

HANDBOOK OF SUPPLEMENTARY PROCEDURES TO DPFM 2021



30 April 2021

**Directorate of Planning & Coordination
Defence Research and Development Organisation
DRDO Bhawan, Rajaji Marg
New Delhi-110011**

PREFACE

The '**Handbook of Supplementary Procedures to DPFM 2021**' contains Guidelines, Forms, Formats, Templates, Checklists & Abbreviations which have to be referred in conjunction with the '**Directives for Project Formulation and Management in DRDO (DPFM 2021)**'.

Handbook Contents are denoted as DRDO.DPFM.GL.SN for Supplementary Guidelines; DRDO.DPFM.FF.SN for Forms, Formats and Templates; DRDO.DPFM.CL.SN for Checklists and DRDO.DPFM.AL.SN for Abbreviation Lists. SN stands for corresponding serial number.

This document i.e. '**Handbook of Supplementary Procedures to DPFM 2021**' is being issued with the approval of DG (R&M). Contents of the Handbook are indicative and amendment to this document, if required shall be promulgated by Directorate of Planning and Coordination (DP&C) with the approval of DG (R&M).

New Delhi
30 April 2021

Director Planning & Coordination
DRDO HQ, New Delhi

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DRAFT PROJECT PROPOSAL

1. The Designated Project Director will prepare a Draft Project Proposal containing details of pre-project activities and Project attributes. The proposal shall be submitted to Cluster Council for seeking in-principle approval and thereafter to the Peer Review Committee (PRC) / PDR Committee (for MM & TD(S) projects / programme PDR should be conducted in lieu of PRC). The document has to therefore amply address Feasibility studies, Literature Surveys, alignment of the project with the DRDO Plan Documents, DRDO vision Document (D-ViDOC), Road Map of DRDO (D-RdMAP), DRDO Five year Plan (D-FYP) and DRDO LTTPP (D-LTTPP), Design analysis, Realisation and Testing Plans, availability of test facility, Technology Readiness Levels (TRLs) assessments, Resource assessment, Risk assessment and management plan, Milestones. The proposal should contain following sections –

- **Need of the project**
- **Objective of the project:** Objectives should be measurable and achievable. It has to be framed carefully as they are driver for the Project.
- **Category of the Project**
- **Cost Estimate of Project**
- **PDC of the Project**
- **Linkage of Project Goal with Thrust Areas** laid down in DRDO internal plan documents viz., D-FYP/ D-LTTPP/ D-ViDOC/ D-RdMAP .
- **Literature Survey:** Literature Survey should bring out the relationship between the project goal and the state of the art technological accomplishment w.r.t global benchmark.

- **Targeted indigenous content:** For MM and TD(S) and projects, it should address two important aspects (i) How will the project improve industry capability (ii) Uniqueness in this project that industry can not do.

- **Systems and Technology Analysis**

System Analysis should be carried out for all MM & TD(s) projects. Other categories of the projects can also employ the system analysis activities if desirable. Labs may carry out detailed analysis using standard practices. Detailed guidelines formulated by the Directorate of Systems and Technology Analysis (DSTA) as amended from time to time may be considered.

- **Competence level:** Technological competence available with the lab and preliminary work done by the lab.
- **Details of pre-project work** already undertaken
- **Preliminary TRL Assessment:** Methodology for arriving at TRLs is given at DRDO.DPFM.GL.02. Assumptions if any should be stated.
- **Critical factors/technologies involved** in the project and pre-emptive measures to minimize the criticality.
- **Risks Management Plan:** A risk management document which will identify risks and possible strategies to manage the risks may be prepared and attached in accordance with Chapter 2, DPFM 2021.
- **Preliminary Design and Analysis** should be mandatory completed before project sanction of MM and TD (s) project.
- **Confidence Level** in accomplishing the Project through chosen design approach
- **Final specification/Scope of Work (SoW)**

In case of MM Projects, specifications (essential and desirable) must be discussed with User which will culminate into Qualitative Requirements (QRs). Firm QRs should be expedited / sought by the Labs in consultation with DISB, DRDO HQ as early as possible.

- **Project Execution Plan:** Project execution plan should specify major milestones of the project including Project Evaluation and Review Technique (PERT)/ Gantt chart and detailed Work Breakdown Structure (WBS) as indicated in following Table:

Activity Plan/WBS/MS Project Chart w.r.t. Product Tree

Sub system		Activity	Timeline (months)
SS1-S1	S1	Detailed design & analysis	T0+3
		Realisation	
		Testing	
SS1-S2	S2	Design	T0+3
---		Realisation	
--		Testing	
--	--	---	--
--			
SS1-S3	S3		
--			
Assembly/Integration			
Testing			

- **Realisation Plan:** A macro level realization plan with six monthly technical milestones along with financial outlay should be formulated as per following format :-

Sl.	Six Monthly Technical Milestone	Time (Months)	Financial Outlay (Rs. Lakhs/Cr.)
	Total		

As further details evolve during project execution stages, the milestones should be updated. These milestones will be reviewed by Project Monitoring & Review Committees during project execution stages.

- **Sub-Projects/ Work-Packages/CARS/CAPSI/Consultancy Contracts etc.**

- **Lead System Integrator (LSI)/ Development cum Production Partner (DcPP)/ Production Agency (PA):** Selection of LSI/DcPP/PA shall be a mandatory milestone for the MM and TD(S) projects which envisage deliverable systems/ products. *Project Director has to certify that Industry/DcPP is not in the negative list of vendors as promulgated by the DRDO HQ from time to time.*
- **Testing Plan:** It should contain assessment of *existing* facilities and its suitability to meet the test requirements proposed in the projects. Project proposal must include tests required, test equipments / facilities, test methodologies to meet the performance as envisaged in the project. The project proposal should document whether the requirement test facilities are available or being created. A project may be taken only if the required test facilities are either available or being created as part of the current project / build up. In case such facilities are not available with DRDO, a long term Contract / Inter Govt Agreement (IGA) / Memorandum of Understanding (MOU) with agencies or a plan / way ahead mutually agreed by DRDO and User will be considered for sanction of project. If test facilities of a foreign country is proposed, to be used, the possibilities of government permission /availability need to be reviewed and indicated.
- **Required resources**
 - Manpower availability and additional / dedicated requirements should be indicated with reason, if any. For example - Design team, Documentation team, Manufacturing and Testing team, Procurement in-Charge, Quality Officer, User Rep etc.
 - Infrastructure requirements (if applicable) with approximate estimate of items costing more than Rs. 25 Lakh furnished/ vetted by DCW&E/CCE(R&Ds).
- **Techno-managerial constraints and mitigation plan.**
- **Cost Benefit Analysis:** Cost benefit analysis of the proposed system/Technology should be supported with comparative study of indigenous system development vis-à-vis contemporary technologies and products available worldwide, their development period and cost. It should also amplify on economic

benefit, capacity building, capability building enhancement of technical knowledge and potential for job creation.

- **Other relevant issues** (If any).

METHODOLOGY FOR TRLs, PRI AND TRA ROADMAP

1. TRL ASSESSMENT AT PROJECT SANCTION STAGE

The **Designated Project Director** has to take the following steps for establishing TRLs of the Sub-systems/ Components/ Technologies during new project sanction stage -

- (a) Draw the sub-system block diagrams detailed to component level. The sub-systems can be further deconstructed into process. At least two levels of breakdown should be undertaken for better clarity on the present level of expertise/capability and the quantum of work involved in the project execution. In case where the level is not easily decipherable, a third level of breakdown may be resorted to for greater clarity. It is to be noted that the levels of breakdown is dependent on the confidence of the team to provide requisite documents as proof.
- (b) The deconstructed structure may not necessarily lead to a hierarchical breakdown structure, but could create a mesh structure when they are linked between the sub-systems/ components across different modules.
- (c) The sub-systems and components may also be grouped into relevant modules for understanding the amount of integration required in the system which would require suitable skills, processes and infrastructure.
- (d) Identify readiness level index in accordance with the criteria defined for TRL indices for DRDO context. Once TRL of each sub-system has been determined, the necessary documentation has to be collated with supporting documents, as stated at Table 1, Chapter 1 of DPFM 2021.
- (e) Evolve PRI as lowest value of all sub systems TRLs i.e.

PRI = min of sub-systems/ components TRLs.

(f) Draw the anticipated roadmap of TRL and PRI with project timeline. A preliminary Project timeline/PDC and Cost estimation commensurate with the **TRA Roadmap** has to be drawn by the project team.

(g) The TRL report comprising of supporting documents and TRA Roadmap should be forwarded to the verifying authority.

(h) Illustration of TRA & PRI of Road Map for a typical system is given in Para 7 to this guideline.

2. **TRL AND PRI VERIFYING AND VETTING AUTHORITY**

Designated Project Director has the responsibility of carrying out self-assessment of TRLs. However, there is a need for an independent verification of requisite documents to authenticate the professed PRI. These will be carried out as follows:

(a) The Technology Council of the lab will carry out verification of the proposed PRI based on required documentation. Chairman, Technology Council can nominate subject experts external to the project teams.

(b) The Peer Review Committee/PDR Committee will then carry out a thorough vetting of the proposed TRLs/ PRI. PRC will also recommend the final PRI, category of the project and directions for indigenous development of COTS/ Imported subsystems.

(c) Director PM, O/o Cluster DG will ensure presentation/ assessment of TRL/PRI during PRC/PDR meeting and will obtain vetting from Chairman PRC/PDR. Chairman PRC/PDR may be explained about the process of TRL/PRI in advance.

3. Format of the TRA and PRI to be used by Technology Council for verifying and Chairman PRC/PDR for vetting is given at DRDO.DPFM.FF.02 in Handbook of Supplementary Procedures to DPFM 2021.

4. **TRL ASSESSMENT DURING PROJECT EXECUTION STAGES**

The Technology Readiness Level (TRL) will serve as a benchmarking tool. It will be beneficial to track progress of development of a specific technology/sub-system during the each stage of the development chain, from basic research (TRL 1) to actual system demonstration (TRL 9). It is essential to define **Technology Readiness Assessment (TRA)** values at six months/yearly intervals. This **TRA Roadmap** will aid in systematic assessment of how far technology/sub-system development has progressed during the execution of a project. It is recommended that assessment of TRLs should be done mandatorily during Preliminary Design Review (PDR) and Critical Design Review (CDR).

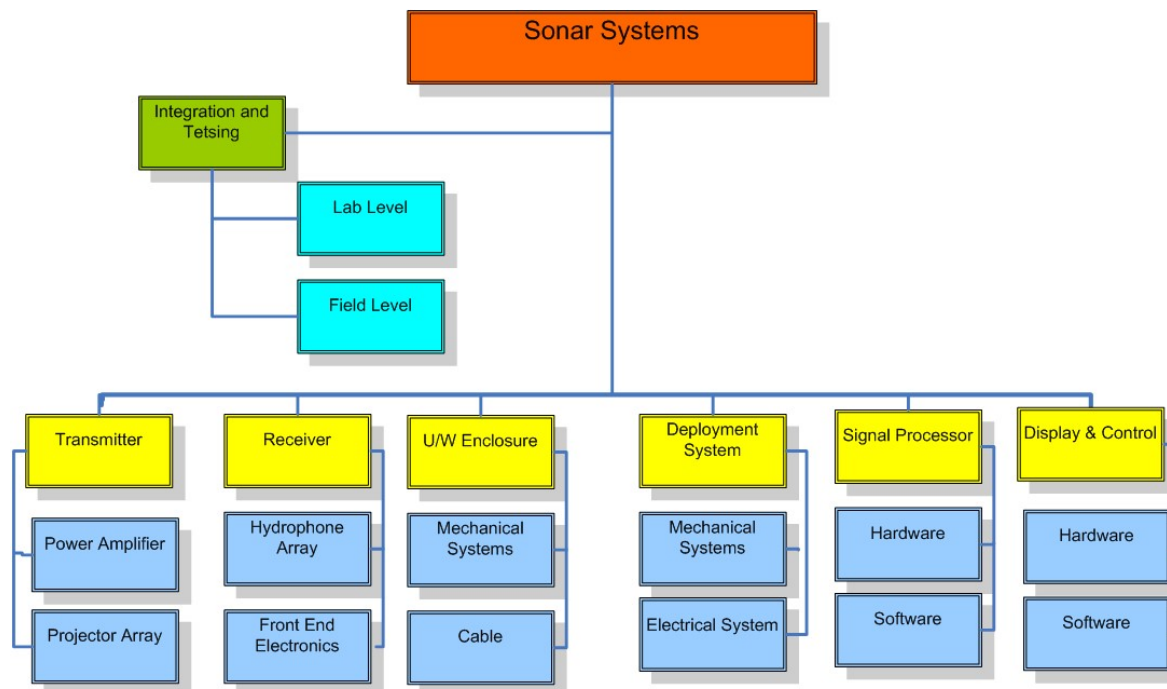
The Executive Board should ensure that the technology/sub-system have advanced to the targeted maturity before start of testing and operational readiness reviews phase. The Project Director/Programme Director is responsible for presenting the current status of TRLs and ensuring planned transitions to next higher stage during the PRC /PDR and thereafter during the periodic review meetings such as PMRCs/ PJMBs and PMBs / EBs.

5. **TRL ASSESSMENT AT PROJECT CLOSURE STAGE**

The TRLs and PRI assessment report at project completion stage should be used as a certificate of having achieved project scope by analyzing each of the modules/ sub-systems readiness at the completion of project activities. An assessment of the final TRLs of each sub-system and the resulting PRI along with requisite proof documents should be recorded in the report. Project/Programme Director will certify the TRLs status at closure stage and the same will be ratified by the nodal Lab Director. There may be instances of not achieving planned TRL at completion for which justification/explanation can be recorded in the report and duly authenticated by Cluster DGs.

6. Illustration of Roadmap for TRA and PRI for a typical system is given below:-

Illustration of Roadmap for TRL and PRI progression for SONAR System



Sub-Sub-System (SSS)	Sub-System (SS)	PRC/PDR (sanction)		After 12 months		After 24 months / CDR		After 36 months		After 48 months	
		TRLs									
		SSS	SS	SSS	SS	SSS	SS	SSS	SS	SSS	SS
Power amplifier	Transmitter	3	3	3	3	5	5	6	6	7	7
Projector Array		4		4		5		7		7	
Hydrophone Array	Receiver	3	3	3	3	5	5	6	6	8	7
Front End Electronics		4		4		5		7		7	
Mechanical Systems	U/W Enclosure	4	3	4	3	5	5	7	7	7	7
Cable		3		4		5		7		7	
Mechanical Systems	Deployment System	3	3	4	4	6	5	7	7	7	7
Electrical Systems		3		4		5		7		7	
Hardware	Signal Processor	3	3	3	3	5	5	7	7	7	7
Software		3		3		5		7		7	
Hardware	Display and Control	3	3	3	3	5	5	7	7	7	7
Software		3		3		5		7		7	
PRI = Min of TRL			3		3		5		6		7

7. PRI FOR PROGRAMME

A Programme involves many projects and each project may be independent of each other. Since each Project/System is an independent system, assigning a PRI to the Programme may not be justified. Each individual Project/System should be independently assigned a PRI based on TRL of its constituent sub-systems. However, for a Programme consisting of interrelated projects it may not be out of context to indicate an overall PRI of Programme.

