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Government of India
Ministry of Defence
Department of Defence Production

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GUIDELINES FOR RAKSHA MANTRI'S AWARDS
FOR EXCELLENCE IN DEFENCE AND AEROSPACE SECTOR

1. **INTRODUCTION.** In the past, only Ordnance Factories and Defence Public Sector Units / Shipyards were eligible for the annual Raksha Mantri's Awards for Excellence. With an aim to provide a further boost to the 'Make in India' initiative in Defence and Aerospace sector, and encourage growth of Private Industry in this segment, it has been decided that with effect from yr 2019 onwards, DPSUs / OFB Units and Private sector industry engaged in Defence and Aerospace sector will compete for a common set of Raksha Mantri's Awards for Excellence in Defence and Aerospace Sector. The framework for selection of units for these Awards, including eligibility conditions, assessment parameters and selection methodology, is described in this document.

2. **CORE OBJECTIVES OF AWARDS.** The core objectives for institution of the 'Raksha Mantri's Awards for Excellence in Defence and Aerospace Sector' are envisaged to be as follows:-

- (a) To encourage and reward, excellence in various dimensions of Defence and Aerospace Sector.
- (b) To facilitate widening and deepening of Industrial base in Indian Defence and Aerospace sector by identifying 'hidden gems' and promoting them as role models for others.
- (c) To provide a boost to export potential in Defence and Aerospace sector by publicising outstanding achievements at national and international level.
- (d) To encourage indigenous design, manufacture and innovation by instituting focused awards in these categories.
- (e) To facilitate wider recognition of outstanding Indian firms amongst national and international customers in Defence and Aerospace sector.

3. **AWARD CATEGORIES WITH SUB CATEGORIES AND PRIZE AMOUNTS/ TROPHY.**

(a) **Institutional Awards**

<u>Ser</u>	<u>Category</u>	<u>Sub-Category</u>	<u>Prizes</u>
1	RM's Award for Excellence in Innovation / Technological Breakthrough in Defence and Aerospace Sector	Large Scale Enterprises	<ul style="list-style-type: none"> • Winner and 1st Runner Up in each Category / Sub-Category. • Total 20 Awards in • 'Institutional' Category • Trophies and Citations to be awarded
2		Medium Scale Enterprises	
3		Small Scale Enterprises	
4		Start Up Entities	
5	RM's Award for Excellence in Indigenisation / Import Substitution in Defence and Aerospace Sector	Large Scale Enterprises	<ul style="list-style-type: none"> • Winner and 1st Runner Up in each Category / Sub-Category. • Total 20 Awards in • 'Institutional' Category • Trophies and Citations to be awarded
6		Medium Scale Enterprises	
7		Small Scale Enterprises	
8	RM's Award for Excellence in Exports in Defence and Aerospace Sector	Large Scale Enterprises	
9		Medium Scale Enterprises	
10		Small Scale Enterprises	

(b) **Individual / Team Awards**

<u>Ser</u>	<u>Category</u>	<u>Sub-Category</u>	<u>Prizes</u>
1	RM's Award for Excellence in Innovation / Technological Breakthrough in Defence and Aerospace Sector	--	<ul style="list-style-type: none"> • Winner, 1st Runner Up and 2nd Runner Up in each Category. • Total 06 Awards in
2	RM's Award for Excellence in Indigenisation / Import Substitution in Defence and Aerospace Sector	--	<ul style="list-style-type: none"> • 'Individual / Team' Category • Citations and Cash Awards (Rs. 5 Lakhs for Winner, Rs. 3 Lakh for 1st Runner Up and Rs. 2 Lakh for 2nd Runner Up).

4. **SUB-CATEGORIES FOR AWARDS.** In order to provide a level playing field amongst enterprises of different sizes, following turnover based criteria will be adopted:-

Ser	Sub-Category	Annual Turn Over in last FY (INR)	Remarks
1	Large	Above 250 Cr	Turnover as per revised classification approved by GOI in Feb'2018.
2	Medium	75 – 250 Cr	
3	Small	5 – 75 Cr	
4	Start Up	--	Should be in possession of Start Up Certificate of Recognition issued by DIPP

5. Thus a maximum of 26RM's Awards will be awarded to Public/Private Sector industry engaged in Defence and Aerospace Sector every year, commencing 2019-20 onwards.

6. The firms may simultaneously apply for more than one award.

7. **ELIGIBILITY CONDITIONS.** Following eligibility conditions will apply for selection Industry for RM's Awards:-

Ser	Condition	Remarks / Documents
1	Registered under Companies Act 2013 or MSME Act 2006	Copies of relevant documents to be enclosed with Award Application
2	In possession of GSTIN and PAN	
3	Not blacklisted or put on Tender Holiday by any Govt. agency	Self-affidavit signed by authorised signatory to be enclosed with Award Application
4	No legal action / enquiry pending for any Economic or Criminal offence	
5	In possession of Start Up Certificate of Recognition issued by DIPP	Applicable only for Start Up category. Copy of DIPP certificate to be enclosed

8. **APPLICATIONS FOR AWARDS.** The nominations for awards will be invited from Public / Private industry on a prescribed application format through an online Web Portal. The Awards may also be announced through print media and websites of MoD / Industry Associations.

