

RECOGNITION OF SCIENTIFIC AND INDUSTRIAL RESEARCH ORGANIZATIONS (SIROs)

(Guidelines and Application Format)



**Government of India
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<http://www.dsir.gov.in>**

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GUIDELINES FOR FRESH RECOGNITION OF SCIENTIFIC AND INDUSTRIAL RESEARCH ORGANISATIONS (SIROs)

1. PREAMBLE

The Recognition Scheme for Scientific and Industrial Research Organisations (SIROs) will bring together voluntary organizations operating in non-commercial sector with a view to promote their activities in the area of scientific and industrial research, design and development of indigenous technology to achieve technological self-reliance and minimize foreign inputs. The Organisations seeking support under the scheme will undertake activities for the extension of knowledge in the field of natural and applied sciences, agricultural, medical and social sciences. Functional SIROs having clearly stated objectives of undertaking scientific research, broad based Governing Council, Research Advisory Committee, research personnel, infrastructure facilities for research, well defined, time bound research programmes and clearly stated objectives of undertaking scientific research are considered eligible for recognition by DSIR.

The SIROs recognised by DSIR (other than hospitals) are eligible for customs duty exemption and excise duty waiver on import of equipment/instruments and their spares and consumables; under notification nos. 51/96-Customs dated 23.7.1996 and 10/97-Central Excise dated 1.3.1997 respectively. The recognition would help them to evolve research infrastructure by way of overall administrative support assistance and other assistance as may be necessary for the efficient working of a research-oriented organization.

2. ORGANISATIONS ELIGIBLE FOR CONSIDERATION

The following types of organizations are eligible for recognition:

- a. **Associations:** An association will be a society/trust registered under the Societies registration Act, 1860 or any such act passed by the State Government. The sole objective of the association should be to undertake scientific and/or industrial research.
- b. **R&D Companies:** A company which has been incorporated under Section 25 of the old Companies Act, 1956 or Section 8 under the New companies Act, 2013 and set up for engaging in R&D activities. The sole objective of the company should be to undertake scientific and/or industrial research.
- c. **Institutions:**
 - I Scientific institution having adequate infrastructural facilities to undertake scientific and/or industrial research and having undertaking of scientific and/or industrial research as a main object of the institution.
 - II Professional bodies having undertaking/promoting the undertaking of scientific and/or industrial research as main object.
- d. **Universities:** A university established or incorporated by or under a Central or State Act and includes an institution declared under section 3 of the University Grants Commission Act, 1956 (3 of 1956) to be University for the purposes of the Act.
- e. **Colleges:** A college undertaking scientific research (in the specific disciplines), should be affiliated to a university as above and should not be just a teaching institution. It should have identifiable research and development centre with adequate infrastructure to carry out focused scientific and/or industrial research. To establish this, the college should submit the affiliation letter and a certificate from the Vice-Chancellor of the university to which it is affiliated.

3. HOW TO APPLY

The applicants seeking fresh recognition are required to submit online application through DSIR website (www.dsir.gov.in) or through the Portal Link: (<http://dsir.csir.res.in/DSIRPrograms/Login/Default.aspx>). After successful submission of online application send one set of hard copy (.pdf, generated by the system) signed by the Head/Chairman/Director of the Organization to DSIR along with all relevant enclosures, like:

- i. A copy of the memorandum & Articles of Association of the company/society or Trust deed etc (in case of there are any changes, please highlight the same).
- ii. Latest annual report of the SIRO
- iii. A note on the R&D activities of the SIRO, highlighting the on-going & proposed research activities, details of past achievements/completed research projects.
- iv. A brief write-up on some of the major past achievements, ongoing and future projects.
- v. Details of scientific personnel working in the R&D unit(s) along with qualifications & designation
- vi. Details of infrastructure available for research giving the date of installation & value of all major facilities.