CONDUCT OF PEER REVIEW

1. **All TD(T) and S&T projects shall be mandatorily peer reviewed** by an expert committee i.e Peer Review Committee (PRC) for assessment of viability and technical adequacy of the proposal. For MM and TD(S) projects / programme, PDR should be conducted in lieu of PRC review. For all such MM / TD(S) projects where PRC is not applicable but TRA and PRI are applicable, TRA and PRI will also be reviewed by PDR Committee and be vetted by Chairman PDR Committee. Peer Review Committee will assess project feasibility by taking into consideration the design aspect, realisation methodology, projected timelines, realisability / achievability and assessment of validation of TRLs.

(a) The Chairman of the PRC should be an eminent person (preferably from outside DRDO) having domain expertise related to the project. He may either be from a premier research organization, academic institution or from industry. In exceptional cases, if from within DRDO, he should be from a different laboratory working in similar area. It is desirable that the Chairman should have experience of managing/coordinating/directing projects of similar costs and technological complexities.

(b) The PRC should have a mix of members from within and outside DRDO. Members should be eminent personalities from R&D institutions, academic institutions and industry. The expert should not be nominated from the groups/industry, which is likely to be contracted for CARS or development contract in the same project.

(c) SHQ/DISB representatives should be mandatory members of the PRC, if it is a specific SHQ driven project.

(d) Representative of DP&C, DRDO HQ would be nominated as a member for PRC. DRDO experts and Integrated Finance (R&D) would be nominated on need basis in the PRC.

(e) While processing the cases for conducting PRC, the Designated Project Director will send a copy of Draft Project Proposal and TRLs assessment report duly verified by Technology Council. Recommendations made by Technology Council regarding PRI & TRL values should be deliberated in detail in the Peer Review Committee.

(f) Relevant deliberations and recommendations of the PRC/PDR Committee will be minuted and issued after due approval/signature of the Chairman.

(g) The Minutes of the PRC/PDR will be appended to the project proposal.

2. PLANNING PEER REVIEW

2.1 Documents for PRC. The following documents have to be prepared by Labs/Estts and must be forwarded to Director (PM), O/o of cluster DG for conducting PRC, who will further forward them to the PRC Chairman and members well in advance :

- (a) Draft Project Proposal
- (b) Executive Summary
- (c) TRL assessment report & PRI duly verified by Technology Council
- (d) Suggested composition of PRC committee
- (e) Roles of External constituents of PRC

2.2 Director (PM), O/o cluster DG should undertake the following steps on receipt of proposal from the Labs/Estts.

- (a) To examine Draft Project Proposal and Executive Summary submitted by the lab.
- (b) To initiate file for seeking approval of the competent authority for constitution of the PRC. The file needs to be routed through respective Cluster DGs, as may be the requirement.

(c) After approval, PD Designate in consultation with the Director (PM), O/o Cluster DG should schedule the peer review meeting and forward relevant documents along with a copy of roles of Constituents of PRC to all members.

(d) PD Designate should circulate draft minutes for views/concurrence of all members. The views and comments of members should be incorporated before drawing the final recommendations.

2.3 Agenda of PRC. To deliberate upon following aspects and give recommendations:

(a) Adequacy of pre-project activities.

(b) Comparison w.r.t global scenario and contemporary systems/technologies.

(c) **Design Aspects**

- Available design alternatives.
- Selection of a suitable design option.
- Reasons for adopting a specific approach.
- Analysis of requirement vs. design

(d) **Realization methodology:** Identification of optimum method of product realisation.

(e) **Risk Factors/Grey Areas:** Risk factors and grey areas which are likely to pose challenges for successful execution of the project/programme and their mitigation strategy.

(f) **Project Schedule:** To examine project schedule i.e whether realistic and achievable timelines are projected considering possible contingencies.

(g) **Category of the Project/Programme:** Category under which proposed project should be undertaken be deliberated and recommended.

- (h) **Realisability/Achievability** of major milestones linking financial outlay and timelines of the project as per schedule indicated in the PERT/Critical Path Method (CPM) charts.
- (i) PRC will assess Global benchmarking as indicating in Literature survey.
- (j) **QA Plan:** Quality assurance (QA) plan should be deliberated with nominated QA member of the Lab and should cover all aspects viz. design, manufacturing and testing. It shall examine Quality & Reliability requirements, QFD analysis, Failure Mode Effect Analysis (FMEA)/Failure Mode Effect & Critical Analyses (FMECA) analysis and plans to achieve QR goals.
- (k) **Testing Plan:** Testing Plan of Lab model or prototype should be deliberated together with acceptance criteria.
- (l) Available infrastructure for system/sub-system realization and adequacy of Infrastructure facility for planned test.
- (m) **Cost Estimation:** Rough order of cost estimates may be provided based on budgetary quote/e-mail quotes etc to assess the approximate cost of the project. However, estimated cost of the project should be finalized as per the recommendation of Project Cost Estimation Committee (CEC).
- (n) **TRL levels/ PRI indices** at the beginning of project (at sub-system level and overall project level) and expected increase in these indices at the time of project closure should be discussed in detail and final values expected to arrive shall be documented.
- (o) For 'Basic S&T' and 'Applied S&T' projects, Chairman PRC with help of the experts should also evaluate technical competency of the Lab to meet the objectives and check the viability of methodology selected for design/manufacturing.
- (p) If the purpose of the 'Basic S&T' and 'Applied S&T' projects is to generate new knowledge in the area of the core activity of the laboratory, then

PRC should clearly bring out whether creation of such knowledge will result in an incremental increase or a significant gain in the contemporary understanding in national and global context.

3. ROLE OF CONSTITUENTS OF PRC

3.1 PROJECT DIRECTOR

- (a) Prepare project documents for Peer Review as per DPFM 2021 guidelines.
- (b) Apprise PRC about availability of required development expertise and infrastructure for development/production partners for targeted system/sub-systems

3.2 DISB

Provide inputs about the SHQs perceptions/perspective plans which may have direct impact on the proposed project activities

3.3 DSTA

To provide inputs on identification of emerging technologies that are likely to have high impact in the short and mid-term on Defence and Security and about the appropriateness of the project vis-à-vis the technology trends elsewhere.

3.4 SHQ REPRESENTATIVE

- (a) Clarify issues related to Staff Qualitative Requirement (GSQR)/Air Staff Qualitative Requirement (ASQR)/Naval Staff Qualitative Requirement (NSQR)/Joint Staff Qualitative Requirement (JSQR), etc.
- (b) Provide necessary inputs in absence of any formal Qualitative Requirements (QRs).
- (c) Provide details on operational scenario and expected evaluation methodology.

- (d) Details about the existing systems in use with services and elsewhere in the world and other details about the operation, maintenance and use of the product.
- (e) Views regarding scope and time estimates etc.

Note : for MM & TD(S) project SHQ Rep. will cover these issues in PDR meeting.

3.5 DP&C, DRDO HQ

- (a) Ensure that the project being undertaken is as per core competence of laboratory and there is no duplication of work.
- (b) Suggest allocation of work share to other labs for modules requiring specific technical expertise.
- (c) Ensure compliance and adequacy of the Draft Project Proposal vis-à-vis prevailing policies and guidelines.
- (d) Assess TRLs and PRI of the proposal. Offer comments on technological gaps, grey areas, critical technologies and strategy to mitigate the same.

3.6 DIRECTOR (PM), O/o CLUSTER DG

- (a) Ensure that the project undertaken is as per core competence of laboratory and there is no duplication of work. Assure that AIP is accorded to the project by DMC. Recommendation of CCM approval of Nodal and participating lab have been incorporated.
- (b) Assist Lab, Cluster DG and DRDO HQ in finalizing PRC constitution.
- (c) Ensure compliance and adequacy of the Draft Project Proposal vis-à-vis prevailing policies and guidelines.
- (d) Ensure that Chairman and all members receive necessary documents (Draft Project Proposal, Executive Summary, TRLs assessment report duly verified

by Technology Council including details of 'what is expected from the PRC' etc.) in advance.

- (e) Ensure that comments from experts are solicited, and forwarded to PRC Chairman.
- (f) Ensure that comments from work centers are obtained and documented regarding identified sub-projects and resources allocated.
- (g) Ensure that draft Minutes incorporating important comments of the members are approved by the Chairman and issued at the earliest (within two weeks of the conduct of the review).

3.7 EXTERNAL TECHNICAL EXPERTS

- (a) Closely examine system configuration, technologies and sub-technologies and import options, if any.
- (b) Ensure that wherever necessary, alternative technologies have been examined and given due consideration.
- (c) Look for the technological gaps/grey-areas and to examine how these are proposed to be overcome and to suggest alternate/suitable approaches for the same. Check that resources projected are adequate to meet the objective/scope of the project.

3.8 CHAIRMAN

- (a) Examination of the documents submitted to the PRC and to call for additional information, if required.
- (b) Ensure that design, realisation and testing aspects are adequately addressed in the documents.
- (c) To Ascertain TRLs and PRI of proposed project while discussing TRA analysis report. ~~PD/Dir (PM) should provide details of TRA in advance.~~
- (d) Examine the necessity to co-opt additional members.

- (e) Ensure that the peer review is conducted as per the document made available to the PRC and all issues highlighted in the Executive summary be addressed.
- (f) Comment on project viability in view of TRL levels, adequacy of pre-project work, realization plan and Test & Evaluation capacity.
- (g) Any other issue not discussed but considered necessary by the Chairman in the interest of the project can be addressed and documented.
- (h) Approve the minutes of the meeting of PRC after ensuring that the important comments of all the members have been incorporated.

4. RECOMMENDATIONS OF THE PRC

Relevant deliberations and recommendations of the PRC on topics stated in PRC agenda need to be minuted for consideration/implementation, and should be a part of the final project proposal. Articulated recommendations (Minutes of Meeting /Review) of the PRC specifying project Category, PDC & indicative cost duly approved by the Chairman should be appended with project proposal. **Recommendations of PRC must be presented to DMC for accord of AoN , which will take place after PRC.** For MM and TD(S) Projects recommendations / highlights of PDR be submitted / presented to DMC for accord of AON, as PRC review is not applicable to MM & TD(S) projects.

DETAILED PROJECT STATEMENT OF CASE

1. After DMC approval for AoN, a basic core team/ documentation team should be provided to the designate PD by the Lab Director. The team should incorporate PRC/PDR and DMC recommendations and further details to preliminary time and cost estimations in the Draft Project Proposal. The team will thus formulate a **Detailed Project SoC** containing following details –

(a) **Detailed Project Execution Plan.** It is the operational document of the project. It is owned, maintained and summarised by the Project Director and project team to support delivery of agreed project outputs. The document shall contain following details -

(i) Detailed description of project outputs which have been envisaged at the start of the project. Detailed scope of work is to be brought out.

(ii) Create a WBS. The overall task is to be broken down into sub-systems and each sub-system is to be split up into various phases viz. design, configuration finalization, analysis & review, manufacturing, test & evaluation and trials. These activities are to be placed in timeline map and critical activities are to be identified.

(b) **Project Management Plan** consisting of -

(i) Creation of cross functional team for design, manufacturing, QA, Test and Evaluation- all overseen by the Project Director.

(ii) Number of design iterations at component/sub-systems level in a TD(T) project. Number of design iterations at overall systems/project level in TD(S) & MM project. Time penalty for each design iteration should be given.

(iii) Risk Management plan encompassing risk assessment & strategies to overcome risk

- (iv) Resource Plan i.e. availability and utilisation of resources (HR, funds & infrastructure)
- (v) Project Evaluation and Review Techniques (PERT) / GANT
- (vi) Procurement Plan is to be given in following format

No	Name of the item/ Service	Brief description/ Purpose	Source of supply	Mode of tendering	Expected cost	Expected Date of Tendering/ Placing of SO	Expected Date of Delivery

- An overall procurement plan should be prepared, detailing all products, components to be procured with their estimated timelines for different procedural actions, cost and source of supply.
- Demand approval can be sought along with the processing for project sanction as per Procurement Manual 2020 as amended from time to time.
- Labs may initiate procurement actions for projects submitted for approvals/ PDC extension/ cost enhancement as per Procurement Manual 2020 as amended from time to time.
- Project proposals which do not seek concurrent Demand approval for major stores must give detailed justification for the same.

- (vii) Detailed Cost Estimation Report
- (viii) TRA report
- (ix) Preliminary Design Review
- (x) Quality Plan (Guidelines and Standards issued by DQR&S from time to time may be utilized).

- (xi) **Development plan.** Design and Development activities, Design methodology, Design input and output, manufacturing, software formulation, integration, test & evaluation, inspection and review. Software Development Life Cycle (SDLC) Guidelines as per the guidelines issued by DQRS to be adhered.
- (xii) Stakeholder management (internal & external).
- (xiii) Vendor Search & Evaluation Plan – Selection of LSI/ DcPP/PA
- (xiv) Documentation & Record Keeping – Documentation Team
- (xv) Configuration Management
- (xvi) Testing Plan
- (c) Responsibilities/roles and functions of cross functional teams
 - i. Project Director
 - ii. Design & Analysis Team
 - iii. Team responsible for Manufacture of Hardware
 - iv. Software Team
 - v. Quality Assurance/ Inspection Team
 - vi. Individual Verification & Validation Team
 - vii. Test & Evaluation Team
- (d) Specific Information
 - i. Artificial Intelligence (AI) systems and related contents in the project.
 - ii. % indigenous content.
 - iii. List of imported components / sub-systems.
 - iv. Attempt being made to indigenise the imported (through TDF, start- ups, entrepreneurs etc.)
 - v. Timelines for DcPP/PA/LSI indicating start of process for selection, and start of work by DcPP/PA/LSI along with project team.
 - vi. Complete List of countries in the world who have similar system/technologies (India's ranking in the world).
 - viii. Detail of project based manpower.
 - ix. No. of Industries involved & No. of Academic Institution involved.
 - x. Employment generation.

SCHEME FOR ALLOTMENT OF PROJECT & SUB-PROJECT NUMBER

The project number has to be in the form of “**XX/YY-ZZ/ABC_ _123**”. Where, **XX** defines the category of the project, **YY-ZZ** financial year of the sanction of project and **ABC_ _** is the abbreviated initials of the name of the lab to which the project is sanctioned (DRDO.DPFM.AL.01). The number should be obtained from the lab.

XX Category		YY-ZZ Financial Year of Sanction
MM	Mission Mode	Only the last two digits of the financial year need to be given
TD	Technology Demonstration (TD(S) &TD(T))	
S&T	Science & Technology (TD(A) and TD(B))	
IF	Infrastructure & Facilities	
PS	Product Support	
UT	User Trials	
LSP	Limited Series Production	
ABCD- - Abbreviated name of the laboratory/establishment.		123 – Digit (Sl. No. of the project to be obtained from the lab)

Note: Technology Demonstration (TD) projects have been sub-categorized as ‘Technology Level TD projects i.e TD(T)’ and ‘Systems level TD projects i.e TD(S)’ projects. Similarly, Science & Technology (S&T) projects have been categorized as ‘Applied S&T projects i.e. S&T(A)’ and ‘Basic S&T i.e. S&T(B)’. Sub category of project will be used for allotment of project number.

