



SIKKIM ALPINE UNIVERSITY
Kamrang, Namchi, South Sikkim – 737126
(Established under Sikkim Alpine University Act, 2021)

ETHICAL POLICY
(Policy Document – 2025)

Prepared by:

Office of the Assistant Director
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Recommended By:

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Approved by:

Board of Governors: Date 05 December, 2025

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Amendment Clause

This Ethical Policy is a dynamic and evolving document. It is subject to revision, modification, or amendment based on emerging ethical standards, updates in UGC and Government of India regulations, new directives under the National Education Policy (NEP) 2020, and evolving institutional research priorities. Any proposed changes by the Institutional Ethics Committee (IEC) shall take effect only after approval by the Academic Council of Sikkim Alpine University. Expanded detailed guidelines, procedures, and annexures may be added in subsequent versions of this policy.



1. INTRODUCTION

Ethical research forms the foundation of responsible scholarship and academic credibility. Sikkim Alpine University is committed to ensuring that every form of research—whether involving human participants, animals, biological materials, ecological systems, indigenous communities, cultural knowledge, or field-based documentation—is conducted with integrity, transparency, and respect for ethical norms. These Ethical Policies are designed to guide researchers at all levels in protecting the dignity, rights, welfare, and safety of all individuals and environments engaged during the research process.

1.1 Purpose of the Ethical Research Policy

The primary purpose of this policy is to safeguard the ethical dimensions of research and ensure that all studies adhere to national and international ethical standards. It establishes procedures for review, approval, monitoring, and reporting of research activities that may have ethical implications.

1.1.1 Alignment with National and Institutional Standards

This policy aligns with:

- UGC guidelines on ethical research conduct
- National policies for human and animal ethics
- NEP 2020 emphasis on ethical, value-based research
- Institutional values upheld by the Research & Development Cell

It ensures that researchers uphold integrity, accountability, and social responsibility in the production of knowledge.

1.2 Scope of Ethical Oversight

This policy governs all research activities carried out by students, faculty, research scholars, visiting researchers, and external collaborators affiliated with the University. Ethical oversight extends to projects funded internally, externally, or conducted under institutional collaborations and MoUs.



1.2.1 Areas Covered Under Ethical Review

The policy includes, but is not limited to, ethical considerations in:

- Human participant studies (surveys, interviews, behavioural/psychological studies)
- Animal research and experiments
- Environmental and biodiversity sampling
- Indigenous knowledge systems and community-based research
- Cultural, linguistic, or ritual documentation
- Use of biological materials and biosafety-sensitive substances

1.3 Guiding Principles of Ethical Research

Ethical research at Sikkim Alpine University is guided by universal principles, including:

- **Respect for persons:** voluntary participation, informed consent, privacy
- **Beneficence:** minimizing harm and maximizing benefits
- **Justice:** fairness in selection and treatment of participants
- **Cultural sensitivity:** respect for local traditions, languages, and community rights
- **Environmental responsibility:** minimizing ecological harm and ensuring sustainability

1.3.1 Commitment to Community and Environmental Protection

The University recognizes that research impacts not only individuals but also communities, ecosystems, and knowledge systems. Therefore, it emphasizes ethical practices that protect vulnerable populations, uphold indigenous cultural rights, conserve biodiversity, and support equitable knowledge sharing.



1.4 Institutional Responsibility and Oversight

Ethical conduct is enforced through designated ethics committees functioning under the R&D Cell, including:

- Human Ethics Committee (HEC)
- Institutional Animal Ethics Committee (IAEC)
- Institutional Biosafety Committee
- Fieldwork and Environmental Impact Review Committee

These committees are responsible for reviewing research proposals, monitoring compliance, and ensuring that research is carried out with full ethical accountability.



2. SCOPE & APPLICABILITY

2.1 General Scope of the Ethical Policy

The Ethical Policy of Sikkim Alpine University applies to all academic and research activities conducted under the University's jurisdiction, ensuring that every project upholds ethical values, respects participants, and protects the environment. These ethical requirements apply universally across departments, Schools, Centres, and research units.