4. PROCEDURE FOR GRANTING RECOGNITIONS

- i. The applications received are scrutinized for their completeness in the DSIR and are then circulated for comments to various departments/agencies such as CSIR, ICAR, ICMR, ICSSR, UGC and other organizations as per requirement.
- ii. In order to obtain first hand information on R&D activities of the applicant organisations, discussions with the Head R&D of the organisation and other senior officials of the organization are also held in DSIR in many cases. During the discussions outside experts are invited and their comments are sought.
- iii. The organisations seeking recognition are visited, if need be, by expert teams comprising of representatives of DSIR as well as outside agencies, like, administrative Ministries, CSIR, NRDC, DBT, ICAR, ICMR, DRDO, DIT, DoT, IITs and local educational and Research Institutions as applicable, before they are taken up for consideration.
- iv. The applications along with comments from outside agencies, visit reports and the Department's own evaluation are considered by an Inter-Departmental Screening Committee (SC) in DSIR with members from CSIR, ICMR, ICAR, ICSSR and UGC. The recommendations of the Screening Committee are put up for approval of Secretary, DSIR. The recognition is effective from the date of the meeting of the Screening Committee in which it is approved. Recognition with retrospective effect is not granted.

- v. The period for which recognition is granted would generally be 3 years terminating on the 31st March of the third financial year. However, in certain cases this recognition may be granted for a shorter period.
- vi. There is no separate `Registration for SIROs; SIROs recognised by DSIR are issued certificate of registration, if they are found eligible.
- vii. The SIROs recognised by DSIR (other than hospitals) are eligible for customs duty exemption and excise duty waiver on import of equipment/instruments and their spares and consumables; under notification nos. 51/96-Customs dated 23.7.1996 and 10/97-Central Excise dated 1.3.1997 respectively. "Hospital" includes any Institution, Centre, Trust, Society, Association, Laboratory, Clinic or Maternity Home which renders medical, surgical or diagnostic treatment.

5. CRITERIA FOR RECOGNITION:

- i. SIROs should be functional, having broad based Governing Council/ Management Committee which control and guide the Institution.
- ii. SIROs should have a broad based Research Advisory Committee (RAC) to include eminent scientists, engineers and technologists relevant to the discipline of service in which the organization is engaged. RAC would be constituted by the Organisation to oversee and evaluate the research activities.
- iii. The Organisation shall have identifiable research and development centre with adequate Infrastructural facilities and resources for undertaking/promoting, as the case may be, of scientific and/or industrial research. There should be clear segregation between the profit and non-profit making entities. They should have full time research personnel and separate identifiable infrastructural facilities for carrying out R&D work.
- iv. They should have well defined, time bound research programmes leading to development of innovative products and/or technology(ies) that are documented. While activities relating to training, awarding scholarships, rewarding scientists, organizing symposia etc. are also generally undertaken by scientific research bodies, they would not by themselves constitute undertaking or promoting the undertaking of scientific research.
- v. The organisation should have clearly stated objectives of undertaking/supporting scientific research. In case of associations, they should fund research programmes and at least provide fellowships to PG/Doctoral students.
- vi. Depending on the area of operation the organisations should have Ethics committee, Bio-safety committee or any such regulatory committees/mechanism, need based.
- vii. The organisation should have research publications, collaborations with national & international institutional, wherever necessary.
- viii. Trusts of the nature of a partnership or family concern would not be eligible for approval as a scientific Research Organisation.

- ix. The Organisation should be non-profit oriented. All amounts received by way of sale of know-how premium and royalty, fee charged for a research project including testing fee etc. should be used as reinvestment by the organization for undertaking research.

6. CONDITION FOR RECOGNITION

- i. The Organisation which has been recognized under this scheme will maintain a separate account of the sums received by it for research.
- ii. The organization will furnish a copy of annual report of its research activities to the Department at the end of every financial year. The report shall cover a brief summary of achievements made, papers published, patents filed, products/technologies developed or improved, etc.
- iii. The Organisation will submit to the Department each year a copy of audited annual returns showing the total income and expenditure and balance sheet showing its assets and liabilities. The auditor should certify that the amounts incurred are for research.
- iv. Assets acquired for research by organizations out of funds received should not be disposed off or transferred in favour of the promoter companies or to other agencies without the specific approval of the Department.
- v. Approval granted to an organization is on the basis of its Memorandum of Association and other documents submitted. Any change in the Memorandum of the Association must therefore have the written approval of the Department.