Illustrative example of assigning Project/ Programme Number for nodal Lab

TD(S)/YY-ZZ /ARDE-215	This reflects TD(S) category of project sanctioned to Armament Research & Development Establishment (ARDE) in the financial year 20YY-ZZ and Sl. No. of the project sanctioned to the lab is 215
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In case of multi-lab project, the participating Labs executing sub-projects will be assigned separate project numbers as per the scheme mentioned below:

Illustrative example of assigning sub-project numbers to participating Labs

TD(S)/YY-ZZ/ARDE-215.01 (TBRL-25)	➤ First sub-project given to TBRL (.01) which is 25 th running project of the participating lab.
TD(S)/YY-ZZ /ARD-215.02 (HEMRL-36)	➤ Second sub-project given to HEMRL (.02) which is the 36 th running project of the participating lab.

DRDO.DPFM.GL.06

INDICATED TIME LINE AND ROLES FOR SANCTIONING OF THE PROJECT

Indicative duration for processing Project sanction files		
Authority	Role	Indicated Max. Time
Project Director	Formulation of integrated project proposal with detailed costing and procurement plan	2 months
Lab Director	First level of approval	1 week
Director (PM) of cluster DG	Scrutiny of proposal for check list of documents	3 days
IFA (R&D)	Financial vetting & DGL vetting	1 week
Cluster DG	Recommendation / sanction of project proposal (as applicable)	1 week
DP&C	Check for DMC-AON / DPFM compliance	3 days
DFMM	Ensure financial guidelines, vet DGL	3 days
DG (R&M)	Recommendations	2 days
Addl. FA (R&D)	Financial vetting & DGL vetting	1 week
Secretary DD R&D	Sanction & approval	2 days
Under Secretary , MOD	Issue of GSL	1 week
Approximate time for Sanction	07-08 weeks from Lab Director to Secretary Defence R&D	

ROLES & ACCOUNTABILITY IN PROJECT MONITORING

Major Roles & Accountabilities (but not limited to) of Members of Review Committees/ Stake-holders is detailed below:

Dte/ Agency	Roles & Accountability
DP&C	<ul style="list-style-type: none"> Facilitate labs for obtaining approvals (beyond Cluster DG power) related to Project sanction, scope revision, PDC extension, fund reallocation and issue of sanction letters/ corrigendum. Participate in review meetings and assess overall project progress w.r.t reference/original timeline (Milestone linked with financial outlay & timeline). Liaise with cluster DGs to track status of action points deliberated during review meetings. Ensure online updates on PMIS and provide periodic updates to Secretary DDR&D related to all critical issues/ activities. Arrange special reviews by Secretary, DDR&D (if required) to resolve major issues.
DISB	<ul style="list-style-type: none"> Assist lab to resolve QRs/AoN related issues with SHQs. Resolve trial related issues with SHQs (trial directives, platform/test range availability etc). Procedures related to Lead System Integrator LSI/DcPP/PA. Resolve any other issues between DRDO & SHQs.
DFMM	<ul style="list-style-type: none"> Update status of procurement cases pending at DRDO Hqr, reason for pendency, way ahead and action required for expeditious disposal and issue of sanction letter. Examine expenditure report as per Govt sanction letter to obviate re-allocation of funds at later stage. Resolve issues related with CDA/IFA/CGDA/ financial authorities. Issues related to Development Contract.
DSTA	<ul style="list-style-type: none"> Implementation of system analysis guidelines for MM/TD projects.
DQRS	<ul style="list-style-type: none"> Suggestions/Inputs to labs on project quality and safety related issues. Implementation of DRDO Quality and Reliability Policy Guidelines. Co-ordinate and resolve any other issues with external QA agencies.
Rep MMG of lab	<ul style="list-style-type: none"> Maintain and provide project expenditure details during review meetings.

	<ul style="list-style-type: none"> ▪ Assist project team in procurement related issues. ▪ Responsibility for timely processing of procurement cases. ▪ Procurement plan and monitoring of status. ▪ Inventory management of projects etc.
Project Director (PD)	<ul style="list-style-type: none"> ▪ Assure project progress as per the milestone linked financial outlay & timeline. ▪ Update online project status on PMIS. Present current status/ progress as per review format during review of project. ▪ Highlight the critical issues / Risk associated & mitigation plan in project execution. ▪ Monitor financial status of the project. ▪ Record minutes with action points along with responsibility to concerned agency/Individual with timeline. ▪ Obtain audited Statement of Expenditure from concerned audit authority after project completion
Director PM of Cluster	<ul style="list-style-type: none"> ▪ Issue AB / EB/ PMRC calendar in the beginning of the year and ensure compliance. ▪ Track forthcoming project Reviews Get meeting notice issued by Member Secretaries of projects to all concerned at least one week in advance and also to assure that briefing papers are forwarded in specified format by Member secretary. ▪ Provide quarterly status / update of the project to DP&C and assure follow up broad action points deliberated during reviews. ▪ Confirm during EBs that project status has been updated online on PMIS, DRONA.
Lab Director	<ul style="list-style-type: none"> ▪ Assign cross functional teams and allocate adequate manpower. ▪ Expedite allotment of sub projects to participating lab (if any). ▪ Seek special review for resolving important issue, if required. ▪ Timely conduct of technical/progress monitoring reviews meeting. ▪ Ensure online updating of project status.
Cluster DG	<ul style="list-style-type: none"> ▪ Monitor progress vis-à-vis milestones. Suggest corrective actions to mitigate milestones slippages. ▪ Resolve inter lab related issues. ▪ Risk Mitigations. ▪ Update HQrs regarding delays in projects under the powers of Secretary DDR&D and beyond.

DRDO.DPFM.GL.08

LIMITED SERIES PRODUCTION (LSP)

(In absence of ToT to a production agency)

1. As opposed to an R&D project which is essentially an in-house activity financed by DRDO budget, LSP projects are undertaken as a follow-up project of TD/MM/UT projects where the requirement is to produce limited quantity not viable for commercial production or to establish production agency. LSP projects can be undertaken for those systems which have already been accepted for induction. LSP projects would be funded by the Services. It is time bound (typically 24-36 months) and entails contractual obligations having time and cost implications. It may necessitate co-opting industry partners and ToT to such entities. All procurements shall be processed as per DRDO Procurement Manual 2020, as amended from time to time. Standing CNC would be constituted for expeditious processing of procurement cases.

2. Objectives of LSP

- (i) To meet specific and small requirements of Services.
- (ii) To incorporate General Staff (GS) and trial observations.
- (iii) To establish Production Agency.
- (iv) To generate documents and drawings for Authorized Holder of Sealed Particulars (AHSP) & Transfer of Technology (ToT).
- (v) To transfer AHSP and ToT

3. Detailed guidelines

DIITM procedures for limited **Series Production (LSP)**, deals in details covering Objectives , scope, preparation of proposal based on services requirement, Cost Estimation, Testing / Quality aspects, Processing of LSP Proposal for sanction, Fund Allocation, Execution, Completion and closure. DIITM will be the Nodal agency at DRDO HQ for LSP. Help of DISB may be taken for Interaction / needful with SHQ.

A copy of the approval letter should be forwarded to DP&C for record.

DIITM, DRDO HQ will project total fund requirements for the projects being executed by DRDO laboratories at the time of preparation of Budget Estimates (BE)/Revised Estimates (RE) each year, to the concerned SHQs for necessary allocation of fund. SHQs will ensure that adequate funds are allocated for each of these projects and allocation letters are sent to DFMM, DRDO HQ, concerned laboratories and PCDA (R&D)/CDA (R&D) in the beginning of the financial year.

As soon as the project is completed, concerned Lab should intimate total expenditure duly vetted by respective IFA (R&D)/PCDA (R&D)/CDA (R&D) to DRDO HQ and concerned SHQs. A closure report incorporating statement of audited accounts and a summary of achievements against agreed milestones must be forwarded to DIITM, DRDO HQ and Service HQ. Necessary action be taken to close the LSP project. A copy of the same should be sent to DP&C for record.

Any revisions of time/cost will follow the same process as for LSP sanction.

Note : For detailed 'Procedure for 'Limited Service Production,' refer DIITM portal on DRONA as amended from time to time.

REVENUE DEBT REMMITANCE (RDR) WORKS

Purpose: RDR Works are taken up by DRDO labs to meet following objectives:

- Provide design consultancy service.
- Development of prototypes for technology demonstration to agencies other than Services.
- Manufacture of limited number of prototypes for a developed system in the absence of ToT to a Production Agency - for agencies other than Services.
- Provide testing and support for testing.

Funding: By agencies other than DRDO and Defence Services.

Competent Authority for sanction/closure: The competent authority for sanction/closure of RDR Works will be the same as in case of financial powers vested with the CFAs for project sanction/closure as per DFP.

Steps for undertaking RDR Works

- RDR Works can be undertaken by DRDO at the request of external agencies , such as OFBs, ADA, ISRO, BARC, DPSUs/PSUs, Central / State government Agencies and Private Industries etc, on the basis of their requirements. The agency framing out the RDR Works will send the requirement directly to Lab/office of cluster DG.
- Cluster DG will scrutinize the requirement and may assign the job to concerned Lab. Lab will prepare the proposal outlining estimated cost (under various heads and cash outgo plan- duly vetted by Finance), PDC, terms and conditions etc. and submit it back to the office of cluster DG who will review the necessity. The proposal will, thereafter, be submitted to the concerned agency after the approval of cluster DG.
- On the grant of RWR Works by the Agency, a unique Activity Code Number (ACN) will be assigned by DFMM, DRDO HQ to the Lab for all future reporting to

the higher authorities. A copy of the sanction will be uploaded in the sanction data base on DRONA / forwarded to DP&C for record.

- The concerned CDA (R&D) of the Lab will open a RDR Works account to operate the funds.
- The agency will transfer the funds to the CDA in the RDR Works account as per the mutually agreed terms.
- The RDR Works will be executed by the Lab as per the policies and procedures for project execution in vogue in DRDO. Cluster DG shall monitor the progress of the RDR Works.
- Lab shall ensure submission of financial statement of accounts under RDR Works, duly vetted by respective CDA (R&D), to the concerned agency after completion of the job and payments. A copy of the same shall invariably be endorsed to the office of cluster DG and DFMM.
- Lab shall also submit a technical completion report to all concerned highlighting the work done as against stated objectives and achievements (including patents, publications etc if any.) after obtaining the approval of cluster DG. A copy of the report shall also be endorsed to DP&C, DFMM and DIITM. Copy may also be forwarded to DER&IPR, if applicable.
- All work undertaken and done will remain under the ambit of audit (internal and CAG) by the concerned agencies.

Note: Detailed guidelines as circulated by DFMM w.r.t RDR Works as amended from time to time be referred.

DRDO.DPFM.GL.10

INDEPENDENT DRDO COMMITTEE FOR EVALUATION OF PROJECT SUCCESS

1. Once the last task is completed, the project has to be evaluated for measuring achieved outcome vis-à-vis defined success criteria. The project should also be analyzed to find out reasons for positive and negative deviations.
2. Success evaluation of SHQ **AoN based MM projects** will be in accordance with the provisions under Chapter 4 of DAP 2020. For **other MM, TD(S) and UT projects**, PSQR validation trial outcome will be regarded as success determinant by the highest monitoring body while recommending project closure.
3. For **TD(T), S&T, IF and PS projects**, an **Independent DRDO Committee for Evaluation of Project Success**, drawn from outside project will be constituted by **Competent Authority** before three months of expiry of PDC of the Project. The Committee will evaluate project outcome and certify successful completion based on the success criteria / expected outcome defined for the project.
4. **Criteria for Evaluating Successful Completion of TD(T), S&T (B/A), IF and PS Projects**

TD(T) Projects: Successful completion of the project scope i.e design & development of prototypes; tests/ evaluations and demonstration in lab/ intended test environment; technical reports etc; listing accomplishments vis-a-vis project scope and objective. In case of SHQs requirement based projects, views of SHQs Rep may be recorded in Minutes of Review Committee Meetings / EBs while recommending closure of project. Deviation in any technical parameter may be clearly brought out.

S&T (B/A) Projects: Successful completion of the scope i.e research, prototype development, simulations, trials and findings, research reports/ publications etc. Compilation of technical closure report listing accomplishments vis-a-vis project scope and objective. *Due consideration to be given while assessing the success as research under S&T projects at completion may not always exactly result in envisaged objectives.*

IF Projects: Completion of installation & commissioning, acceptance test of the facility based on specifications. Acceptance test report listing successful completion of the scope i.e, completion of FATs, equipment delivery, completion of civil works, acceptance test approved/ endorsed by end user.

PS Projects: Demonstration of intended upgradation as per agreed QRs / satisfactory technical support. User acceptance/ satisfaction certificate to be obtained.

5. **Competent Authority For Constitution of Committee:** Nodal Lab Directors will constitute the committee for projects within their powers. For projects beyond Lab Director powers, Cluster DG will constitute the committee. **The Committee will be constituted before minimum three months of expiry of the PDC of Project.** The Competent Authority will also decide time frame for submission of the report in such a way that the final report is available to Highest Monitoring Body of Project during review of project for recommendations of Project Closure.

6. **Constitution of Independent DRDO Committee for Evaluation of Project Success:**

Chairman	Scientist 'H' / Scientist 'G' (Non project member)
Members	Two Expert Member(s) with domain knowledge from other labs/ outside project (nominated by DG Cluster)
	SHQs Rep / Rep PMT (if applicable)
	Member from nodal lab
	Academia expert (as applicable)
	Director PM for Projects upto Cluster DG Power

	Director DP&C for projects beyond Cluster DG power
Member Secretary	Project Director
Any other members may be co-opted by Chairman	

Terms of reference:

- The committee will independently assess and ratify project success as per criteria laid in the project proposal.
- A report to that extent has to be prepared by the committee, duly ratifying compliance of the project achievements with the success criteria and submit the report to competent authority for approval and acceptance of the report within allotted time.

7. Competent Authority for approval and Acceptance of Evaluation Report for Project Success

Project CFA	Competent Authority
Lab Dir	Lab Director in consultation with Director (PM) of O/o cluster DG
Cluster DG or beyond	Cluster DG

The 'Independent DRDO Committee Evaluation Report for Project Success' has to be forwarded to Cluster DG through Lab Director for approval and acceptance (applicable cases).

Note : *This report will be submitted to the highest monitoring body of the project, while reviewing the project for recommendation of project closure.*

PREPARATION OF TECHNICAL CLOSURE REPORT

1. **Executive Summary:** It should contain following:

- Background - scope of the project.
- Reason for Closing the Project.
- Major Trials/Experiments
- Major achievements compared to Global Scenario & Nos of ToTs generated, IPR generations, no of papers published related to project, details of Infrastructure created, details of LSI / DcPP/ PA.
- Outcome of CARS Project.
- % delay in the project as compared to original PDC, % increase in cost as compared to original cost.
- Name and designation of PDs in the lifetime of the project
- No of industries (Tier I,II,III), start ups and institutes involved, % indigenization, Imported components that have been indigenized.
- List of countries those already have this system.
- Export potential that have already been explored for the product till now, give status.

2. **Project Performance**

Summarize the actual performance of the project against the planned performance. All projects may vary to some extent from the original plan, these variations (if any) should be identified and the reasons for the variation be described.

- **Performance against Objectives**

Describe the actual performance of the project in relation to the achievement of the planned project objectives.

- **Performance against Outcomes (Infrastructure & Competence Building)**

Describe the actual performance of the project in relation to the achievement of targeted outcomes.