2.2 Applicability to Student Research

2.2.1 Undergraduate and Postgraduate Research

All research undertaken by UG and PG students—including dissertations, project reports, fieldwork assignments, internships, surveys, and laboratory exercises—must obtain ethical clearance prior to initiation.

2.2.2 M.Phil. and Ph.D. Research

Advanced research carried out by M.Phil. and Ph.D. scholars, including thesis work, data collection, experiments, interviews, and any form of human or animal involvement, is strictly subject to review and approval by the appropriate ethics committee.

2.3 Applicability to Faculty and Research Staff

2.3.1 Faculty-led and Funded Research Projects

All research projects led or supervised by faculty—whether funded or unfunded, internal or external—fall within the scope of this Ethical Policy. This includes pilot studies, consultancy work, interdisciplinary collaborations, and externally sponsored programmes.

2.3.2 Technical and Laboratory Staff

Staff involved in laboratory management, data handling, sampling, or field supervision must also comply with ethical guidelines and reporting requirements.



2.4 Applicability to Field-Based and Community Research

2.4.1 Surveys, Interviews, and Community Studies

Any research involving direct interaction with individuals, groups, or communities—such as interviews, focus groups, ethnographic studies, and sociocultural documentation—must receive prior approval from the Human Ethics Committee (HEC).

2.4.2 Indigenous Knowledge Documentation

Research involving indigenous communities or traditional knowledge systems (e.g., Lepcha, Limboo, Bhutia, Rai) must follow culturally sensitive protocols, obtain informed consent, and secure community-level permission before documentation.

2.5 Applicability to Animal and Laboratory Research

2.5.1 Animal Handling and Zoological Studies

Any research involving animals—whether observational, experimental, or taxonomic—requires approval from the Institutional Animal Ethics Committee (IAEC).

2.5.2 Biological, Chemical, or Microbial Research

Laboratory-based research involving biological materials, chemicals, microbes, reagents, or genetically modified organisms must undergo review by the Institutional Biosafety Committee to ensure safe and responsible handling.

2.6 Applicability to Environmental and Biodiversity Research

2.6.1 Biodiversity Sampling and Ecological Studies

Research involving the sampling, collection, or manipulation of flora, fauna, soil, water, or environmental resources must comply with national biodiversity laws, wildlife regulations, and obtain necessary permissions in addition to ethical approval.

2.6.2 Environmental Impact Considerations

Studies with potential ecological or social impact must include risk assessment, mitigation plans, and assurances of minimal disturbance.



2.7 External Collaborations and Consultancies

2.7.1 Joint Research Projects

Collaborative projects with external institutions, NGOs, industries, or government agencies must adhere to this Ethical Policy and obtain relevant approvals before commencement.

2.7.2 Consultancy and Contract Research

Any consultancy or contractual research activity conducted under the University's name must undergo ethical review, especially when involving human, animal, cultural, or environmental components.

2.8 Mandatory Ethical Clearance Requirement

No research activity—whether small-scale or large-scale, student-led or faculty-led—may begin without prior approval from the relevant ethics committee. Ethical clearance is a **precondition** for data collection, fieldwork, laboratory analysis, or community engagement.



3. INSTITUTIONAL ETHICS GOVERNANCE STRUCTURE

To ensure that all research conducted at Sikkim Alpine University upholds the highest ethical standards, the University shall establish a coordinated and multi-committee ethics governance system. Each committee will function independently within its domain while reporting to the Research & Development Cell (RDC) for overall compliance, documentation, and monitoring. No research project may begin without receiving the required approval from the relevant ethics committee.

3.1 Human Ethics Committee (HEC)

The Human Ethics Committee is responsible for reviewing and approving all research that involves direct or indirect engagement with human participants. This includes social science surveys, interviews, focus groups, community interactions, psychological or behavioural studies, and clinical or health-related investigations. Special consideration is required when research involves vulnerable populations such as tribal groups, women, children, elderly persons, or individuals with disabilities. The HEC ensures that informed consent is obtained, participant privacy is protected, risks are minimized, and all studies are conducted with dignity and respect for human rights.