9. **SELECTION METHODOLOGY.** The methodology for selection for Awards will be as follows:-

(a) **Submission of Self-Assessment.** Applications in the prescribed form, along with all relevant supporting documents and photographs is to be submitted by applicants for each Award, within promulgated closing date / time. There will be separate Application Forms for each award. Each Application Form will have variants, one each for sub-category (Large / Med /

Small / Start-Up). The applicant is to carefully choose the relevant application form for the applicable award / sub-category. Soft copies of all Application Forms / Variants would be available for downloading from website. Application Forms duly filled up along with all supporting documents / photographs/ video etc are to be uploaded through online Web Portal before promulgated closing date / time. Incomplete applications or those received after closing date / time will be summarily rejected and no correspondence will be entertained. *A suitable software application will be developed and deployed for On-Line submission and management of Award Applications.*

(b) **Pre-Screening/ Shortlisting of Applications by Sub-Committees.**

(i) The Self Assessment applications for each award / sub-category will be screened by Sub-Committee(s) headed by ADGQA / ADGAQA / Eqt Officers from DDP. The number of Sub-Committees to be constituted will be decided based on the number of Applications received for each award / sub-category.

(ii) The primary tasks of Sub-Committees will be:-

(aa) To verify and validate self assessment marks with the help of supporting documents / pictures submitted by the Applicant.

(ab) To weed out incomplete applications and recommend revised assessment in case self assessment is found to be exaggerated and not matching with supporting documents.

(ac) To short list suitable number of applications for each Award / Sub-Category for further assessment by the Expert Committee.

(c) **Assessment by Expert Committee.**

(i) All shortlisted applications will be assessed by a suitable Expert Committee (Jury) comprising of eminent professionals / domain experts with rich experience in dealing with Defence and Aerospace industry. The composition of Expert Committee will be approved by MoD / DDP. Suitable senior retired Officers of MoD / Services / DRDO with proven credentials may be engaged by MoD / DDP for this purpose as Consultants, in accordance with provisions of Rule 179 of GFR 2017.

(ii) The Expert Committee may invite shortlisted nominees for first hand interaction or undertake on-site assessment visits, as deemed

appropriate. The recommendations of Expert Committee will be presented to the Screening Committee before being put up to Hon'ble RM for final approval.

(d) **On-Site Validation / Assessment.** A suitable number of Teams will be constituted by MoD / DDP based on recommendation of Expert Committee for On-Site Validation / Assessment (OSVA) of short listed firms. The primary task of OSVA Teams will be to validate the claims made in self-assessment by the Applicant and make recommendations to Award Committee based on on-site assessment.

(e) **Final Assessment by Screening Committee.** A Screening Committee as per following composition will make final selection based on the recommendations of Expert Committee. The recommendations of Screening Committee will be submitted for final approval of Hon'ble Raksha Mantri.

Chairman: Secretary, Defence Production

Members: 1. SA to RM
2. Secretary (Defence Finance)
3. DGAQA
4. DGQA – Member Secretary

10. **ASSESSMENT PARAMETERS – BROAD FEATURES.** The parameters to be used for assessment for various Awards have been finalized after a comprehensive study of contemporary Awards and global best practices and with inputs of Industry Chambers viz. FICCI, CII / SIDM, ASSOCHAM and NASSCOM. Broad Features of Assessment Methodology are as follows:-

(a) **Objective Assessment.** One of the core features underlying the choice of methodology is Objectivity in Assessment. This has been achieved by selection of parameters with a pre-decided set of discrete options in the Application Form.

(b) **Marking on Binary or Sliding Discrete Scale.** The marking for various parameters is done on either Binary (e.g. 5 marks for Yes, 0 marks for No) or on Sliding Discrete Scale (e.g. 5 marks for option A, 4 marks for Option B etc.).

(c) **Checks Against False / Exaggerated Self Assessment.** Adequate checks are incorporated against false / exaggerated self assessment. This is

achieved by mandatory provision of supporting documents and on-site validation / assessment. Strict warnings against false / exaggerated self assessment are endorsed on Application Form with provision of disqualification from Awards process and public listing of firms making false claims in case of serious violation with malafide intent.

(d) **Weightage of Parameters.** Suitable weightage of various parameters will be assigned so as to achieve an optimal balance aligned with the overall intent of a specific award.

(e) **Level Playing Field in Different Sub-Categories.** The discrete choices for various parameters and their weightages have been carefully finalized so as to ensure a level playing field for applicants within respective sub-categories viz. Large, Medium, Small and Start Up.