7 PROCEDURE FOR SIROS ALREADY RECOGNIZED BY DSIR

The SIROs are advised to apply online for renewal of recognition well in advance (3 months prior to the date of expiry of recognition). Username and password is to be used are same as that used earlier. Such applications received for renewal of recognition are examined by Research Review Group (RRG). Based on the evaluation made by the RRG, renewal of recognition is granted to the SIROs. Renewal of recognition is granted for periods ranging from 2 to 3 years

**II. APPLICATION FORM FOR FRESH SCIENTIFIC AND INDUSTRIAL
RESEARCH ORGANISATIONS (SIROs) (To be filled online only)**

File No.:
(For office use only)

Date of receipt in DSIR:
(For office use only)

1. Whether application is for:
 - 1.1 Fresh recognition :
2. Name and address of the organisation:
Permanent Account Number (PAN) of the company
 - 2.1 Name:
 - 2.2 Organization Type:
 - 2.3 Registered Office :
 - 2.4 Address for correspondence :
3. Information about R & D Centre:

SIRO R&D Center	
Salutation	
Name of the officer-in-charge of the Laboratory	
Designation of the officer-in-charge of the Laboratory	
Address of the officer-in-charge of the Laboratory	
State	
City	
PinCode	
Telephone STD Code	
Telephone Number	
Mobile Number	
Fax STD Code	
Fax No.	
Email address	

4. Legal status of the organization and date of Registration:
 - 4.1 Registered Society :
 - 4.2 Registered Trust :
 - 4.3 University :
 - 4.4 Research Centres of Colleges :
 - 4.5 Company incorporated u/s 25 of Companies Act, 1956:
 - 4.6 Registered Society & Trust:
5. Research Undertaken
 - 5.1 Objectives of research being undertaken :
 - 5.2 Whether objective of undertaking of research specified in MOA/AA/Trust deed ? :
6. Source of income details
 - 6.1 Sources of income of the organization:

6.2 List of 10 major donors along with the donation amount in lakhs

Donor Name	Donation Amount	Donation Amount(In Lakhs)
-	-	-

6.3 Have Your Organisation Received Foreign Contributions?

- Details of Sources
- Upload Copy of Registration Certificate by the Ministry of Home Affairs under Foreign Contributions Regulation Act

6.4 Are You Notified by the CBDT under 35(1)(ii)/35(1)(iii)?

7.1 Are you maintaining separate accounts for scientific research?

7.2 Details of income and expenditure incurred on research and development during the last 3 years.

YEAR-I

INCOME (in lakhs)							
	Grants	Donations	Project(s) Related	Foreign Contributio n	Testing	Others	Total Income (in lakhs)
For R&D Activities							
For Non R&D Activities							
Total Income							

EXPENDITURE (in lakhs)					
	Capital	Revenue Expenditure other than salaries	Salaries	Others	Total Expenditure (in lakhs)
For R&D Activities					
For Non R&D Activities					
Total Expenditure					

YEAR:II

INCOME (in lakhs)							
	Grants	Donations	Project(s) Related	Foreign Contributio n	Testing	Others	Total Income (in lakhs)
For R&D Activities							
For Non R&D Activities							
Total Income							

EXPENDITURE (in lakhs)					
	Capital	Revenue Expenditure other than salaries	Salaries	Others	Total Expenditure (in lakhs)
For R&D Activities					
For Non R&D Activities					
Total Expenditure					

YEAR III

INCOME (in lakhs)							
	Grants	Donations	Project(s) Related	Foreign Contributio n	Testing	Others	Total Income (in lakhs)
For R&D Activities							
For Non R&D Activities							
Total Income							

EXPENDITURE (in lakhs)					
	Capital	Revenue Expenditure other than salaries	Salaries	Others	Total Expenditure (in lakhs)
For R&D Activities					
For Non R&D Activities					
Total Expenditure					

8. Investments Clause: (Investments should be strictly in accordance with the provisions contained in the I.T. Act.1961)

8.1 Date as of which following information is provided

8.2 Is investment clause as per section 11(5) of IT Act? If yes, please specify

8.3 Fixed deposits with scheduled banks

8.4 Fixed deposits with companies

8.5 In Securities

8.6 In shares, debentures

8.7 Cash in hand :

8.8 Others, if any not covered above :

- Amount:

- Details:

9. Whether accounts of the organisation are audited

10. R&D facilities available for research :

10.1. Land and building and area earmarked for R & D Activities :

10.2. Equipment (indicate details with value):

Equipment Type	Name of Particulars	Year of Purchase	Cost of Equipment
-	-	-	-

11. Composition of Managing Board/Governing Board/Managing Committee

Name	Profession Occupation	Designation	Official Address	Email Address	Contact Number
-	-	-	-	-	-

