firewalls). This is deployed in high availability mode and one set of the MDS and MLM are obsolete and need to be replaced.</p> <p>This is a very critical equipment and since this is managing the firewalls across the Data Centre which are of Checkpoint OEM this a PAC buying and has to be procured from the OEM M/s Checkpoint which is not</p>	<p>This is a very critical equipment and since this is managing the firewalls across the Data Centre which are of Checkpoint OEM this a PAC buying and has to be procured from the OEM M/s Checkpoint which is not manufacturing this equipment in India. (File with ICT Committee).</p> <p>Presently some of the IPS procured from McAfee are reaching obsolete status and will soon be at end of support. and urgently need to be replaced. The proposal is in approval stage.</p>
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manufacturing this equipment in India.

**Intrusion Prevention System (IPS)**

Intrusion Prevention system works by examining incoming/outgoing traffic for intrusions, vulnerabilities, exploits and provides remediation to protect network, Servers, and Applications. IPS provides holistic view of intrusions across the network through a single Dashboard (Existing IPS Manager), where it stores Logs, Single point where vulnerability patches, and signatures can be pushed to all the IPS sensors across the network. The IPS managers can be utilized as a single window to troubleshoot customer/network issues related to IPS. In the present setup the Data Centre has IPS Solutions of two OEMs – Radware and McAfee.

At present there is no OEM manufacturing this class of equipment in India

Presently some of the IPS procured from McAfee are reaching obsolete status and will soon be at end of support. and urgently need to be replaced. The proposal is in approval stage.

**Anti-Distributed Denial of Services (DDoS) Solution**

DDoS attacks on any service of the Data Centre will completely exhaust the resources of security

Distributed Denial of Services Mitigation solution (DDoS) for the protection of DDoS types of attacks is critical cyber security solution and are not presently manufactured in India.

	<p>solutions like the firewall. This will result in all the services of Data Centre becoming unavailable for the users. Even DDoS attack on a single server may lead to the denial of service to the whole Data Center leading to total disruption of services. At present there is no OEM manufacturing this class of equipment in India.</p>	
<p>16 <b>Rackmountable Servers and Hyper Converged Infrastructure</b></p>	<p>Compute for critical services needs rigorous testing for its their reliability, security, support, etc. from their respective OEMs. Such systems are not presently manufactured in India.</p> <p>There are a number of proposals in GeM bid process for rackmount servers.</p> <p>Hybrid Software Defined Infrastructure on OpenStack &amp; Kubernetes/container solution and related items at NIC National Data Centre, Hyderabad  Open Stack (Server &amp; Storage Servers)-65 nos.  48 port switch-7 nos. &amp;  NextGen Software Defined Firewall – 100 nos. &amp;  VA Solution for Cloud Native Platform -1000 nos. &amp;  HIPS/AV Server Solution for Cloud Native Platform - 1000 nos.  Server – 10 nos. File No. M-13/1403/2020-Web Hosting</p> <p>At present there is no OEM manufacturing this class of</p>	<p>At present there is no OEM manufacturing this class of equipment in India.</p>

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17	<b>Software - Cloud Orchestration, Virtualization &amp; System Software</b>	<p>equipment in India</p> <p>Cloud Computing &amp; System Software like VMware, Microsoft and RHEL.</p> <p>To provide continues Service support to the existing users (various ministry/dept/org from central as well as state governments) for their running applications, Cloud Orchestration &amp; management software Licenses need to be procured from OEM VMware and OEM Microsoft for regular renewal/ refresh of the existing setup and for enhancement for meeting the growing requirements.</p> <p>This also include the (i) RHEL OS &amp; Smart Management software Licenses and (ii) Microsoft Windows OS &amp; SQL Server software Licenses as users are using it for their running applications.</p> <p>These are globally recognized software products available from international companies.  RedHat Enterprise Linux Server- 20 nos. &amp;  Smart Management- 20 nos. &amp;  VMware for Standard for VShpere -2 nos. &amp;  VMWare VCloud Suit Advanced -40 nos.,  <b>GeM Bid is in process but is now been put on hold.</b></p> <p>RedHat Enterprise Linux Server VDC Premium - 2 socket -15 nos.&amp;</p>	<p>These are globally recognized software products available from international companies. At present there is no OEM manufacturing this class of equipment in India.</p>
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		<p>Smart Management (Unlimited guests) - 2 socket - 15 nos., &amp; Windows Server DC+ Software Assurance 2 Core 2019 - 48 nos., &amp; Red Hat Enterprise Linux Server, Standard -2 nos.&amp; Smart Management (Up to 1 guest) - 2 socket-2 nos.</p> <p><b>GeM Bid is in process but is now been put on hold.</b></p>	
18	<b>Hardware Items</b>	<p>Color Laser Printers (HP M454dn) - 10 Nos. Mono Laser Printers (HP M405dn) - 30 Nos.</p>	<ol style="list-style-type: none"> <li>1. Rugged, reliable and heavy-duty printers</li> <li>2. Good and prompt service</li> <li>3. Direct support from OEM for typical issues</li> <li>4. Re-usability of consumables: PMO has large deployment of HP printers. Printer consumables similar model toner / printers consumables would be used for these proposed models hence no need to maintain additional inventory.</li> <li>5. Genuine spares and consumables/toners as they supply directly to user instead of through dealers.</li> </ol>
19	<b>Software items</b>	MS office 2018 - 50 Nos	<ol style="list-style-type: none"> <li>1. Wide acceptance of document format across the work</li> </ol> <p>Works on all OS platforms (Windows, iOS and MAC systems) Compatibility with earlier version documents and its macros.</p>
20	<b>Printer Toners &amp; Cartridges for 1 Quarter</b>	Details are placed at page-84/c.	<p>HP Printer/MFPs Printer Toners (Mono and Color Cartridges for are not manufactured in India. Similarly, HP Pagedwide printers needs Specialised Ink Cartridges with Electronic chips and electronics for specific models. These are highly</p>

