BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
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प्रज्ञा शील करुणा
ESTABLISHED 1996

बाबासाहेब भीमराव अम्बेडकर विश्वविद्यालय

(केन्द्रीय विश्वविद्यालय)

विद्या विहार, रायबरेली रोड, लखनऊ–226025

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY

(A Central University)

Vidya Vihar, Raebareli Road, Lucknow-226025

Letter No.- ..173..../R&DC/BBAU/25 **Date-** ..16../...12.../2025

Notification

The University Ethics Review Board (UERB) has been constituted as per the details mentioned below.

1. Prof. Sartik Bagh, Deptt. of Political Science - Chairperson
2. Director, Giri Institute of Development Studies, Lucknow (Social Scientist) - Member
3. Dr. Rashida Ather, Deptt. of Human Rights (Female Faculty Member) - Member
4. Prof. Rana Pratap Singh, Secretary, PHSS Foundation, Lucknow (NGO/Community Representative) - Member
5. Prof. Archana Shukla, HoD, Psychology, University of Lucknow (Psychologist/Behavioural Scientist) - Member
6. Dr. Rajendra Singh, Tarun Bharat Sangh, Bhikampura Kishori, District- Alwar, Rajasthan (Public Representative) - Member
7. Smt. Archana Meena, Social Worker & Entrepreneur, Sawai Madhopur, Rajasthan - Member
8. Concern HoD (in case of HoD being applicant concern Dean) - Member
9. Dr. Jiwan Singh, Assistant Director, R&D Cell (Representative of R&D Cell) - Member Secretary

UERB shall review the research proposals (wherever required) that are not covered by the Institutional Ethics Committee, the Institutional Biosafety Committee, and the Institutional Animal Ethics Committee.

The initial guidelines is annexed. The UERB may review the guideline and propose the modifications in due course of time for approval as per University norms. The UERB shall work as part of the R&D Cell.

This is issued with the approval of the competent authority.

12/12/25

Registrar

Encl.:- Annexure as above

Copy to:-

1. All members of the Committee
2. AR to Hon'ble Vice-Chancellor, BBAU, Lucknow.
3. PS to Registrar, BBAU, Lucknow.

Director
R & D Cell

Babasaheb Bhimrao Ambedkar University

Guideline for University Ethics Review Board (UERB)

1. Purpose

The University Ethics Review Board (UERB) ensures that all research activities involving human participants conducted under the University adhere to ethical, legal, and professional standards in line with UGC, ICMR, and national research guidelines. The board will evaluate all research proposals (wherever required) which are not covered by Institutional Ethics Committee (IEC), Institutional Biosafety Committee (IBSC) and Institutional Animal Ethics Committee (IAEC).

2. Scope

Applies to:

- Faculty, researchers, PhD and postgraduate students.
- Projects involving human subjects, communities, society, institutions, and public/private data.
- Funded and non-funded projects.
- Interdisciplinary and collaborative research in the social sciences, management, education human development and family studies and Food and nutrition etc.

3. Legal and Institutional Basis[#]

- Functions under the direction of the University Norms.
- Adheres to:
  - UGC Guidelines for Ethical Research in Social Sciences (2023)
  - ICMR National Ethical Guidelines (2017)
  - Indian Data Protection and Privacy Laws
  - International codes (e.g., Declaration of Helsinki, Belmont Report)
  - Other related notification issued time to time.

 # Disclaimer:
The Principal Investigator (PI) and Co-Principal Investigator (Co-PI) shall be solely responsible for ensuring the confidentiality and integrity of all project-related information. Any breach, misuse, or unauthorized disclosure of information will be the responsibility of the PI and Co-PI, and they shall be held accountable for any resulting consequences.

4. Composition of the UERB

In the capacity of	Number	Position
Chairperson	1	Professor with good research experience
Social Scientist	1	With field-based research experience
Female Faculty Member	1	Preferably with work in gender studies
NGO/Community Representative	1	With grassroots' social work background
Psychologist /Behavioral Scientist	1	For risk assessment, mental health, and vulnerability
Public Representative	1	To bring non-technical perspectives
Optional Members	1–2	Concern HoD (in case of HoD being applicant concern Dean)
Representative of R & D Cell	1	Member Secretary

5. Key Functions

- Review proposals for:
  - Informed consent and voluntary participation.
  - Fair and inclusive recruitment of participants.
  - Privacy and confidentiality of data.
  - Risk–benefit analysis.
  - Potential harm to individuals/communities.
  - Any other related matters
- Provide clearance certificates for approved projects.
- Recommend ethical training modules.
- Monitor ongoing projects when necessary.
- Handle grievances and ethical violations.