12. Composition of Research Advisory Board (Furnish copies of letters of acceptance)

Name	Designation	Internal / External ?	Organisation	Official Address	Email Address	Contact Number	Letter of acceptance
-	-	Internal	-	-	-	-	-

13. Staff engaged in research

- Number of PHD Staff
- Number of ME/MTech Staff
- Other PG's
- Total no. of S&T personnel involved in Research Activities
- Upload list of Research staff

14. Areas of Research Undertaken:

15. Details of past research programmes :

- Title and scope of project
- Sponsoring Agency if any
- Project leader
- Year in which started
- Duration in months
- Capital(Estimated in lakhs)
- Recurring(Estimated in lakhs)
- Total(Estimated in lakhs)
- Foreign Exchange(in INR)
- Remarks:

16. Details of on-going research programmes :

- Title and scope of project
- Sponsoring Agency if any
- Project leader
- Year in which started
- Duration in months
- Capital(Estimated in lakhs)
- Recurring(Estimated in lakhs)
- Total(Estimated in lakhs)
- Foreign Exchange(in INR)
- Remarks:

17. Scientific Research Achievements :

17.1. New products/processes/methods/techniques developed :

17.2. Improvements in existing products/processes/methods/techniques :

17.3. Societal outcome of the R&D activities undertaken:

17.4. Import substitution (Give estimate of foreign exchange saved or likely to be saved per annum):

17.5. Linkages with industry-projects carried out on their behalf (Give details) :

17.6. Indicate particulars of patents filed/obtained, if any:

17.7. Whether products/processes/methods/techniques mentioned in (17.1) and (17.2) above have been commercialized or implemented:

17.8. Collaborations/ Awards and Recognitions (Both National and International Awards) :

18. Details of ongoing research programmes planned to be undertaken during the next 3 years:

- Title and scope of project
- Sponsoring Agency if any
- Project leader
- Year in which started
- Duration in months
- Capital (Estimated in lakhs)
- Recurring (Estimated in lakhs)
- Total (Estimated in lakhs)
- Foreign Exchange(in INR)
- Remarks
- Specified equipment to be purchased
- Specialized raw material

19. Details of Seminars, Conferences, Workshops, Training Courses etc., Conducted during the last 3 years

Year	Description	Uploaded Files
2013-2014		
2012-2013		
2011-2012		

Certified that the above information is true to the best of my knowledge and belief.

Place:

Date:

III. INSTRUCTIONS FOR FILLING THE ONLINE APPLICATION FORM

1 Organization Details: Details like organization name, renewal of recognition, recognition number with its validity has been uploaded through system and user is not allowed to change these details.

2 Details of Head of Organization: Provide name of the head of the organization, designation of the name of the head, telephone numbers (with STD code), Fax number/s and contact e-mail address of the head of the organisation.

3.1 Address of Registered Office: Details like address along with city, state and pin code has been uploaded through system and user is not allowed to change these details. Provide telephone numbers (with STD code), fax number/s and contact e-mail address for the Registered Office.

3.2 Address of Head Office / Correspondence Address: Provide the address, telephone numbers (with STD code), fax number/s and contact e-mail address for the Head Office / Correspondence Address.

3.3 Information about SIRO R&D Center: Provide name of the in-charge of the R&D center, address of the R&D center, telephone numbers (with STD code), fax number/s and contact e-mail address for the SIRO R&D Center.

4 Legal Status of the Organization: Indicate the legal status of the organization (whether a Registered Society/Registered Trust/University /Association/ College/Company incorporated u/s 25 of Companies Act, 1956).

5.1 Source of Income of the Organization: Indicate the various sources of income of the organization. For example : grants-in-aid, project fees, donations towards corpus funds, interest on investments, testing fees, training charges, fees for conducting courses, consultancy, royalty charges etc.

5.2 Provide the list of Donors: Provide the list of donors and the details of donations/grants received (Rs. 5000/- and above) and the specific purpose for giving the donation/grant.