- **Performance against Outputs**

Describe the actual performance of the project in relation to the delivery of the outputs. Were all planned outputs delivered, Were they all accepted? Did the quality of the outputs meet expectations?

- **Performance against Schedule –**

Describe the actual performance of the project against the project schedule.

- **Performance against Budget –**

Describe the actual performance of the project against the project budget.

3. Lessons Learnt

Describe technology up-gradation details (achievements) including expertise developed in sub-domains. Mention TRLs calculated at the time of sanction of the project as well as the level of TRLs reached at the time of closure of the project with suitable justification.

4. Summary of Recommendations

- List all the recommendations.
- One of the recommendations should be from the project highest monitoring body that the project can be deemed closed. The project has fulfilled all of the requirements as documented in the relevant project plan, or the steering committee is satisfied that all outstanding items have been satisfactorily addressed or there is some other reason to close the project.
- Recommendations may include such things as the transfer of responsibility for the outcomes to the user, how outstanding outputs and issues should be addressed, any recommendations for the continued operation by the users.

- The committee should also recommend the way forward

5. Documents for Technical Closure Report

Technical Closure report should essentially **contain** the following documents

- Details of objectives envisaged vis-à-vis achieved.
- Detailed justification/reasons for shortfalls
- TRA reports
- Lessons Learnt
- Proposed utilization of developed technology in subsequent projects
- ToT / Production Order details etc
- Suggestions for Way Forward

6. Appendices to Technical Closure Report

- References to Project technical documents (report/document no & location) such as PRC/PDR/DDR/CDR and Minutes of technical review meetings, Project definition documents, System definition documents, Technical / developmental / ATP documents / UATT/UET trials reports, PSQR validation Trial etc.
- A copy of the signed declaration of acceptance by the relevant users for each of the deliverables.
- A copy of minutes of highest monitoring body recommending the technical closure of the project

7. Way Forward

Plans for further use of the prototypes/technologies developed in the project may be stated. Product development plans for Mk-II, SHQs acceptance or any other related future roadmap for the product may be mentioned.

8. Accepting Authority

Technical Closure Report should be endorsed by Lab Director & accepting authority will be DG cluster. The Technical Closure Reports and supporting documents cited therein

should go into a central repository of the lab and O/o Cluster DGs for future reference. Lab Director and Director, PM of Cluster DG will endorse /certify the same in the Technical Closure Report.

9. Distribution List

Report(s) to be submitted to the following:

- Director (PM) of cluster DG
- Participating laboratories (if required)
- DP&C, DRDO HQ

FORMS, FORMATS & TEMPLATES

FORMAT FOR COST ESTIMATION MODULE

Lab Name:

Project Name:

Cost in ₹ Cr / Lakh

Major Head	Sub Head	Items Des	LPP/SO/BE/OWN COST	Qty	Cost Per Unit	Currency Rate	Year of Ref	Year of Realization	Total Without Taxes	Cost Esc % Amount (Rs in lakhs)	Import Duty % Amount (Rs in lakhs)	GST % Amount (Rs in lakhs)	Total Cost (Rs in lakhs)	Copy of Enclosure

Total Capital ₹..... Cr (FE_____)

Total Revenue ₹ Cr (FE_____)

Grand Total ₹Cr (FE_____)**Note :**For details please refer Cost Estimation Module (CEM) on DRONA Services

FORMAT FOR TRA AND PRI VERIFICATION / VETTING

Activity / Parameters	Verifying Authority Remarks
System breakdown chart with levels submitted	Yes/No
All sub-systems/ components TRLs indicated	Yes/No
Support documents provided	Yes/No
TRA/ PRI roadmap provided for Project PDC	Yes/No
Final PRI	
Assessment of project Timelines	
Suggested category of Project (Table 2 on PRI of DPFM 2021)	
Any other details	

Verified**(Chairman, Technology Council)****Vetted****(Chairman, PRC/PDR COMMITTEE)****Note :** *Vetting by Chairman PRC , where PRC is applicable.**Vetting by Chairman PDR Committee for MM and TD (S) Projects.*

DMC PRESENTATION FORMAT

Presentation Format for Annual Selection of Projects for accord of AIP, new project proposal for accord of AON and PDC extension and Additional funds are given below:

Format 'FF.03A' for Annual Selection of Projects for Accord of AIP

NAME OF THE CLUSTER						
Annual Selection of Projects for FY 202x-2y						
Lab Name:						
Manpower [DRDS]	Ongoing Projects [Tactical]	Projects likely to be completed in FY 202x-2y				
		Apr 202x to Jun 202x	Jul 202x to Sep 202x	Oct 202x to Dec 202x	Jan 202y to Mar 202y	Total FY 202x-2y
Nos	Nos	Nos	Nos	Nos	Nos	Nos
	Total Cost	Cost	Cost	Cost	Cost	Total Cost
Projects Proposed to be undertaken during FY 2021-22						
NUMBER	CCS	FM/RM	SECY	DG	DIR	Total
Applied S&T						Cost
TD (T)						Cost
TD (S)						Cost
MM						Cost
IF						Cost
Total						
	Cost	Cost	Cost	Cost	Cost	Cost

NAME OF THE CLUSTER					
Annual Selection of Projects for FY 202x-2y					
Lab Name:					
S.No	Project	Cost [Rs in Cr]	Category	Duration [Months]	Remarks (FYP/Vision Doc/RoadMap/ Non-Plan)
Projects					
1					
2					
3					
4					

Format 'FF.03B' for New Project Proposal (10 slides) for Accord of AON

1. Brief of proposed Project / Over view
 - Title of the project
 - Cost in ₹ Cr. (INR /FE)
 - Duration / PDC
 - Category: MM/UT/TD(S/T)/S&T(A/B)/PS/IF/LSP
 - Security classification of project (Top Secret /Secret /Confidential /Restricted /Unclassified)
 - Plan/Non Plan :Link to D-FYP /D-LTTPP/D-ViDOC/D-RdMAP/ PSQR etc
 - PRC/PDR Recommendations. PRC recommendations that are not agreed to/agreed with qualification (if any) have to be highlighted during presentation to DMC.
 - Participating labs/agencies with work share: Summary of work share, Project Director intends to assign participating labs be brought out in tabular form with funds and time required for the same.
2. Objectives / Scope of the project: Scope of the project should be clearly defined in quantifiable and measurable terms.
3. Infrastructure planned in the project
4. Deliverables/Output: Likely deliverables/output be mentioned after thorough discussion/consultation with User (If user involved).
5. TRL of various sub-systems, PRI of Project and proposed development strategy.
6. Brief of earlier work done: Similar work undertaken in the past by the project team having direct bearing on the present project may be brought out.
7. Technology challenges/issues foreseen: Technology challenges (grey areas) likely to crop up during execution of project be highlighted adequately and possible way out to overcome the same
8. Cost breakdown
9. Details of project team and project Documentation Group
10. Artificial Intelligence Group

11. Demand approval and other approvals which will be sought along with Project sanction
12. Status of demands that would be initiated immediately after DMC approval and brought upto TPC / CNC stage prior to project sanction.
13. Plan for DcPP/LSI/PA involvement.
14. Details of interaction/Recommendation of services for MM/UT/TD(S) projects.
15. DRDO will work on advanced and critical technologies. Where industry has the capability, such projects will not be undertaken by the Labs. All the systems/components which can be done by industry will be procured/taken from industry on brought out/ BTS basis. A list of such critical technologies as amended from time to time by DG(PC&SI)/ DISB shall be referred in each case.
16. Assurance from Lab that similar technology is not available with industry & being attempted first time. The same will be certified by the Project Director and Lab Director while seeking project sanction.
17. Ongoing commitment of lab in terms of number of ongoing projects and availability of manpower along with the detail of documentation group manpower.
18. Realistic PERT/Gantt chart with projected milestones.
19. Recommendation / approved sought from DMC
20. Other relevant information (if any)

Note : AON of DMC will be valid for 6, 4 & 2 months respectively for Secretary DD R&D, Cluster DG and Lab Director as CFA for Projects.

Format 'FF.03 C' for PDC Extension, Additional Funds and Reallocation of Funds

1. Brief of proposed Project / Over view
 - Title of the project/Goal
 - Cost in ₹ Cr. (INR /FE)
 - Duration /PDC
 - Category: MM/UT/TD(S/T)/S&T(A/B)/PS/IF/LSP
2. Introduction / Objective / Scope /Specs & deliverables
3. Present Status of Projects with details of major sub systems, reason for delay, achievement till date / infrastructure established.
4. Reason for not meeting the targets/ Bring out necessity of the project extension and what if PDC not extended.
5. Additional funds required / Reallocation of funds with justification.
6. Technology challenges / Risk factors and mitigation plan / Action plan to avoid further delay.
7. Six monthly mile stone with financial out lay.
8. Activities to be carried out / additional infrastructure needed to be established / Revised Project schedule/Activity/PERT/GANT/BAR chart with mile stones/ Confidence level to realise.
9. Decision required from DMC:
PDC Extension / Revised Cost / Cost Share / Reallocation of Funds/ Input from User required / pending, trial platforms requirements, LSI/DcPP/PA issue, help from Inspection agency etc.
9. Other relevant points (if any).

Note: Minutes of DMC (recommendations/directions) shall be forwarded to the cluster DG. Director PM O/o cluster DG shall forward the relevant extract to the nodal lab. Extract of DMC minutes, quoting DMC minutes no. & date should be placed in case file while forwarding the project proposal for sanction by CFA. DMC minutes should be referred in noting sheet of case file and directions / recommendations of DMC must be addressed adequately. Director (PM) of the cluster will ensure the compliance of DMC directives before forwarding the case to CFA for sanction.

STATEMENT OF CASE FOR SANCTION OF PROJECT/PROGRAMME

1. **Name of laboratory:** _____

2. **Title of the Project/Programme:** _____

3. **Category of Project** (Please tick in appropriate box):

- ☐ Mission Mode (MM)
- ☐ Technology Demonstration (TD)
(TD (T) / TD(S))
- ☐ Science & Technology (S&T)
(S&T (B) / S&T(A))
- ☐ Infrastructure & Facilities (IF)
- ☐ Product Support (PS)
- ☐ User Trials (UT)
- ☐ Limited Series Production (LSP)

Note: Technology Demonstration (TD) projects have been sub-categorized as 'Technology Level TD projects i.e TD(T)' and 'Systems level TD projects i.e TD(S)' projects. Similarly, Science & Technology (S&T) projects have been categorized as 'Basic S&T i.e S&T(B)' and 'Applied S&T i.e S&T (A)'. These sub-categorizations are for tracing the quantum of expenditures on basic and applied R&D.

4. **Security classification of Project/Programme**

- ☐ Top Secret
- ☐ Secret
- ☐ Confidential
- ☐ Restricted
- ☐ Unclassified

5. **PSQR/GSQR/NSQR/ASQR/JSQR No:** _____

(for MM/ TD(S) Projects)

6. **Trial Directive No:** _____

(for UT Projects)

7. **Cost** (₹ in Cr): _____ **Total** (FE)
8. **Duration** (in months): _____
9. **Is it a FYP/LTTPP/DRDO Vision Document / Roadmap of DRDO Plan Project?** Yes / No
- a) **If yes, please give Reference** _____
- (please quote Page No., Table No., Sl.No. of FYP/LTTPP/DRDO Vision document/ Roadmap of DRDO document)*
- b) **If No, please give Justification for undertaking the project**
10. **Is Detailed System Analysis Report enclosed?** Yes / No
11. **Recommendation of Cluster Council?** Yes / No
(please attach the Minutes)
12. **Recommendation of Peer Review Committee?** Yes / No
(please attach the Minutes)
13. **Recommendation of PDR committee (for MM & TD(S) Projects)**
14. **Recommendation of DMC-AoN** Yes / No
(please attach the minutes)
15. **Is TRL Analysis Report enclosed?** Yes / No
(Not mandatory for IF, PS, UT & LSP)
16. **Is Project Execution Plan attached?** Yes / No
17. **Project Deliverables/Output:** () Prototype
(Please tick in appropriate box) () Limited Series Production
() Technology
() Assembly or sub-assembly
() Process
() Others
18. **Name of the Project Director/Programme Director (for approval of Competent Authority) :** _____
[Lab to issue the letter as per Format DRDO.DPFM.FF.07, after approval of Competent Authority]

Macro and Micro Details of Project / Programme

CONTENTS

Part-I (Macro Details)

Serial Number	Description	Page No.
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Part-II (Micro Details)

Serial Number	Description	Page No.
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Part – I

Macro Details of Project / Programme

1. a. **Title of the Project** _____
- b. **Short Name or Acronym** _____
2. **Title of the Programme** _____
 (If the Project is part of a Programme)
3. **Objective** _____ Essential / Desirable
 (Please elaborate essential objectives and desirable objectives)
4. **Scope** _____
5. **Proposed project deliverables:**
 - (a) No of prototypes for testing _____
 - (b) No of (type approved/qualified) deliverables _____
6. **Is it a Multi-lab Project?** _____ Yes / No
 (If yes, please specify the participating Labs/Estt.)

7. **Specify the User(s)** : (Army/Air Force/Navy/
(Please attach the GSQR/NSQR/ASQR/SQR Inter-services/DRDO)
for MM / TD(S) Projects)
8. **Specify the proposed LSI / DcPP/ PA or selection methodology**

9. **Breakup of Cost (₹ in Cr.):**

(a) For MM, TD, UT & IF projects :

Minor Head	Major Head 4076 – Capital Sub Major Head – 05	Nodal Lab	Parti- cipating Lab, if any	Tota
	Heads of Expenditure	Total (FE)	Total (FE)	(FE)
052 (Code Head - 929/25*)	Transportation (Movement of Stores)			
	Equipment/Stores			
	CARS/CAPSI			
	Consultancy Contracts			
	Job Work/Contracts/Technical Services			
	Hiring of Transport			
	FOL for Project Vehicles			
	Contingency & Miscellaneous			
	Plant & Machinery			
	Project related Vehicles			
111	Works			
TOTAL				

* Total project expenditure related to MM, TD, IF and UT projects including equipment, hardware, consultancy, project related contingency, purchase/hiring of transport, freight, contracts for “Acquisition of Research Services (CARS)” under the project etc will be compiled to this head.

(b) For S&T & PS projects :

Minor Head	Major Head 2080 - Revenue	Nodal Lab	Participating Lab, if any	Total (FE)
	Heads of Expenditure	Total (FE)	Total (FE)	
105	Transportation (Movement of Stores)			
110 (code Head-856/01)**	Equipment/Stores			
	CARS			
	CAPSI			
	Consultancy Contracts			
	Job Work/Contracts/Hiring of Technical Services			
	Hiring of Transport, FOL for Project Vehicles			
	Contingency & Miscellaneous			
111	Works			
TOTAL (REVENUE)				
	Major Head 4076 - Capital			
052 (code Head-929/24)***	Plant & Machinery			
	Project related Vehicles			
	Works			
TOTAL (CAPITAL)				
GRAND TOTAL(REVENUE & CAPITAL)				

**Expenditure under Product Support (PS) and Science & Technology (S&T) on Project, Hardware on the basis of items less than Rs. 10 Lakhs and with less than 7 years expected life will be compiled to this Head, Consultancy, Transport, Freight, CARS and other Project related contingencies which do not create tangible assets related to Science & Technology (S&T) and Product Support (PS) Projects.