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			specialised Cartridges and are not manufactured in India. These items are propitiatory and OEMs only manufacture these units.
21	Email security software / appliances transaction security and virus protection software	CISCO Email security Software (35000 Quantity)	The email traffic is handled by SMTP gateways appliances configured in clusters for scanning the emails. Use of these features is very critical for running the email services.
<b>National Informatics Centre Services Inc. (NICSI)</b>			
Sl. No.	ICT Item Categories	Item Details	Justification for MII Exemption
22	Storage (OEM-Dell)	Unified/ Enterprise Storage for DC/DR at NDC-BBSR/ LNDC	The Enterprise class storage is extremely crucial for mission critical Data Centre operations. These do have crucial functionalities which ensure zero data loss and real time sync to ensure Business continuity is always maintained. Given it's critical nature, it is manufactured by global players like Dell, Hitachi etc in their global factories. There are no manufacturers of Enterprise Class storage in India. <i>The requirement is for upgrading the current capacity of the existing storage array to meet the growing requirement.</i> <b>Bid has been placed with MII clause but no bidder participated.</b>
23	Active Networking components (OEM-CISCO)	Router/ SAN Switch/ Leaf Switch/ SFP for NDC-Bhubaneswar	There are no technical alternatives because; <i>it is the extension of existing infra.</i> Any change of technology at this stage would entail heavy cost and may disrupt the operation <b>Bid has been placed with MII clause but no bidder participated.</b>
24	Cloud Orchestration & System Software including their support	Microsoft Licenses VMware License Red Hat Enterprise Linux	To provide continuous Service support to the existing users for their running applications in

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	<b>service for Data Centre</b>	License Openstack services (VM/Container Support from RHEL) for critical applications VMware TAM Service Support.	Data Centre, Cloud Orchestration & management software Licenses need to be procured from OEM Microsoft/ VMware/ Red Hat and their support services for regular renewal/ refresh of the existing setup and for enhancement for meeting the growing requirements.
25	<b>Rackmountable Servers</b>	High End 2P/4P servers for NDC-BBSR	Compute for critical services needs rigorous testing for their reliability, security, support, etc. from their respective OEMs.
26	<b>Physical Hard Drive Destroyer</b>	Degausser for NDC-BBSR	This is required for destroying old Hard Drives due to security reason. <b>Bid has been placed with MII clause but no bidder participated.</b>
27	<b>Data Centre Cyber Security</b>	VA license for NDC BBSR	Vulnerability Assessment at server level, Security Audit and VA PT at the Application level and Encryption and Digital Signatures at the Data level security. <b>(PAC buying as it is extension of the existing license)</b>

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- ii. Public Procurement Reforms – DPIIT  
(<https://www.dpiit.gov.in/static/uploads/2025/06/76f517b6c5fa782ca12f164161da69d0.pdf>)
- iii. ICMR-DHR Policy on Biomedical Innovation & Entrepreneurship  
([https://www.icmr.gov.in/icmrobject/custom\\_data/pdf/policy-briefs/ICMR\\_DHR\\_Policy\\_on\\_Biomedical\\_Innovation\\_and\\_Entrepreneurship\\_final.pdf](https://www.icmr.gov.in/icmrobject/custom_data/pdf/policy-briefs/ICMR_DHR_Policy_on_Biomedical_Innovation_and_Entrepreneurship_final.pdf))
- iv. Improving the Culture of Research and Development (R&D) in State Universities and Institutes – NITI Aayog  
([https://www.niti.gov.in/sites/default/files/2024-06/StateUniRnD\\_FinalReport-Designedv3%20%281%29.pdf](https://www.niti.gov.in/sites/default/files/2024-06/StateUniRnD_FinalReport-Designedv3%20%281%29.pdf))



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