5.3 Foreign Contributions: Provide the details of the foreign contributions received, if any.

5.4 Notified by the CBDT: Indicate whether the applicant organization is notified by the CBDT or not.

6.1 Separate account for R&D: Indicate whether the scientific research expenditure is shown in annual report by a separate schedule or not. Kindly note, the SIROs applying for recognition/renewal of recognition should show the research expenditure in the annual report as a separate schedule.

6.2 Details of Income and Expenditure: Please fill all the fields in the table. Do not keep any field vacant. Nil entries can be entered as 0.

7 Investment made so far: Provide complete details of investments under various heads. Kindly note that the investments should be strictly in accordance with the provisions contained in the I.T. ACT.

8 Audited accounts of the organization: Indicate whether accounts of the organisation are audited or not. Enclose audited statement of accounts of the organisation for the last three years with the hard copy.

9 R&D facilities available for research: Provide the details of R&D facilities available for research like

9.1 Land and building and area earmarked for R&D activities: Provide details of Land and building and area earmarked for R&D activities

9.2 Equipment: Indicate details with the total value.

9.3 Details of equipment procured: Give the details of equipment procured during the last 3 years.

10 Composition of Managing Board/Governing Board/Managing Committee: Give the details of the members of the Managing Board/Governing Board/Managing Committee. Please ensure that the designation and the complete official address of all the members is provided.

11 Composition of Research Advisory Board: Give the details of the members of the Research Advisory Board/Committee. Please ensure that the designation and the complete official address of all

the members is provided (Furnish copies of letters of acceptance of the members with the hard copy).

12 Staff engaged in research: Give the details of the staff engaged in research along with the bio-data of top 5 R&D personnel.

13 Areas of Research Undertaken: Indicate the subject in which the organization undertakes research.

14 Details of on-going research programmes & research programmes undertaken: Provide the details of on-going research programmes and research programmes undertaken during the last 3 years. Also give a brief (not more than 250 words for each project) write-up of the R&D projects (not more than ten). Kindly note that in the absence of the above mentioned details, the application may not be considered.

15 Details of research programmes identified for the next three years: Provide the details of research programmes identified for the next three years indicating the financial Implications (as per Annexure-II) . Also give a brief (not more than 250 words for each project) write-up of the R&D projects (not more than ten).

16 Technologies transferred, papers/reports/books published: Furnish details of technologies transferred, papers/reports/books published and enclose a few reprints of the publications made during the last 3 years, with the hard copy. Kindly note that weightage will be given to only those publications which have given credit to the applicant organization.

17 Scientific Research Achievements: Provide complete details of the scientific research achievements during the last 3 years, as asked for under point 16.1 ó 16.6.

18. Seminars, Conferences, Workshops, and Training Courses etc., conducted: Provide the details of Seminars, Conferences, Workshops, Training Courses etc., conducted by the organization.

19. Presentation about the organization: Provide a Power Point presentation (not more than 15 slides) about the organization having details like origin, activities and major R&D achievements during the last 3 years.

IV. CHECK LIST

1. Complete e-application and one hard copy (to be sent to DSIR with all necessary enclosures). Kindly ensure that all the details are properly filled. In case an entry in a table is nil, kindly indicate.
2. In case the applicant is a college, the affiliation letter issued to the college by the University to which it is affiliated along with the permission to carry out research in various discipline.
3. A copy of the certificate of registration (with the hard copy).
4. A copy of the Memorandum of Association with Rules and regulations/Trust Deed (with the hard copy).
5. Copies of the audited accounts for the last 3 years (with the hard copy).
6. A few reprints of the best publications made during the last 3 years (with the hard copy). Kindly note that weightage will be given to only those publications which have given credit to the applicant organization.
7. Copies of books/journals/news letters published during the last 3 years (with the hard copy).
8. A copy of the power point presentation given in the e-application, to be enclosed with the hard copy.
9. Please download the Guidelines for the Scheme for Granting Recognition & registration to Scientific and Industrial Research Organizations (SIRO) on DSIR website / link given below and go through the requirements before filling up the online application.
10. All attachments to the online applications must be in the .pdf file format only.
11. For any queries regarding submission of online proposals under SIRO, please write to: dsirsupport@tekmindz.com

The applications for Recognition & registration must be sent to:

Shri K V S P Rao
Scientist 'G' and Head (RDI)
Department of Scientific & Industrial Research
Technology Bhavan, New Mehrauli Road
New Delhi-110016