*** Cost of any upgrades/ improvements in the existing product and creation of permanent infrastructure (such as testing facilities) for PS projects; and all expenditures resulting in creation of tangible assets such as testing equipment, testing infrastructure, permanent facilities such as ranges/ buildings etc, which remain after project closure, for S&T projects.

Note:

- (i) In case, project is jointly funded by DRDO, Services, PSUs or any other agencies, details of funds along with relevant budget heads of Services, PSUs or any other agencies be given in tabular form and grand total be mentioned accordingly.
- (ii) The details of the equipment, machinery and store costing more than ₹ 50 lakh or 10% of project cost- whichever is less to be provided as Annexure, giving cost, FE (if any), and the month/year of procurement during implementation of the project.
- (iii) Project sanction file will not move for vehicle sanction to DHRD. However, the case will be processed separately only after project approval is accorded.

10. Additional requirement of mechanical transport vehicles specific to the project, for equipment/developed systems and stores (with justifications):

11. Proposed Six monthly milestones along-with financial outlay (₹ in Cr):

Sl. No.	Time (Months)	Six Monthly Technical Milestone	Financial Outlay (₹ Cr.)
Total			

12. Procurement Plan

An overall procurement plan should be prepared, detailing all items / services products, components to be procured with their estimated timelines for different procedural actions, cost and source of supply.

Sl. No	Name of the item/ Service	Brief description/ Purpose	Source of supply	Mode of tendering	Expected cost	Expected Date of Tendering/ Placing of SO	Expected Date of Delivery

13. Details of Demand approvals required

- Demand approval can be sought along with the processing for project sanction as per Procurement Manual 2020 as amended from time to time.
- Labs may initiate procurement actions for projects submitted for approvals / PDC extension / cost enhancement as per Procurement Manual 2020 as amended from time to time.
- Demand approval along with project sanction is recommended in MM projects as part of the main sanction file. For other categories of projects, the file for Demand approval may move in parallel with the project sanction file and demand can be approved once project is sanctioned.

14. Any other information:_____

15. List of enclosures:

(a) _____

(b) _____

16. PD AND Lab Director have to give certificate that this technology is not available in India and also mention that selected Industry/DcPP is not in negative list of vendors.

Part – II

Macro Details of Project / Programme

- 1. Brief technical appreciation** (To include objective, scope, relevance of the project to Lab/Estt charter. and Mission in maximum 1 or 2 pages only).
 - ❖ Justification (need) for undertaking the project/programme along with the recommendation of the cluster council/DMC.
 - ❖ What will be achieved by taking this project.
 - ❖ Competence level/preliminary work done to acquire the same.
 - ❖ DRDO will work only on advanced and critical technologies where industry does not have the capability. Where industry has the capability, such projects will not be undertaken by the Labs. The same will be certified by the Project Director and Lab Director while seeking project sanction. All

the systems/components which can be done by industry will be procured/taken from industry on bought out / BTS. A list of such critical technologies as amended from time to time by DG(PC&SI)/ DISB shall be referred in each case.

- ❖ Brief of TRL analysis. Initial TRL indices at the time of undertaking the project and likely TRL levels at the time of closure of the project as accepted by Peer Review Committee.
- ❖ Peer Review Committee recommendations (please enclose the copy of approved Minutes of the Peer Review Committee meeting).
- ❖ For MM and TD(S) project, PDR should be conducted in lieu of PRC. Enclose the copy of PDR and major recommendations in case of MM and TD(S) projects.
- ❖ Action Plan for prototype development.
- ❖ The proposal should contain the number of design iterations required at the component / sub-system level in a TD(T) project and number of design iterations required at the overall system / project level in TD(S) and MM projects. Time penalty for each design iteration should be given.
- ❖ Realisation Plan
- ❖ Testing Plan – Should include a Para on tests required, tests equipments / facilities, tests methodology to meet the performance as envisaged in the project (refer DPFM 2021).
- ❖ Six monthly technical milestones linking financial outlay and timelines.
- ❖ Critical factors/technology involved.
- ❖ High development risk areas and remedial actions proposed.
- ❖ Responsibility Matrix
- ❖ Development Partners/DcPP/LSI.
- ❖ Production agencies proposed.
- ❖ Costs benefit analysis/spin-off benefits.
- ❖ Project management and monitoring structure proposed.
- ❖ PERT/Gantt Charts.

2. If the project is to be executed by multiple laboratories, please outline the agreed work-packages among the various labs/estts.

S. No	Title of Sub-Project	Objectives & Scope of Work	Lab/Estt.	Cost (₹ in Cr)	PDC (in months)

3. **List of major additional facilities (capital) required for the project**

(Please highlight status of similar facilities existing with the laboratory as well as other DRDO labs/Estts. and why they cannot be utilized)

- (a) _____
(b) _____

4. **Major training requirements**

S. No	Discipline/ area for training	Agency contacted	No of Personnel proposed to be trained	Duration	Cost	Remarks

Note: Correspondence established with the agencies contacted for imparting the training and their willingness should be enclosed.

5. **Details of Work Packages**

S. No.	Name of Govt agencies	Work Package	Objectives& Scope of Work	Cost (Rs in Cr)	PDC (in months)

Note: Sub-Projects can be given to DRDO labs only. However, work packages can be given to other Govt. agencies like DAE, Deptt of Science & Technology and ISRO etc.

6. **Details of CARS**

S. No	Name of Institute/ Agency	Name of the identified professor	Area where R&D is required	Cost	PDC	Confidence level of the agency

--	--	--	--	--	--	--

Note: Correspondence established with academic institutes contacted for undertaking the research activity and their willingness should be enclosed.

7. Details of CAPSI

8. Details of Consultancy requirements

S. No	Discipline/ Area	Agency	Name of person / expert	Cost	Process that will be followed

Note: Correspondence established with the agency contacted for offering consultancy and their willingness should be enclosed.

9. Details of additional manpower requirements

S. No.	Designation/ Rank	Discipline	Number(s)	Period	Remarks

10. Details of additional building space requirement

- Funds for construction of building should be booked under Major Head-4076 (Capital)/Sub Head-111(Works) for MM, TD (S/T), UT & IF Projects and under Major Head-4076 (Capital)/Sub Head 052 for S&T (B/A) & PS projects.
- AE's should be obtained from concerned CCE/DCW&E and appended with the proposal

11. Additional information (Any other important information which is not covered).

12. Comments of Project Director with signature and date

13. Following details need to be certified by Lab Director

- (a) Manpower of Lab: DRDS - DRTC -
- (b) Availability of manpower for this project
- (c) Details of the ongoing Projects/Programmes of the lab:

Sl. No.	Title of Project	Project No.	Cost (₹ in Cr) Original/Current	Date of Sanction	PDC Original/ Current	Name of Project Director	Status (Design/Realisation/Testing Stage)

Recommendations of Lab Director with signature and date.

Note: Lab Director will provide his recommendations on the proposal submitted by Project Director. He will also certify that manpower requirement for the proposed project/programme will be allocated from existing lab strength. Availability of building space, if required, for housing the new equipments likely to be purchased under the project will be made available from the existing building space. In case additional manpower/building space is needed, the details may be given as per S.No. 8 & 9.

14. Recommendations of Cluster DG with signature and date.

Note: Cluster DG will offer his comments/recommendations taking a holistic view on necessity, availability of technology/expertise, manpower, resource availability and overall possibility of successful execution of the Project/Programme within timelines.

DRDO.DPFM.FF.05

CCS FORMAT

(SPECIMEN FORMAT OF THE MAIN NOTE)

SECRET

Copy No. _____

No. _____
MINISTRY OF _____
DEPARTMENT OF _____

New Delhi, the (date of the note)

NOTE FOR THE CABINET
OR
NOTE FOR THE CABINET COMMITTEE ON _____
OR
NOTE FOR THE EMPOWERED GROUP OF MINISTERS/ GROUP OF MINISTERS
ON _____

Subject: _____

1. INTRODUCTION

A snapshot of the proposal in 3 or 4 sentences.

2. BACKGROUND

A brief background of the proposal to understand its genesis. This would include consideration of the matter earlier by Cabinet/ Cabinet Committees/ EGoM / GoM or Commissions/High level Committees etc. if relevant and other pertinent details.

3. PROPOSAL

The proposal may be stated with clarity and precision so that there is no ambiguity in what the Ministry/Department aims to achieve by implementing the proposal. The time-lines for completion of different stages of the projects/scheme/plan etc, where relevant, need to be clearly spelt out.

4. JUSTIFICATION

Rationale of the proposal may be brought out in this part of the note.

5. INTER-MINISTERIAL CONSULTATIONS

Details of all inter-ministerial consultations and their views/comments as elaborated in the consolidated instructions should be brought out in this section.

This should also give details of the appraisal of the proposal by any appraisals bodies or financial institutions.

6. FINANCIAL IMPLICATIONS

The financial implications of the proposal may be worked out as accurately as possible and should be detailed in this section. Further, the manner in which the expenditure is proposed to be borne may also be clearly indicated.

7. ATMA NIRBHAR BHARAT

How this proposal will help in realising the goal by encouraging Defence manufacturing, reducing import dependence, increasing exports etc.

8. EMPLOYMENT GENERATION

The Employment Generation Potential of the proposal should be worked out and be reflected clearly in this Paragraph.

9. APPROVAL PARAGRAPH

The approval paragraph is the most crucial paragraph containing the proposal on which consideration and approval of the Cabinet/Cabinet Committee is solicited. It should be a self-contained paragraph and drafted with clarity and precision leaving no scope for ambiguity or differing interpretations.

10. STATEMENT OF IMPLEMENTATION SCHEDULE (APPENDIX-I)

As per prescribed format and conforming to the approval paragraph.

11. STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY (APPENDIX-II)

As per prescribed format, brief details of how the proposal will serve the three criteria to be included in the main body of the note.

12. STATEMENT ON MAJOR MILESTONES AND CORRESPONDING TARGET DATES (APPENDIX-III)

In the format prescribed for the purpose. (This is required only for infrastructure Project related proposals)

13. APPROVAL OF THE MINISTER-IN CHARGE

The last paragraph should indicate about the approval of the Minister-in-charge to the proposal(s) contained in the note.

Signature _____
Name _____
Designation _____
(Joint Secretary or higher in the
Sponsoring Ministry/Department)
Telephone No. _____

APPENDIX-I

SECRET

No. -----

Ministry of -----

Department of -----

STATEMENT OF IMPLEMENTATION SCHEDULE

Subject: _____

Gist of decision required	Project benefits/results	Time-frame and manner of implementation/reporting to Cabinet Secretariat.

Signature _____
Name _____
Designation _____
(Joint Secretary or higher in the
Sponsoring Ministry/Department)
Telephone No. _____

APPENDIX-II

SECRET

No. -----

Ministry of -----

Department of -----

STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY

Subject: _____

S.No.	The required goal	How does the proposal advance this goal?
1.	Equity or Inclusiveness	
2.	Innovation	
3.	Public Accountability	

Signature _____

Name _____

Designation _____

(Joint Secretary or higher in the
Sponsoring Ministry/Department)

Telephone No. _____

APPENDIX-III**SECRET**

No. -----

Ministry of -----

Department of -----

STATEMENT ON MAJOR MILESTONES AND TARGET DATES

Subject: _____

S.No.	Major milestones	Time frame for completion/target date	Financial Outflow (₹ Cr.)
1.			
2.			
3.			

Signature _____

Name _____

Designation _____

(Joint Secretary or higher in the
Sponsoring Ministry/Department)

Telephone No. _____

Annexure of CCS format

SPECIMEN FORMAT FOR THE PRESS BRIEF

Ministry name

Date of decision

Subject of the Note for the Cabinet/Cabinet committees

1. Decision
2. Point-wise details
3. Background
4. Implementation strategy and targets
5. Major impact
6. Expenditure involved
7. No. of beneficiaries
8. States/districts covered
9. Details and progress of scheme if already running

DRDO.DPFM.FF.06

SPECIMEN FORMAT FOR PROJECT SANCTION LETTER

No. _____ / ____ / D(R&D)
Government of India
Ministry of Defence
Deptt. of Defence Res & Dev
DRDO HQ,
New Delhi – 110 011
Date ____ Month, Year

To,

The Chairman
Defence Research & Development Organisation
Min. of Defence,
DRDO HQ, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

I am directed to convey the sanction of the President of India for undertaking the Project as per following details.

1. Title of the project : _____
2. Nodal Lab : _____
3. Other Participating Labs, if any : i) _____
(with name & title of subproject) ii) _____
4. Project No. : _____
(i) For Nodal Lab: _____
(ii) For Participating Lab 1: _____
(iii) For Participating Lab 2: _____
5. Plan/Non-Plan Project : _____
6. Total estimated cost : Total ₹ _____ Cr (FE: ₹ _____ Cr)
(Rupees in words)
Break-up of Share in case of Jointly Funded Projects

7. Start Date (DD: MM: YYYY) : _____
8. PDC (Months & Date) : _____
9. Objectives : (i) _____
(ii) _____
(iii) _____
10. Scope : _____
11. Deliverables/Output : _____
12. Break-up of Estimated Funds (₹ Cr .)

a) For MM, TD, UT and IF projects :

Minor Head	Major Head 4076 – Capital Sub Major Head – 05	Nodal Lab	Participating Lab, if any	Total (FE)
	Heads of Expenditure	Total (FE)	Total (FE)	
052 (Code Head- 929/25)*	Transportation (Movement of Stores)			
	Equipment/Stores			
	CARS/CAPSI			
	Consultancy Contracts			
	Job Work/Contracts/ Technical Services			
	Hiring of Transport			
	FOL for Project Vehicles			
	Contingency & Miscellaneous			
	Plant & Machinery			
	Project related Vehicles			
111	Works			
TOTAL				

* Total project expenditure related to MM, TD, IF and UT projects including equipment, hardware, consultancy, project related contingency, purchase/hiring of transport, freight, contracts for “Acquisition of Research Services (CARS)” under the project etc will be compiled to this head.

b) For S&T and PS Projects:

Minor Head	Major Head 2080 - Revenue	Nodal Lab	Participating Lab, if any	Total (FE)
	Heads of Expenditure	Total (FE)	Total (FE)	
105	Transportation (Movement of Stores)			
110 (Code Head-856/01)**	Equipment/Stores			
	CARS			
	CAPSI			
	Consultancy Contracts			
	Job Work/Contracts/Hiring of Technical Services			
	Hiring of Transport, FOL for Project Vehicles			
	Contingency & Miscellaneous			
111	Works			
TOTAL (REVENUE)				
	Major Head 4076 - Capital			
052 (Code Head-929/24)***	Plant & Machinery			
	Project related Vehicles			
	Works			
TOTAL (CAPITAL)				
GRAND TOTAL (REVENUE & CAPITAL)				

**Expenditure under Product Support (PS) and Science & Technology (S&T) on Project, Hardware on the basis of items less than Rs. 10 Lakhs and with less than 7 years expected life will be compiled to this Head, Consultancy, Transport, Freight, CARS and other Project related contingencies which do not create tangible assets related to Science & Technology (S&T) and Product Support (PS) Project.

*** Cost of any upgrades / improvements in the existing product and creation of permanent infrastructure (such as testing facilities) for PS projects; and all expenditures resulting in creation of tangible assets such as testing equipment, testing infrastructure, permanent facilities such as ranges/ buildings etc, which remain after project closure, for S&T projects.