6. Review Process Types of Review

- **Full Board Review**: For high-risk or sensitive research.
- **Expedited Review**: For minimal risk projects (e.g., anonymous surveys).
- **Exemption**: For public data analysis, desk reviews, or policy analysis without human participants.

Documents Required

- Research proposal
- Ethical statement
- Informed consent forms (in English + regional language)
- Tools/questionnaires/interview guides
- Risk mitigation plan

Timelines*

- Acknowledge receipt: within 3 working days
- Review outcome: within 21 working days
- Certificate of approval issued within 1 week of approval

*In case of administrative delays due to any reason, the Member Secretary may issue a provisional NOC/approval, which will later be presented to the committee for final evaluation.

7. Informed Consent Standards

- Must be voluntary, written, and understandable.
- For illiterate participants, verbal consent with witness is mandatory.
- For vulnerable groups (children, tribal's, elderly), guardian/assent protocols apply.

8. Data Protection and Confidentiality

- Follow ICMR and MoE guidelines on personal data handling.
- Avoid collecting identifiers unless necessary.
- Store data securely for at least 3 years post-publication.
- In accordance with other notifications issued time to time

9. Special Ethical Considerations

- **Tribal and Indigenous Communities**: Prior permission from community leaders, cultural sensitivity, and feedback-sharing.
- **Gender-sensitive Research**: Ensure no re-traumatization in cases of abuse/domestic violence.
- **Online and Social Media Research**: Respect digital privacy; do not extract personal data without consent.

10. Grievances and Appeals

- Complaints by researchers or participants shall be addressed within 15 days.
- Appeals may be submitted to the Research Advisory Council of the University

11. Tenure of the Board

- All members serve for **2 years**.
- Chairperson and members may be able to re-nominate for additional terms.

12. Reporting and Transparency

- UERB shall work as part of R&D Cell.
- Annual report to be submitted to the **Vice-Chancellor** through R&D Cell and uploaded on the university website.
- List of approved projects (non-sensitive) to be made public.

13. Capacity Building

- Regular workshops/seminars on research ethics.
- Collaboration with national bioethics and social science ethics bodies (e.g., NHRC, ICSSR).

Annexure

- Annexure I: ERB Application Form
- Annexure II: Informed Consent Template
- Annexure III: Risk Assessment Checklist
- Annexure IV: Data Management Plan
- Annexure V: Ethics Approval Certificate Format

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Annexure I

University Ethics Review Board (UERB)
Application for Ethical Clearance

1. Project Details

- Title of the Research Project: .....
  .....
- Name of the Researcher/Student:.....
- Supervisor/Guide (if applicable):.....
- Department/School: .....
- Email ID..... Phone Number: .....
- Type of Research: ☐ PhD ☐ PG Dissertation ☐ Faculty Project ☐ Funded Project
- Funding Source (if applicable): .....

2. Research Objectives (Max 200 words)

[Insert summary here]

3. Methodology

- Type of Study: ☐ Quantitative ☐ Qualitative ☐ Mixed Methods
- Data Collection Tools: ☐ Survey ☐ Interviews ☐ FGD ☐ Case Study ☐ Observation
- Estimated Duration:
- Study Location(s):

4. Participant Details

- Target Population:
- Sample Size:
- Inclusion/Exclusion Criteria:
- Are any of the following involved?
  ☐ Children ☐ Women ☐ Elderly ☐ SC/ST/OBC ☐ Illiterate ☐ Differently-abled

5. Ethical Considerations

- Risk Assessment Summary (Briefly describe potential risks):
- Privacy and Confidentiality Measures:
- Voluntary Participation Statement:
- Compensation (if any):
- How will informed consent be obtained?
- Data Storage and Retention Plan:

6. Documents Attached

☐ Informed Consent Form (English and Local Language)

☐ Research Tools (Survey/Interview Guides, etc.)

