

Broad Guidelines for Filling the Forms for obtaining The Security / Sensitivity Clearance

All research projects, involving foreign collaboration in any form, require security / sensitivity clearance before their implementation. The High Level Committee (HLC) of the Cabinet is the apex body for accordingly such clearances. However, the Secretaries of the Government Departments have been empowered to grant clearance to projects following in green channel. The below listed documents (as per format enclosed) should be sent to ISTAD, CSIR HQs for obtaining necessary clearances.

- (a) Project Summary Proforma
- (b) Checklist
- (c) Research Project document as submitted to the funding agency
- (d) Call for proposal against which the proposal was submitted for funding
- (e) Communication from funding agency confirming the support / funding

PROJECT SUMMARY

1. Project Title :
2. Total cost of the Project (Indian side (in Rs.)) :
3. Duration of the Project :
4. Project Investigators (PIs) and Co-investigator
 - 4.1 Indian PIs :
 - 4.2 Foreign Pis :
5. Other Project participants
 - 5.1 Indian :
 - 5.2 Foreign :
6. Implementing Agency/Institutions
 - 6.1 Indian :
 - 6.2 Foreign :
7. Sponsoring Agency/Department/Ministry
 - 7.1 Indian :
 - 7.2 Foreign :
8. Administrative Ministry in Government of India :
9. Has the project been cleared by Secretary of the Administrative Ministry/Department from Security/sensitivity angle? Applied for/Yes/No
10. If answer to (9) above is 'No' then does the Administrative/Sponsoring Ministry/Department recommend the project to To be considered by High Level Committee of Secretaries.

Signature with date of the Project Investigator
(Indian side)

Signature with seal of the designated Officer
in Administrative Department/Sponsoring Ministry

Notes:

1. The summary sheet should be attached with the Checklist.
2. The copy of the project proposal must be signed by the Project Investigator and the Head of the Implementing Institution.
3. Answers to various items in the Checklist must be given in unambiguous terms. Answer to Sl.No.5 must be either 'Yes' or 'No' and Not 'NA', 'Not known' or just keep blank.
4. Clearances from concerned regulatory authorities on the issues under Col.13 of Checklist (whatever applicable) must be obtained and copies of such clearances attached with the communication to CSIR/DST conveying security/sensitivity approval.

CHECK-LIST

1. Title of the project :
2. Initiating Institute of project :
- 2.1 i) Government/Non-Government
- ii) Name and Role of Indian PIs.
- iii) Contact Details of PIs.
 - Address
 - Landline No
 - Mobile No
 - Email ID
- iv) Whether the inclusion of any other entity during the course of research is proposed.

3. Funding/Sponsoring Agency/Ministry

4. Total cost of the project :

Nature and Quantum of foreign collaboration sought

- a. Financial support
 - b. Equipment support
 - c. Technical support
 - d. Manpower training
 - e. Miscellaneous (consultancy and Material for R&D)
5. Is there any possibility, however, remote of use of data, information of result of the work which may impinge on India's national security? If yes, the nature of such a use may be indicated and a duly signed data sharing, agreement be submitted along with the proposal. (In case the concerned scrutinizing Ministry do not have clear answer; the matter should be referred to the Ministry of Home Affairs & Ministry of Defence (Defence Research and Development Organization) for comments).
6. If the proposal is foreign originated, what is the background of the foreign agency or organization which is funding/sponsoring the project? The past collaborations by the foreign agency with any Indian Institutions if any, should be explicitly mentioned with details.
7. Are the foreign/Indian agency, organization and scientists concerned, known to have taken up any sensitive project of significance to national security in the past or known to be associated with any military/security organization or project?

(If the above information is not known or if there is definite information that there is no such association, these should be clearly indicated)

8. Is the proposer (Indian) known to the foreign collaborator and his group for some time and has this emerged naturally from the previous or present research work done by the two sides?
9. Is the funding source known to have funded research into sensitive and national security areas in its own country or in any other countries?
10. Are there reasons to believe that the foreign source is a cover name for some other sponsor?
11. Give a list of the likely places of visit within the country planned by the foreign collaborator. Also give a list of the institutions, which the collaborator is likely to visit.
12. Will any sensitive source material be referred to during the course of the research?
13. Does the collaboration involve:
 - a) Transfer of biological material(s), (Type, nature & quantity of biological material proposed for exportation). If so, provide signed or proposed Material Transfer Agreement (MTA). Also share a copy of approval of the Institutional Biosafety Committee (IBSC) and Review Committee on Genetic Manipulation (RCGM), Department of Biotechnology (as applicable).
 - i) Whether the quantity for export(s) falls within the 10% ambit, as per guidelines?
 - ii) Whether the foreign entity proposes to transfer the biological materials to any other entity(s) for end use.
 - b) Use of radioactive materials.
 - c) Use of environmentally or otherwise hazardous material(s). (If yes then, Type of Material, LD 50, Type of Hazard is to be mentioned)
 - d) Use of Genetically Modified Organisms
 - e) Use of Recombinant DNA.
 - f) Use of Genetic manipulation technology.
 - g) Field trials or testing planned / conducted.
 - h) Ethical issues and clearance by Institutional Ethical Committees (IEC).
 - i) Issues related to Intellectual Property Rights (IPR) including details - Which entity will hold primary and preferential Intellectual Property Rights (IPR) to the results of the research.
14. If answer to any section of question 13 is yes, submit the relevant clearance.

Also,

- i) Has the proposal been examined in detail by the concerned committee of the Nodal Ministry or Department?

ii) Are the investigators/proposes aware of the relevant regulations and have they agreed to abide by them?

15. Will the research be conducted in accordance not only with the country's own requisite ethical, environmental and biosafety / biosecurity standard, but with international standards as well?

Certified that the above information is true to best of our knowledge.

Signature with date of Project Investigator
(Indian side)

Signature with date and seal of the Director
(Indian side)

**Certificate of Director of the Institute
On Security / Sensitivity Clearance**

This collaborative research project entitled “ _____ ”, as detailed in the enclosed checklist, does not involve any aspect from security and/or sensitivity angles either proximately or remotely now or in the foreseeable future.

Signature with date and Seal of the Director of the Institute

SECURITY PARAMETERS

(to be used for vetting Foreign Research Proposals)

1. Legal status of the foreign and Indian parties.
2. Any known criminal charges against parties to the proposal, which could impinge on India's national security?
3. Have any of the parties been involved with sensitive organizations such as security/defence-related entities?
4. Intelligence on any previous research of both parties that had implications for national security.
5. Is the funding for the research project in the form of FDI or FCRA or other?
6. Do the foreign collaborating agencies figure in MHA's Prior Approval category (PAC) list?
7. Does the research pose potential risk to the health of humans, animals, or plants, either directly through infection or indirectly through damage to the environment?
8. Does the research involve potential gain of function experiments which enhances virulence and transmissibility of pathogens?
9. Does the project involve micro-organisms which fall under Risk group 3 and above? If yes, do the collaborating labs in India have BSL-3 and above certification by RCGM?
10. Does the project involve visit of foreigners to areas within 50 kms of the international border or to sensitive installations?
11. Details about any past or present direct/indirect linkages of foreign entity involved in the project with elements/countries of concern, if any.