Note: In case of project jointly funded by DRDO, Services, PSUs etc; details of funds of Services, PSUs etc along with budget heads be given and grand total be mentioned accordingly.

13. Add para **If Required/Applicable**. If Demand approval is accorded along with project sanction, additional information viz. name of equipment(s), estimated cost, probable source of supply, mode of tendering, wherever applicable be mentioned.

14. Director, Nodal Lab is authorized to allot sub-projects to other Defence R&D Labs/Estts for development / manufacture of sub-systems / sub-assemblies required for the project within the sanctioned funds under specific budget heads and likely date of completion.

15. **If Required/ Applicable** ----- Director(s) / PD(s) of Nodal Lab and participating Labs (if applicable) are also authorized to place supply orders for development, consultancy, or research contracts with other Govt./public/private sector organizations, academic institutions etc. restricting it within the total sanctioned funds (within the budget sanctioned under the relevant heads subject to financial powers authorized vide Government of India, Min of Defence letter no DRDO/DFMM/PL/83226/M/01/1976/D(R&D) dated 18 Dec 2019 as amended from time to time.

15. Authority letter for appointment of Programme / Project Director will be issued separately to concerned CDA (R&D)/Agency by the Competent Authority as per DPFM 2021.

16. Procurement of stores will be made in accordance with the rules and procedures for procurement of Equipment/Stores and services within the available powers and in terms of DRDO "Procurement Manual- 2020", as amended from time to time.

17. Director (Nodal Lab) is authorized to change the FE element as given in the GoI letter which can be converted to IC, subject to the overall sanctioned cost of the project not being exceeded.

18. The project monitoring committee structures as applicable may be brought out as Annexure to this Govt. Letter.

19. Para on Special Powers (as applicable) & other specific issues, if any: should be mentioned (if approved on file).

20. The expenditure will be debited to the relevant Minor Heads, under Major Head 2080 "Revenue" and Major Head 4076 "Capital" (**as the case may be**), of Defence Services Estimates, Research & Development.

21. **Add:** - Para on Debit of Expenditure /Flow of funds in case of Joint Projects with Services/PSUs and other agencies.

22. Unique Sanction Code (USC) : _____

(Please refer guidelines issued vide letter No- DBFA/FA/83301/M/01 dated 31st Mar 2014, available on DRONA portal of DFMM, DRDO HQ)

23. This issues with the concurrence of IFA (R&D) or Addl FA (R&D) (as the case may be) vide their Dy. No _____/MoD(Fin)/R&D dated _____.

(Authorised Signatory)

Note: The circulation of the sanction letter of the project will be as per the table given below:

Mandatory Ink Signed copy	Copy to
<ul style="list-style-type: none"> • Cluster DG • Lab Director • DP&C • CDA (R&D) of concerned lab • CDA (R&D) of participating lab 	<ul style="list-style-type: none"> • DGADS/PDA(AF)/PDA(Navy) as per case • DFMM • User (Services), if any
<ul style="list-style-type: none"> • PCDA (R&D), New Delhi • Labs Holding sub-projects. • CDA (Services) – for jointly funded projects 	<ul style="list-style-type: none"> • IFA (Cluster) • Controller General of Defence Accounts (CGDA) • DCW&E – if provision for Rev/Cap (Works)

DRDO.DPFM.FF.07

SPECIMEN FORMAT FOR APPOINTMENT OF PROGRAMME / PROJECT / DIRECTOR

No. _____/_____/_____
Government of India
Ministry of Defence
Deptt. of Defence Res & Dev
Lab (Name)

Date ____ Month, Year

To,
LAO/AO(R&D)/CDA(R&D)/PCDA(R&D)

Sub: Appointment of Programme / Project Director

1. Reference
 - (a) Project Sanction letter No.
 - (b) Prevailing Delegation of Financial Powers as amended from time to time
2. Mr./Ms./Dr. _____ is appointed as Programme / Project Director for the following Programme / Project :

Programme / Project Name : _____
Programme / Project Number : _____

3. His / her signature is attested below:

Attested by Lab Director

Copy To,

**Director PM , O/o Cluster DG
Programme/Project Director, DFMM, DP&C**

ANNUAL AUDITED STATEMENT OF EXPENPENDITURE

As a project progresses, expenditure record is maintained by the Lab BFA section and also by AO(R&D)/CDA/PCDA. Interim progressive expenditure figures/ monthly expenditure reports for each project are being promulgated by the labs. These progressive expenditures have to be rolled up each Financial Year (FY) and an Annual Audited Statement of Expenditure of each project under approved budget heads has to be sought by the Nodal/Participating labs from respective AO(R&D)s/CDAs/PCDAs. The statement will be vetted by the Accounts Officer. A format is given below. The audited statement of expenditure has to be sought for each financial year right from year of sanction till formal completion. Participating labs will provide the respective sub-project expenditure statement duly audited and vetted by respective AO(R&D)s/CDAs/PCDAs. At the project closure stage all the vetted statements should be enclosed with the Administrative Closure Report in support of total expenditure incurred under the project. This will obviate the tedious exercise of complete project expenditure audit at project closure stage.

ANNUAL AUDITED EXPENDITURE STATEMENT

(a) Project Name & No:

(b) Date of Sanction: DD/MM/YYYY

(c) Latest PDC: DD/MM/YYYY

(d) Project Cost (Original & Revised): Rs. Total(FE)

(e) Unit Code:

(f) Project/ Programme annual expenditure details:

For MM, TD, UT & IF projects

Minor Head	Major Head 4076 – Capital Sub Major Head – 05	Expenditure during FY, YYYY-YY	
		Funds Allocated	Expenditure Incurred
	Heads of Expenditure	Total (FE)	Total (FE)
052 (Code Head- 929/25)*	Transportation (Movement of Stores)		
	Equipment/Stores		
	CARS/CAPSI		
	Consultancy Contracts		

	Job Work/Contracts/ Technical Services		
	Hiring of Transport		
	FOL for Project Vehicles		
	Contingency & Miscellaneous		
	Plant & Machinery		
	Project related Vehicles		
111	Works		
TOTAL			

* Total project expenditure related to MM, TD, IF and UT projects including equipment, hardware, consultancy, project related contingency, purchase/hiring of transport, freight, contracts for “Acquisition of Research Services (CARS)” under the project etc will be compiled to this head.

For S&T & PS projects

Minor Head	Major Head 2080 - Revenue	Expenditure during FY, YYYY-YY	
		Funds Allocated	Expenditure Incurred
	Heads of Expenditure	Total (FE)	Total (FE)
105	Transportation (Movement of Stores)		
110 (Code Head- 856/01)**	Equipment/Stores		
	CARS		
	CAPSI		
	Consultancy Contracts		
	Job Work/Contracts/ Hiring of Technical Services		
	Hiring of Transport, FOL for Project Vehicles		
	Contingency & Miscellaneous		
111	Works		
TOTAL (REVENUE)			
	Major Head 4076 - Capital		
052 (Code Head- 929/24)***	Plant & Machinery		
	Project related Vehicles		
	Works		
TOTAL (CAPITAL)			
GRAND TOTAL (REVENUE & CAPITAL)			

**Expenditure under Product Support (PS) and Science & Technology (S&T) on Project, Hardware on the basis of items less than Rs. 10 Lakhs and with less than 7 years expected life will be compile to this Head, Consultancy, Transport, Freight, CARS and

other Project related contingencies which do not create tangible assets related to Science & Technology (S&T) and Product Support (PS) Projects.

*** Cost of any upgrades/ improvements in the existing product and creation of permanent infrastructure (such as testing facilities) for PS projects; and all expenditures resulting in creation of tangible assets such as testing equipment, testing infrastructure, permanent facilities such as ranges/ buildings etc, which remain after project closure, for S&T projects.

Audited Statement of Expenditure

It is certified that an expenditure of Rs._____including FE._____ was incurred under the project “_____ (No. _____)” against an allocation of Rs._____including FE._____ during the FY, YYYY - YY

(Accounts Officer)
with stamp

To – Lab Director
Copy to – DFMM/ DRDO HQ
 - Cluster DG

BRIEFING PAPERS FORMAT FOR REVIEW MEETINGS

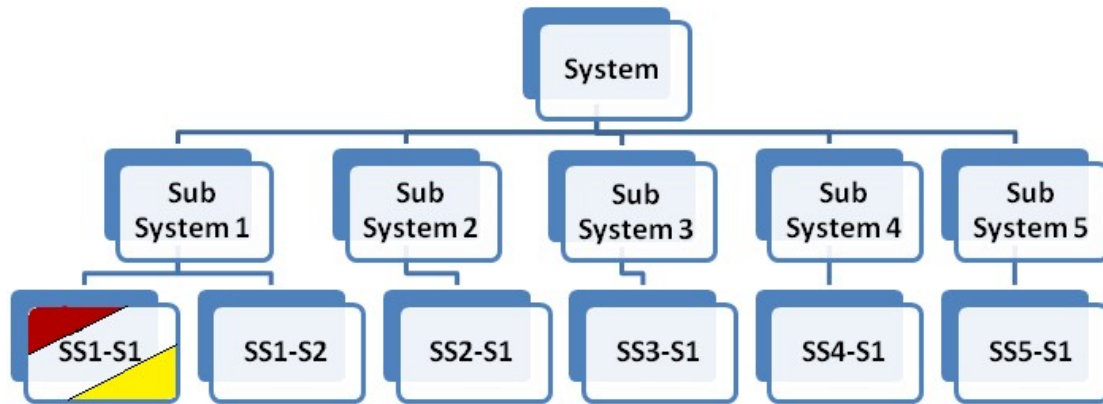
(This is specific to EB, for other reviews this may be customized based on Agenda Points,
Chapter 5, Project Monitoring & Review)

1. Project Attributes:

a.	Project Title				
b.	Category				
c.	Date of Sanction				
d.	Nodal & Participating Labs				
e.	Objective				
f.	Deliverables				
g.	PDC	Original	Rev.1	Rev.2....	Current
h.	Cost breakup(including FE)	Original	Rev.1	Rev.2....	Current
i.	No. of EBs and PMRCs held in last 2 yrs	EB		PMRC	
j.	Current Status of Project	Design	Realisation	Testing & Evaluation	Ready for Closure

2. Schematic configuration:

3. Overall Product Tree / WBS:



Please colour code each module/subsystem/algorithm/process as per scheme given below.

Stage (Upper corner)	Design	Realisation	Testing & Evaluation	Ready for Closure
Module (Lower corner)	In-House development	BTP	BTS	COTS

4. Particulars of Meetings:

- Ratification of **recommendations** of last PMRC (if any).
- Last EB action points with Expected Date of completion (EDC) & current status.
- Technical / User Reviews (if any).

Sl. No.	Action point	Expected Date of completion	Actual date of completion	Responsible agency/person	Status/Remarks
				PD/MMG/Finance/O/o DG/HQr	

5. Milestones achieved prior to this EB period.

6. Details of work and current status of sub system with major milestones (since last EB)

- (a) Work carried, achievements, test results etc.
- (b) TRL table with TRL at sanction stage and current stage indicating overall PRI.

Sl. No	TRL		
Sub System (SS)	Sanction	Last EB	Current
SS-1			
SS-2 etc			

- (c) Risk Matrix/Mitigation Plan/Status.

7. Details of Procurement plan (Major Items):

Sl. No	Name of item	Cost	Type of tender	Demand Initiation date	Approval date	RFP floated on	TEC conducted	TPC conducted	Supply order placed	Delivery/ Inspection (ATP)	Current status / Remarks

Note: Any other stages of procurement may be chosen for better appreciation.

8. Overall Financial status:

For MM, TD, UT & IF projects -

Minor Head	Major Head 4076 – Capital	Sanctioned	Expenditure	Commitment	In-Pipeline	Balance
	Sub Major Head – 05	(Rs in Cr)				
	Heads of Expenditure	Total (FE)	Total (FE)	Total (FE)	Total (FE)	Total (FE)
052 (code head – 929/25)*	Transportation (Movement of Stores)					
	Equipment/Stores					
	CARS/CAPSI					
	Consultancy Contracts					
	Job Work/Contracts/ Technical Services					
	Hiring of Transport					
	FOL for Project Vehicles					
	Contingency & Miscellaneous					
	Plant & Machinery					
	Project related Vehicles					
111	Works					
TOTAL						

* Total project expenditure related to MM, TD, IF and UT projects including equipment, hardware, consultancy, project related contingency, purchase/hiring of transport, freight,

contracts for “Acquisition of Research Services (CARS)” under the project etc will be compiled to this head.

For S&T & PS projects-

Minor Head	Major Head 2080 - Revenue	Sanctioned	Expenditure	Commitment	In-Pipeline	Balance
		(Rs in Cr)				
	Heads of Expenditure	Total (FE)	Total (FE)	Total (FE)	Total (FE)	Total (FE)
105	Transportation (Movement of Stores)					
110 (code head-929/25)**	Equipment/Stores					
	CARS					
	CAPSI					
	Consultancy Contracts					
	Job Work/Contracts/ Hiring of Technical Services					
	Hiring of Transport, FOL for Project Vehicles					
	Contingency & Miscellaneous					
111	Works					
	TOTAL (REVENUE)					
	Major Head 4076 - Capital					
052 (code Head-929/24)***	Plant & Machinery					
	Project related Vehicles					
	Works					
	TOTAL (CAPITAL)					
	GRAND TOTAL (REVENUE & CAPITAL)					

**Expenditure under Product Support (PS) and Science & Technology (S&T) on Project, Hardware on the basis of items less than Rs. 10 Lakhs and with less than 7 years expected life will be compiled to this Head, Consultancy, Transport, Freight, CARS and other Project related contingencies which do not create tangible assets related to Science & Technology (S&T) and Product Support (PS) Projects.

*** Cost of any upgrades/ improvements in the existing product and creation of permanent infrastructure (such as testing facilities) for PS projects; and all expenditures resulting in creation of tangible assets such as testing equipment, testing infrastructure, permanent facilities such as ranges/ buildings etc, which remain after project closure, for S&T projects.

9. Action plan for next six months-Technical Milestones with financial outlay:

Sl. No	Time (Months)	Six Monthly Technical Milestone	Financial Outlay (₹ Cr.)

10. PERT/GANTT chart of overall project schedule (Original & Current):

11. Issues:

12. Other Relevant points (if any).

13. Decision/Recommendations sought from EB:

Note:

- Agenda mentioned in Chapter 5 on 'Project Monitoring and Review' be referred while making briefing papers.
- Action plan as mentioned at Sl. No. 9 should mandatorily form part of EB minutes which should be released within two weeks of meeting. If the minutes of meeting to be vetted by outside offices cut off dates should be given beyond which minutes would be assumed to be approved.
- Apex Board format may be similar to EB format modified to cover Agenda of Apex Board (refer Chapter 5 on 'Project Monitoring and Review').
- Detailed technical discussions on each sub systems to be deliberated and recorded during PMRC. Ratification points from the higher monitoring body to be clearly mentioned in the minutes.
- For PDC extension cases, the defensible reason why PDC could not be adhered & remedial steps to be taken to avoid further PDC extension may also be presented as per the table given below & recorded in minutes.

Sl. No.	Reason for time over run	Responsible agency	Remedial Steps / Remarks
-	-	-	-

- Slides for presentation to be numbered 1 of n.