☐ Risk Mitigation Strategy

☐ Letter from Supervisor/PI (for students)

Signature of Researcher: _____

Signature of Guide/Supervisor (if applicable): _____

Date: _____

Disclaimer:

The Principal Investigator (PI) and Co-Principal Investigator (Co-PI) shall be solely responsible for ensuring the confidentiality and integrity of all project-related information. Any breach, misuse, or unauthorized disclosure of information will be the responsibility of the PI and Co-PI, and they shall be held accountable for any resulting consequences.

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Annexure II

Informed Consent Form Template

Informed Consent Form

(For participation in social science research)

Project Title: .....

.....

Researcher Name: .....

Institution: Babasaheb Bhimrao Ambedkar University

Purpose of the Study:
You are invited to participate in a research study. The purpose is to understand...

Participation Details:
Your participation is entirely voluntary. You may refuse or withdraw at any time without penalty.

Procedure:
We will ask you to [briefly describe the procedure].

Risks and Benefits:
The research poses [mention any physical, psychological, social risk if any]. There is no direct benefit to you, but the study may benefit society by...

Confidentiality:
Your identity will be kept confidential. Data will be anonymized and stored securely.

Compensation (if applicable):
[Insert details if any]

Contact Information:
For queries, contact: [Researcher Name, Email, Phone]

Consent Statement:

☐ I have read and understood the study. I voluntarily agree to participate.

☐ I give permission to record my responses (if applicable).

☐ I give permission to use anonymous quotes in research outputs.

Name of Participant:
Signature/Thumb print:
Date:

Signature of Researcher (or witness for illiterate participants):

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Annexure III

Risk Assessment Checklist

Checklist for Risk Assessment in Social Science Research

Risk Type	Comments
Psychological risk (e.g., distress from sensitive questions)	Yes/No
Social risk (e.g., social stigma or disclosure of identity)	Yes/No
Legal risk (e.g., reporting illegal activities)	Yes/No
Reputational risk to participant/community	Yes/No
Inclusion of vulnerable groups (e.g., minors, tribals)	Yes/No
Any coercion or undue influence suspected	Yes/No
Mechanism to address participant complaints provided	Yes/No
Data stored with restricted access	Yes/No
Will the researcher provide referrals/support services?	Yes/No

Summary of Mitigation Plan:
[Brief paragraph summarizing how identified risks will be mitigated]

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Annexure IV

Data Management Plan Template

Data Management Plan

(To be submitted with the UERB proposal)

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1. Type of Data Collected

- ☐ Audio/Video recordings
- ☐ Survey data
- ☐ Interview transcripts
- ☐ Field notes
- ☐ Secondary datasets

2. Format of Data Storage

☐ Digital ☐ Paper ☐ Both

3. Anonymization Measures

- ☐ Personal identifiers removed
- ☐ Participant codes used
- ☐ Consent for quotations obtained

4. Data Storage and Security

- Storage device/location:
- Access limited to:
- Duration of storage:
  - ☐ Data will be deleted securely after 3 years OR
  - ☐ Archived with participant consent

5. Data Sharing and Usage

- Will data be shared? ☐ Yes ☐ No
  If yes, with whom and how (e.g., open access, institution only):
- Will data be reused in other projects? ☐ Yes ☐ No
  If yes, has consent been taken? ☐ Yes ☐ No

Researcher Signature: _____

Date: _____

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Annexure V

Ethics Approval Certificate Format

University Ethics Review Board (UERB) – Social Sciences Research
Certificate of Ethical Clearance

Project Title: .....
.....

Principal Investigator/Researcher: .....

Affiliation: Department of .....

Project Duration: From _____ to _____

Decision:
After review of the proposal and associated documents, the Ethics Review Board is satisfied that the project complies with ethical standards of research involving human participants.

This approval is granted subject to the following conditions:

1. Any protocol deviation or modification must be reported and approved.
2. Adverse events must be reported immediately.
3. Final report must be submitted upon project completion.

Certificate No.: ERB/BBAU/[Year]/[Serial No.]

Approval Date: _____

Validity: One year (renewable upon request)

Chairperson, UERB
[Name, Signature, Seal]

Member Secretary
[Name, Signature]