11. **ASSESSMENT PARAMETERS**

(a) **RM's Award For Excellence In Innovation / Technological Breakthrough In Defence And Aerospace Sector.** This Award will be for a specific achievement in Innovation /Technological breakthrough. A brief write-up on innovation/technological breakthrough will be provided by the Applicant along with supporting documents/photographs/videos. The assessment parameters will be as follows :-

<u>Ser</u>	<u>Parameter</u>	<u>Wt</u>	<u>Remarks</u>
1	Technological Complexity of innovation	20	<ul style="list-style-type: none"> Detailed questions for each sub-parameter with discrete choices will be in Application Form. Discrete choices and weightages will be suitably tailored for different sub-categories, so as to provide level playing field.
2	Whether any patent / design has been granted or applied for	10	
3	Level of documentation generated for design	10	
4	Cost saving achieved by innovation – per unit and total.	20	
5	Time elapsed since innovation has been put to production / deployment	10	
6	Whether innovation has won any other awards	10	
7	Ease of assembly / operation / maintenance achieved by Innovation	10	
8	Improvement in Performance of main system achieved by Innovation	10	

(b) **RM's Award For Excellence In Exports In Defence And Aerospace Sector.** The assessment parameters for RM Award for Excellence in Exports in Defence and Aerospace will be as follows:-

<u>Ser</u>	<u>Parameter</u>	<u>Wt</u>	<u>Remarks</u>
1	Volume & Value of Export orders in def& aerospace sector	20	<ul style="list-style-type: none"> Detailed questions for each sub-parameter with discrete choices will be in Application Form. Discrete choices and weightages will be suitably tailored for different sub-categories, so as to provide level playing field.
2	Av Annual Growth Rate for 2.1 above	20	
3	Technological Complexity of products	20	
4	Time elapsed since 1 st Export order	10	
5	Diversity of Customer base – supplying to how many countries	10	
6	Capability for international operations – footprint in foreign market	10	
7	Level of participation in international defence expositions – whether as exhibitor or visitors	10	

(c) **RM's Award For Excellence In Indigenisation / Import Substitution In Defence And Aerospace Sector.** This Award will be for a specific achievement in indigenization/import substitution of a product which was earlier being imported. A brief write-up on product will be provided by the Applicant along with supporting documents / photographs. The assessment parameters will be as follows:-

<u>Ser</u>	<u>Parameter</u>	<u>Wt</u>	<u>Remarks</u>
1	Volume & Value of orders of indigenized product	20	<ul style="list-style-type: none"> Detailed questions for each sub-parameter with discrete choices will be in Application Form. Discrete choices and weightages will be suitably tailored for different sub-categories, so as to provide level playing field.
2	Technological Complexity of indigenized product	20	
3	Whether any patent / design has been granted or applied for	10	
4	Level of documentation generated for indigenized product	10	
5	Cost saving achieved by indigenization – per unit and total	20	
6	Time elapsed since field deployment of indigenized product	10	
7	Whether product has been exported or has export potential	10	

12. **APPLICATION FORMAT.** The Application will comprise of the following:-

- Part 1 of Application will include general information about the applicant and will be common for all award categories / sub-categories.
- Part 2 of Application will be different for each Award category viz. Awards for Innovation/Technological Break-Through; Indigenization/Import Substitution ; Exports. Further, there will be different variants of Part 2 for each subcategory viz. Start-Up / Small / Medium / Large.

(c) All Application Formats / Variants will be made available through online Web Portal for uploading of information. The Applicant will be required to upload information in correct variant of Application Form.

13. **CREATION OF RM'S AWARDS CELL AT DGQA.** For effective management of the portal and providing secretarial services for coordinating various activities related to RM's Awards, a dedicated Cell will be created under DGQA.

14. **REVIEW OF GUIDELINES.** These guidelines may be reviewed periodically, based on lessons learnt during operationalisation.

15. **SUMMARY.** Broad methodology of assessment for Raksha Mantri Awards has been highlighted in this document. The methodology has been finalized after a comprehensive study of all contemporary awards and is in accordance with best global practices. The methodology will be further fine-tuned based on lessons learnt during selection process in the initial years.

16. Present Guidelines supersedes Award for Excellence issued vide MoD/DDP Letter No. 8(72)/2002/D(B&C) dated 21/08/2002.


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DGOF & Chairman, OFB Kolkata

CMDs of HAL, BEL, BDL, BEML, GRSE, GSL, MDL, MIDHANI,

CEOs of FICCI, ASSOCHAM, SIDM

JS (LS)

JS (DIP)

JS (NS)

JS (Aero)

Addl FA (RK)

DGQA

DGAQA

PS to RM

PS to RRM

PS to Minister (HI&PE)

PS to Minister MSME

Sr PPS to SA to RM

SO to Def. Secy

Sr PPS to Secy (DP)

PPS to AS (DP)

PS to Secy (Def Fin)

Director (Fin/Budget)