DRDO.DPFM.FF.10

FORMAT FOR RECORDING MINUTES OF MEETING OF REVIEW (AB/EB/PMRC)

Record/ File no _____ dated _____

Minutes of Apex Board/ Executive Board/ PMRC Meeting for Project titled
“ _____ ” held on DD-MM-YYYY at “Venue’

1. Following members were present during the meeting :

Name	Designation	Estt./Agency

2. Opening/ Introductory remarks (If any).

3. Record of discussions and action points of Previous Review -

Item Codes:- **A:** Action, **C:** Comment, **D:-** Decision, **R:-** Recommendation

Sl. No	Description	Item Code	Expected Date of Completion	Responsibility (Agency/ Individual Name)

4. Status of major sub system and sub projects

5. Details of procurements items envisaged in the projects along with status.

6. Financial Status presented during the review

Major Head			Rs in Cr (FE in brackets)			
Minor Heads	Budget Head Description	Sanctioned Funds		Expenditure		Balance Funds
			Spent	Commitments	In -Pipeline	
Total ₹ (FE ₹ Cr)						

7. Major milestones proposed to be completed in next 06 months along with the financial outlay.

S. No.	Name of Project/ Programme	Date of Sanction, Cost & PDC	Revised Cost & PDC	6 monthly milestones timelines for Apr-Sep & Oct-Mar		Achievements in last 6 months w.r.t. milestones	Financial Implications		
				Actual Date of Completion	Revised Date of Completion		Expenditure till date Spent: Committed:	Planned Cash Outgo	Actual Cash Outgo
1.									
2.									
...									

8. Other relevant points
9. Recommendations
10. Concluding remarks (If any)
11. These minutes are being issued with the approval of Chairman AB /EB/ PMRC.

(Member Secretary)

Addressees

STATEMENT OF CASE FOR PDC EXTENSION

1. Title of the Project : _____
2. Project/Programme No. : _____
3. Name of Lab : _____
4. Sponsoring Agency : _____
5. Sanction Cost (₹ Cr) : Total_____ (FE_____)
6. Date of Sanction : _____
7. Amount spent so far (in ₹Cr) : Spent - Total_____ (FE_____)
: Committed - Total_____ (FE_____)
: In Pipeline - Total_____ (FE_____)
8. PDC Original : (i) DD:MM:YYYY)& Months_____
(revised PDC, if any) : (ii) DD:MM:YYYY)& Months_____
9. Revised PDC **proposed** with : DD:MM:YYYY)& Months_____
financial or any other implications
10. Details of Additional funds required: _____
(if any)
11. Minutes of the Monitoring Committee
Meetings held so far and recommendations
of the highest monitoring committee
for PDC extension of the project : _____
12. Defendable reasons (point wise) why
PDC could not be adhered : _____
(attachment)
13. Work done so far with
milestones achieved : _____
(attachment)
14. Work to be carried out with revised
Six monthly milestones along with financial
outlay for the extended period of PDC: _____

15. DMC Direction (if applicable) : _____
16. Revised PERT/Gantt Chart : _____
17. New Monitoring mechanism proposed : _____
to avoid further PDC slippage
18. Check list for submission of case for
PDC Extension duly signed by competent
authority (enclosed / not enclosed) : _____

Programme / Project Director

Recommended

(Laboratory Director)

Approved

(Competent Authority)

STATEMENT OF CASE FOR COST REVISION AND RE-ALLOCATION OF FUNDS IN PROJECT

1. Name of Lab : _____
2. Project/Programme No : _____
3. Title of the Project : _____
4. Sponsoring Agency : _____
5. Sanction Cost (₹ Cr) : Total_____ (FE_____)
6. Date of Sanction : _____
7. Amount spent so far (₹ Cr) : Spent - Total_____ (FE_____)
: Committed - Total_____ (FE_____)
: In Pipeline - Total_____ (FE_____)
8. PDC original given and Subsequent amendments, if any : (i) DD:MM:YYYY)& Months_____
: (ii) DD:MM:YYYY)& Months_____
9. Work done so far with milestones achieved : _____
10. Re-allocation of funds
 - i) Details of head-wise funds to be re-allocated
 - ii) Reasons/Justification for re-allocation of funds
(Point-wise justifiable and defensible reasons may be highlighted)
 - iii) Recommendations of highest monitoring committee for re-allocation of funds
 - iv) Details of project monitoring committees meetings planned as per the Govt. letter vis-a-vis actually held.
11. Cost revision
 - i) Proposed Project cost (₹ Cr)
 - ii) Head-wise details of revised / proposed project cost (₹ Cr)

- iii) Reasons/justification for cost revision
(Point-wise justifiable and defensible reasons may be highlighted)
 - iv) Recommendations of highest monitoring committee for cost revision
(please append the minutes)
 - v) Supporting documents (budgetary quotes, e-mail quotes etc) for cost revision
 - vi) Details of project monitoring committees meetings planned vis-à-vis held as per the Govt. letter (please append the minutes)
12. General Assessment of Status (health) of Project
(views of the project leader/project Director may be brought out)
13. Check list for submission of case for
Re-allocation of funds / Cost Revision
Duly signed by competent Authority
(enclosed / not enclosed) : _____
14. Certification from Project Director on availability of funds

Programme / Project Director

Recommended

(Laboratory Director)

Approved

(Competent Authority)

DRDO.DPFM.FF.13

STATEMENT OF CASE FOR PROJECT COMPLETED WITH PARTIAL SUCCESS, STAGE CLOSURE AND CANCELLATION

1. Name of Lab/Est : _____
2. Title of the Project/Programme : _____
3. Project/Programme No. : _____
4. Category of Project : _____
5. Sponsoring Agency and QR No. : _____
6. Date of Sanction : _____
7. PDC original given and : DD:MM:YYYY)& Months _____
Subsequent amendment, if any : DD:MM:YYYY)& Months _____
8. Sanctioned Cost (₹ Cr) : Total_____ (FE_____)
9. Statement of Accounts (as on) : Expenditure incurred ₹ Cr : Total____(FE____)
(duly vetted by local audit officer/CDA (R&D))
10. Present Status : _____
(Give details of work done so far and stage upto which project has been progressed).
11. Detailed reasons/considerations for Project Completed successfully, project completed with partial success / Stage Closure/Cancellation:

12. Recommendation of Review Committee for Project success (as applicable):
13. Minutes of Monitoring Committee Meetings held so far and recommendations of the highest monitoring committee for closure of the project/programme:

14. Direction of DMC : _____

15. Lessons Learnt : _____

16. Other relevant details.

Programme / Project Director

Recommended

(Laboratory Director)

Approved

(Competent Authority)

Note:

Statement of expenditure vetted by local audit officer/CDA (R&D) and a certificate to that effect should be obtained with signature, name and office seal. It should be enclosed with the SoC.

AUDIT OF STATEMENT OF ACCOUNTS (EXPENDITURE) AND ADMINISTRATIVE CLOSURE OF PROJECT / PROGRAMME

Part - I

1. Name of the Lab : _____
2. Title of the Project/Programme : _____
3. Date of Sanction : _____
4. Category of the Project
(MM/TD/S&T/IF/PS/UT/LSP) : _____
5. Cost in ₹ (Cr) / FE ₹ Cr (original & revised): _____

Cost ₹ (Cr)	Original	Revised
RE		
FE		
Total (FE)		

6. PDC of the Project (months & date) : _____

Original	Revised	No of Revisions

7. Expenditure (as on date--) : Total ₹____ (FE____)
8. Aim & Objectives : _____
9. No of Prototypes
(type approved/qualified) deliverables
as brought out in Govt. Letter : _____

10. List of sub-projects

Sl. No	Sub Projects, Name & No.	Agency	Cost	Status	Achievement

11. List of CARS / CAPSI

Sl. No	CARS/CAPSI Name & No.	Agency	Cost	Status	Achievement

12. List of Consultancies

Sl. No	Aim	Agency	Amount	Date

13. Details of Facilities created (as proposed in the programme)

14. Trial Results (In brief) - Attach copies of final trial reports issued by Users/lab (as applicable)

15. Achievements (based on aim & objectives) :

S. No.	Targets as Envisaged	Targets as Achieved	Remark
	Targets Technology/ Deliverables/Products /Learnings/ Knowledge as envisaged in the project proposal	Targets Technology/ Deliverables/Products/ Learnings/ Knowledge etc. as achieved against each objective	

16. Recommendation of highest Monitoring Committee Meeting for Administrative Closure of the Project (enclose Minutes of the meeting)

17. Certificate from Lab MMG/Store Section stating no outstanding commitment, no live supply order or contracts & warranty is enclosed. List of payments, to be made due to contractual obligation be enclosed.

18. Certified that objectives set for the project have been met as per Technical Report No. _____

(Programme / Project Director)

Part-II

Statement of Accounts (Expenditure)

17. It is certified that the project “_____” No. _____ has incurred the expenditure of ₹. _____ including F.E. _____ against the sanctioned cost of ₹. _____ including F.E. _____ as per the enclosed Audited Statement of Expenditure.

All the stores/equipment undertaken in the project has been accounted for.

(Lab Accounts Officer or equivalent)
(Signature with name and office seal)

Part - III

The Statement of Accounts (Expenditure) of the project has been audited and reconciled.

Audit Authorities
(Local Audit Officer / CDA R&D)
(Signature with name and office seal)

Recommendation of the Lab Director

Approval of Cluster DG

(Cluster DG)

Note:

- (i) Audited Statement of expenditure duly vetted by audit authorities (Local Audit Officer/CDA (R&D) must be appended with the proposal*
- (ii) Distribution of Administrative/Technical Project Closure Report will be to (a) Participating Labs(b) Concerned DGs (if applicable) and (c) Director PM, O/o Cluster DG*

DRDO.DPFM.FF.15

SPECIMEN FORMAT OF GOVT. LETTER FOR PDC EXTENSION

No. _____/____/D(R&D)
 Government of India
 Ministry of Defence
 Deptt. of Defence Res & Dev
 DRDO HQ,
 New Delhi – 110 011
 Date ____ Month, Year

To,

The Chairman
 Defence Research & Development Organisation
 Min. of Defence,
 DRDO HQ, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

Subject: PDC extension of Project (Name) _____(No)_____

I am directed to convey the sanction of the competent authority for PDC extension of Project (Name) _____(No) _____ sanction vide Govt. letter no. _____ dated _____ as amended vide corrigendum no. _____ dated _____, from _____ months (DD/MM/YYYY) to _____ months (DD/MM/YYYY) . (List all amendments)

2. All other entries remain same.

3. Unique sanction code: _____

4. This issues with the concurrence of Ministry of Defence (Finance / R&D) vide their Dy. No _____/MoD(Fin)/R&D dated _____.

Yours faithfully,

()

Authorized signatory of CFA

<u>Ink Signed Copy to :</u>	<u>Copy to</u>
DG (Cluster)	The Director of Audit, Defence Services,
Director Lab	New Delhi
Director P&C	Addl FA & JS or IFA (R&D), Concerned
CGDA, New Delhi	(as the case may be)
PCDA (R&D), New Delhi	Director FMM
CDA (R&D), Concerned	Director CW&E
File copy	

DRDO.DPFM.FF.16

SPECIMEN GOVT. LETTER FORMAT FOR COST REVISION / RE-ALLOCATION OF FUNDS

No. _____ / ____ /D (R&D)
Government of India
Ministry of Defence
Deptt. Of Defence Res &Dev
DRDO HQ,
New Delhi – 110 011
Date ____ Month, Year

To,

The Chairman
Defence Research & Development Organisation
Min. of Defence,
DRDO HQ, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

Subject: Re-allocation of Funds/Cost Revision under Project (Name) _____ (No)_____

I am directed to convey the sanction of the Competent Financial Authority for Cost revision/ reallocation of Project (Name) _____(No)_____ vide Govt. sanction letter no _____ dated _____ as amended vide corrigendum no. _____ dated _____, from Rs. _____ (FE ____ Cr) to Rs. _____ Cr (FE _____) as per following details (list of amendments):

For:

‘Sanctioned project cost break-up table (existing)’

Read:

‘Revised cost break-up table for cost-revision or re-allocation of funds’

2. All other entries remain same.

3. Unique sanction code: _____

4. This issues with the concurrence of Ministry of Defence (Finance / R&D) vide their Dy. No _____ / MoD(Fin)/R&D dated _____.

Yours faithfully,

Authorized signatory of CFA

<u>Ink Signed Copy to :</u> DG (Cluster) Director Lab Director P&C CGDA, New Delhi PCDA (R&D), New Delhi CDA/JCDA (R&D), Concerned File copy	<u>Copy to</u> The Director of Audit, Defence Services, New Delhi Addl FA (R&D) & JS or IFA (R&D), Concerned (as applicable) Director FMM Director CW&E
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DRDO.DPFM.FF.17

SPECIMEN GOVT. LETTER FORMAT FOR PROJECT CLOSURE

No. _____/____/D(R&D)

Government of India
Ministry of Defence
Deptt. of Defence Res & Dev
DRDO HQ,
New Delhi – 110 011
Date ____ Month, Year

To,

The Chairman
Defence Research & Development Organisation
Min. of Defence,
DRDO HQ, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

Subject: Closure of Project “Project (Name) _____” (Project No)

I am directed to convey the sanction of the competent authority for Closure of Project “**Name of Project**” (Project No. _____), sanctioned to (Lab Name) vide Govt. of India, Ministry of Defence letter no. (*Original sanction*) letter no. _____/_____/D(R&D) dated ____ Month Year, as amended vide corrigendum (*if any*) no. _____/_____/D(R&D) dated ____ Month Year, with effect from Month, Year.

2. The expenditure incurred on the said project is Rs. _____ Cr (₹ _____) including FE Rs. _____ Cr (₹ _____) against the sanctioned cost of Rs. _____ Cr (₹ _____) including FE Rs. _____ Cr (₹ _____).

3. Unique Sanction Code (USC): _____

4. This issues with the concurrence of Ministry of Defence (Finance / R&D) vide their Dy. No _____/MoD(Fin)/R&D dated _____.

Yours faithfully,

Authorized signatory of CFA

<u>Ink Signed Copy to :</u>	<u>Copy to</u>
DG (Cluster) Director Lab Director P&C CGDA, New Delhi PCDA (R&D), New Delhi CDA (R&D), Concerned File copy	The Director of Audit, Defence Services, New Delhi Addl FA & JS or IFA (R&D), Concerned (as the case may be) Director FMM Director CW&E

DRDO.DPFM.FF.18

SPECIMEN FORMAT FOR CHANGE OF PROJECT FROM NODAL LAB TO NEW LAB

No. _____/____/D(R&D)

Government of India

Ministry of Defence

Deptt. of Defence Res & Dev, DRDO HQ

New Delhi – 110 011

Date ____ Month, Year

To

The Chairman

Defence Research & Development Organisation

Ministry of Defence,

DRDO Bhawan, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

Sub: Change of nodal lab for Project (name)..... From (nodal lab name) to (new lab name)

Ref: Letter no.(previous GOI sanctioned letter no) dated

Sir,

I am directed to refer to Government of India, Ministry of Defence letter no. dated and convey the sanction of the President of India for change of nodal lab for project (name) from (nodal lab) to (Name of new lab) with effect from dated The changed details are as follows:

Project No. : New Lab project No :
Participating Lab Sub-project No :

2. Project no. of nodal lab: and participating lab (Sub-project no). shall stands cancelled with effect from (Date).....

3. Nodal lab will ensure that expenditure incurred till cut-off date will be vetted by concerned CDA (R&D) and stores will be transferred to (new lab name).

4. All other authorization and responsibilities as in referred Govt. letters are also transferred to (new lab name).
5. All other contents of the original project sanction letter and subsequent revisions to the sanction if any, will remain unchanged, except for the change in name of the lab.
6. All outstanding liabilities and observations of Audit shall stand transferred to (Lab name).... with effect from (date).....
7. Unique Sanction Code (USC):
8. This issues with the concurrence of Ministry of Defence (Finance / R&D) vide their Dy. No ____/MoD(Fin)/R&D dated ____.

Yours faithfully,

Under Secretary to the Govt. of India

<u>Ink Signed Copy to :</u>	<u>Copy to</u>
DG (Cluster of nodal lab)	The Director of Audit, Defence Services, New Delhi
DG (Cluster of new lab)	Addl FA (R&D) & JS
Director nodal Lab	IFA (R&D), Concerned (as the case may be)
Director of new lab	Director FMM
Director P&C	Director CW&E
Director of participating lab	
CGDA, New Delhi	
PCDA (R&D), New Delhi	
CDA (R&D), Concerned	
File copy	

Annexure

- (a) Transfer of original Project Sanction file.
- (b) Statement of Expenditure signed by concerned CDA till cut off date.
- (c) List of all procurement cases/files to new Lab/Estt.
- (d) Finalisation of all audit observations/ issues till cut-off date with status and details of replies.
- (e) Transfer of Record/Project inventory to new establishment along-with outstanding Supply Orders for all procurement cases.

DRDO.DPFM.FF.19

**SPECIMEN FORMAT FOR CHANGE OF PROJECT CATEGORY
DURING PROJECT CURRENCY**

No. _____/____/D(R&D)

Government of India

Ministry of Defence

Deptt. of Defence Res &Dev, DRDO HQ

New Delhi – 110 011

Date ____ Month, Year

To

The Chairman
Defence Research & Development Organisation
Ministry of Defence,
DRDO Bhawan, New Delhi – 110 011

(For projects, where CFA is Lab Director / Cluster DG, addressee will be Lab Director / cluster DG and corresponding entries will be change accordingly).

Sub: Change of category of project (name)..... of nodal lab (name) from (old category) to (new category)

Ref: Letter no.(previous GOI sanctioned letter no) dated

Sir,

I am directed to refer to Government of India, Ministry of Defence letter no. dated and amendments (if any) and convey the sanction of the President of India for change of category for project (name) from (old category) to (new category) with effect from dated The changed details are as follows:

Project No. : Nodal lab new category project No :
Participating Lab new category Sub-project No :

2. Project no. of nodal lab: and participating lab (Sub-project no).
..... shall stand cancelled with effect from (Date).....

3. (The Scope/Cost/Deliverable of project in new category to be specified as approved).

4. Nodal lab will ensure that expenditure incurred till cut-off date (Date)..... will be vetted by concerned CDA (R&D) and stores will be transferred in new category of project of (lab name).

5. All other contents of the project original sanction letter and subsequent revisions to the sanction, if any, will remain unchanged, except for the change in category of the project.

6. Unique Sanction Code (USC):

7. This issues with the concurrence of Ministry of Defence (Finance / R&D) vide their Dy. No ____/MoD(Fin)/R&D dated ____.

Yours faithfully,

Under Secretary to the Govt. of India

<p><u>Ink Signed Copy to :</u></p> <p>DG (Cluster of nodal lab) Director nodal Lab Director P&C CGDA, New Delhi PCDA (R&D), New Delhi CDA (R&D), Concerned File copy</p>	<p><u>Copy to</u></p> <p>The Director of Audit, Defence Services, New Delhi Addl FA (R&D) & JS DG (Cluster of participating lab) Director of participating lab IFA (R&D), Concerned (as the case may be) Director FMM Director CW&E</p>
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CHECKLISTS

DRDO.DPFM.CL.01

CHECKLIST FOR NEW PROJECT SANCTION

This check-list should be placed on the file on top of Detailed Project Proposal

- 1 Draft project proposal and TRL report with Executive Summary (Yes/No)
- 2 SHQ commitment for MM, TD(S), UT & PS projects (Yes/No)
- 3
 - i) Recommendation of the Cluster Council for taking project (please append the minutes) along with the In-principle approval of CCM of all sub-project lab (Yes/No)
 - ii) Minutes of the Peer Review Committee Meeting (Yes/No)
Recommendation of PRC on TRL & PRI indices for taking project (Initial TRL indices at the time of undertaking the project and likely TRL levels at the time of closure of the project) (please append the minutes)
In case PRC has not been conducted details of approval of waiver of PRC.
(PRC is not essential for MM & TD(S))
 - iii) Whether the recommendations of Peer Review Committee have been implemented and proposal has been modified accordingly? (Yes/No)
 - iv) PDR Report for MM / TD(S) projects. (Yes/No)
 - v) Recommendation of the DMC (AoN) to undertake the project (the minutes to be enclosed) (Yes/No)
- 4 Project estimated cost is vetted by cost estimation committee/local finance authorities? (Yes/No)
- 5 Six monthly milestones along-with financial outlay upto PDC of project (Yes/ No)
- 6 PERT/GANTT charts (Yes/No)
- 7 Monitoring mechanism as per laid down guidelines of PPFM (Yes/No)
- 8 Manpower, Building space and Vehicle requirement if any (Yes/No)

- | | | |
|----|---|----------|
| 9 | Details of sub-projects indicating scope, cost and PDC enclosed | (Yes/No) |
| 10 | Details of CARS, CAPSI, Consultancy Training etc if proposed | (Yes/No) |
| 11 | Procurement plan
(Necessary documents for EPC approval enclosed) | (Yes/No) |
| 12 | Risk Identification and mitigation plan | (Yes/No) |
| 13 | Comments of Lab Director on ongoing project commitments | (Yes/No) |
| 14 | SoC for sanction of project flagged for signature of cluster DG | (Yes/No) |
| 15 | Draft Govt. Letter (DGL) Placed in File | (Yes/No) |
| 16 | PMIS data base updated on DRONA | (Yes/No) |

(Signature of Director PM O/o of Cluster DG)

DRDO.DPFM.CL.02

CHECKLIST FOR PDC EXTENSION OF THE PROJECT/PROGRAMME

- | | | |
|----|--|----------|
| 1 | Expenditure Details enclosure | (Yes/No) |
| 2 | Reasons for not adhering to PDC enclosure | (Yes/No) |
| 3 | List of activities to be carried out with revised milestones for the extended period of PDC enclosure | (Yes/No) |
| 4 | Revised PERT/Gantt Chart for extended period of PDC enclosure | (Yes/No) |
| 5 | Recommendations of highest monitoring committee for extension of PDC enclosure | (Yes/No) |
| 6 | Details of project monitoring committees meetings planned as per the Govt. letter vis-a-vis held with their respective minutes enclosure | (Yes/No) |
| 7 | Remedial steps undertaken to avoid further PDC extension is enclosure | (Yes/No) |
| 8 | General Assessment of Status (health) of Project enclosure | (Yes/No) |
| 9. | DGL placed in file | (Yes/No) |
| 10 | PMIS data base updated on DRONA | (Yes/No) |

It is certified that points raised in check list has been taken into consideration and necessary information / papers have been placed in file.

(Signature of Director PM, O/o Cluster DG)

CHECKLIST FOR PROJECT COST REVISION & RE-ALLOCATION OF FUNDS

- 1 Expenditure Details - Total _____ (FE____) enclosure (Yes/No)
- 2 **Re-allocation**
 - (i) Details of re-allocation of funds enclosure (Yes/No)
 - (ii) Reasons (Justification) for re-allocation of funds enclosure (Yes/No)
 - (iii) Recommendations of highest monitoring committee for re-allocation of funds enclosure (Yes/No)
 - (iv) Details of project monitoring committees meetings held (Yes/No)
- 3 **Cost Revision**
 - i) Details of cost revision enclosure (Yes/No)
 - ii) Reasons for cost revision enclosure (Yes/No)
 - iii) Recommendations of highest monitoring committee for cost revision enclosure (Yes/No)
 - iv) Supporting documents (budgetary quotes, e-mail quotes etc) for cost revision enclosure (Yes/No)
 - v) Details of project monitoring committees' meetings held (Yes/No)
- 4 General Assessment of Status (health) of Project enclosure (Yes/No)
5. DGL placed in File (Yes/No)
- 6 PMIS data base updated on DRONA (Yes/No)

It is certified that points raised in check list has been taken into consideration and necessary information / papers have been placed in file.

(Signature of Director PM, O/o Cluster DG)

ABBREVIATIONS

LAB NAME ABBREVIATIONS FOR PROJECT NO. ALLOTMENT

(Full abbreviation of Lab name will be used for allotment of Project No.)

ADA	Aeronautical Development Agency
ADE	Aeronautical Development Establishment
ADRDE	Aerial Delivery Research and Development Establishment
ARDE	Armament Research & Development Establishment
ASL	Advanced Systems Laboratory
CABS	Centre for Air Borne System
CAIR	Centre for Artificial Intelligence & Robotics
CFEES	Centre for Fire, Explosive and Environment Safety
CHESS	Center for High Energy Systems and Sciences
CVRDE	Combat Vehicles Research & Development Establishment
DEAL	Defence Electronics Application Laboratory
DEBEL	Defence Bioengineering and Electro-medical Laboratory
DFRL	Defence Food Research Laboratory
DGRE	Defence Geo-Informatics Laboratory
DIBER	Defence Institute of Bio-Energy Research
DIHAR	Defence Institute of High Altitude Research
DIPAS	Defence Institute of Physiology & Allied Science
DIPR	Defence Institute of Psychological Research
DLJ	Defence Laboratory Jodhpur
DLRL	Defence Electronics Research Laboratory
DMRL	Defence Metallurgical Research Laboratory
DMSRDE	Defence Materials & Stores Res. & Dev. Establishment
DRDE	Defence Research & Development Establishment
DRDL	Defence Research & Development Laboratory

DRL	Defence Research Laboratory
DSP	Directorate of Strategic Projects
GTRE	Gas Turbine Research Establishment
HEMRL	High Energy Materials Research Laboratory
INMAS	Institute of Nuclear Medicine & Allied Sciences
IRDE	Instruments Research & Development Establishment
ITR	Integrated Test Range
JCB	Joint Cipher Bureau
LRDE	Electronics & Radar Development Establishment
MTRDC	Microwave Tube Research & Development Centre
NMRL	Naval Materials Research Laboratory
NPOL	Naval Physical Oceanographic Laboratory
NSTL	Naval Science & Technological Laboratory
PXE	Proof & Experimental Establishment
RDEE	Research & Development Establishment (Engineers)
RCI	Research Centre Imarat
SAG	Scientific Analysis Group
SSPL	Solid State Physics Laboratory
TBRL	Terminal Ballistics Research Laboratory
VRDE	Vehicles Research and Development Establishment

Note:

In case of any ambiguity arising due to similar or same abbreviation for two or more labs, DP&C will clarify and assign proper abbreviation to each lab for allotment of Project No.

ABBREVIATIONS GENERAL TERMINOLOGY

ACE	Armaments & Combat Engineering
AHSP	Authorised Holder of Sealed Particulars
AIP	Acceptance –in-Principle
ASQR	Air Staff Qualitative Requirement
ATP	Acceptance Test Procedure
BARC	Bhabha Atomic Research Centre
BE	Budget Estimate
BTS	Build to Specification
CARS	Contract for Acquiring Research Services
CCS	Cabinet Committee on Security
CDA	Controller of Defence Accounts
CDR	Critical Design Review
CFA	Competent Financial Authority
CGDA	Controller General of Defence Accounts
CPM	Critical Path Method
CSIR	Council of Scientific and Industrial Research
DAE	Department of Atomic Energy
DcPP	Development cum Production Partner
DDR	Detailed Design Review
D-FYP	DRDO Five Year Plan
D-LTTPP	DRDO-Long Term Technology Perspective Plan
D-RdMAP	Roadmap of DRDO
D-ViDoC	DRDO-Vision Documents
DFS	Detailed Feasibility Studies
DG	Director General
DHRD	Directorate of Human Resource Development
DIITM	Directorate of Industry Interface & Technology Management
DMC	DRDO Management Council

DoS	Date of Sanction
DP	Development Partner
DP&C	Directorate of Planning & Coordination
DPSU	Defence Public Sector Undertaking
DPP	Draft Project Proposal
DQRS	Directorate of Quality, Reliability & Safety
DRDO	Defence Research & Development Organisation
DRDS	Defence Research Development Service
DRONA	DRDO Rapid Online Network Access
DRTC	Defence Research Technical Cadre
DST	Department of Science & Technology
EB	Executive Board
EOI	Expression of Interest
ETD	Expected Date of Completion
FADS	Finance Advisor Defence Services
FE	Foreign Exchange
FIMs	Free Issue Materials
FM	Finance Minister
FMEA	Failure Mode Effect Analysis
FMECA	Failure Mode Effect Critical Analysis
GSQR	General Staff Qualitative Requirement
HR	Human Resource
IDS	Integrated Defence Staff
IF	Infrastructure Facility
ISRO	Indian Space Research Organisation
JSQR	Joint Staff Qualitative Requirement
LATOT	License Agreement for Transfer of Technology
LP	Local Purchase
LS	Life Sciences
LSP	Limited Series Production

LTIPP	Long Term Integrated Perspective Plan
LTPP	Long Term Technology Perspective Plan
MM	Mission Mode
MOD	Ministry of Defence
MOU	Memorandum of Undertaking
MSS	Missiles & Strategic Systems
MTBF	Mean Time between Failures
NS&M	Naval Systems & Materials
NSQR	Naval Staff Qualitative Requirements
OF	Ordinance Factory
OFB	Ordinance Factories Board
P&C	Planning & Coordination
PA	Production Agency
PBS	Product Breakdown Structure
PCDA	Principal Controller of Defence Accounts
PDC	Probable Date of Completion
PDR	Preliminary Design Review
PEP	Project Execution Plan
PERT	Project Evaluation and Review Technique
PJMB	Project Management Board
PMB	Programme Management Board
PMRC	Project Monitoring and Review Committee
DPFM	Directives for Project Formulation and Management
PRC	Peer Review Committee
PRI	Project Readiness Index
PS	Product Support
PSU	Public Sector Undertaking
QA	Quality Assurance
QR	Qualitative Requirement
QR&S	Quality Reliability & Safety

R&D	Research & Development
RE	Revised Estimate
RFP	Request for proposal
RM	Raksha Mantri
SHQs	Service Head Quarters
SDLC	Software Development Life Cycle
Sl. No.	Serial Number
SoW	Scope of Work
S&T	Science & Technology
TD	Technology Demonstration
TEC	Technical Evaluation Committee
ToT	Transfer of Technology
TRA	Technology Readiness Assessment
UATT	User Assisted Technical Trials
USC	Unique Sanction Code
UT	User Trials
UW	Under Water
VCAS	Vice Chief of Air Staff
VCNS	Vice Chief of Naval Staff
VCOAS	Vice Chief of Army Staff
WBS	Work Breakdown Structure