3.2 Institutional Animal Ethics Committee (IAEC)

The Institutional Animal Ethics Committee oversees research involving vertebrate animals or any higher-order organisms. It ensures that all animal use complies with the guidelines of the **Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA)**. The IAEC reviews protocols related to animal handling, housing, feeding, anaesthesia, euthanasia, pain management, and general welfare. The committee ensures that animal research is scientifically justified, alternatives are considered, and the principles of the “3Rs”—Reduction, Refinement, and Replacement—are followed.

3.3 Institutional Biosafety Committee (IBSC)

The Institutional Biosafety Committee reviews all research involving microorganisms, biological agents, hazardous chemicals, recombinant DNA technologies, genetically modified organisms (GMOs), pathogenic cultures, and cell lines. The IBSC ensures compliance with national biosafety regulations and monitors laboratory biosafety levels (BSL-1 to BSL-3,



depending on facility). Its role includes risk assessment, containment procedures, waste disposal standards, equipment safety, and training requirements for laboratory personnel.

3.4 Fieldwork & Environmental Ethics Committee (FEEC)

The Fieldwork & Environmental Ethics Committee evaluates all research that involves ecological surveys, biodiversity documentation, environmental sampling, habitat assessments, conservation work, and studies conducted in natural areas. The committee ensures that field research follows environmental laws, minimizes ecological disturbance, and respects protected species and habitats. The FEEC also reviews environmental impact considerations and ensures that permits from forest or wildlife authorities are obtained where required.

3.5 Indigenous Knowledge & Cultural Ethics Committee (IKCEC)

The Indigenous Knowledge & Cultural Ethics Committee safeguards the rights, dignity, and cultural sensitivities of indigenous and tribal communities whose knowledge, traditions, and narratives may be studied or documented. This includes research involving oral traditions, folklore, ritual practices, genealogies, linguistic fieldwork, sacred narratives, and community-held knowledge systems. The IKCEC ensures that community consent is obtained, cultural protocols are respected, benefits are shared ethically, and traditional knowledge is not misused or misrepresented. The committee also ensures protection of cultural intellectual property and preservation of indigenous sovereignty over their knowledge.



4. GENERAL ETHICAL PRINCIPLES

Sikkim Alpine University mandates that all research conducted within its academic ecosystem must uphold foundational ethical values that protect participants, communities, environments, animals, and data involved in scholarly inquiry. These principles guide all researchers—students, faculty, and external collaborators—in ensuring that research is conducted responsibly, respectfully, and transparently. The ethical principles outlined below form the core of all decisions made by the various institutional ethics committees.

4.1 Respect for Persons

Researchers must acknowledge the intrinsic dignity, autonomy, and rights of all individuals and communities involved in research. Special consideration must be given to vulnerable populations such as children, tribal groups, differently-abled individuals, and elderly participants. No research practice should undermine or exploit the inherent worth of any person or community.

4.2 Voluntary Participation and Informed Consent

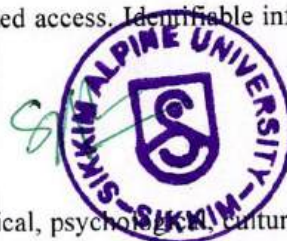
Participation in research must always be voluntary. Researchers must obtain informed consent from all human participants after clearly explaining the purpose, procedures, risks, benefits, and rights pertaining to the study. Consent must be documented in writing or audio/video form, depending on context. Participants must retain the right to withdraw at any point without penalty.

4.3 Confidentiality and Privacy

All personal information, identity-related data, responses, and community-held knowledge must be treated with strict confidentiality. Researchers must ensure that data-storage systems, digital files, and field notes are secured against unauthorized access. Identifiable information should only be disclosed when explicitly permitted.

4.4 Non-Maleficence (Do No Harm)

Research must be designed to minimize any form of physical, psychological, cultural, social, or environmental harm. For studies involving human participants, animals, or ecosystems,



researchers must anticipate potential risks and take proactive measures to prevent harm. Any procedure with foreseeable harm must be critically reviewed or avoided altogether.

4.5 Justice and Fairness

All research participants must be treated equitably, without discrimination based on caste, gender, ethnicity, religion, age, economic status, or cultural background. The benefits and burdens of research must be distributed fairly. Vulnerable communities should never be disproportionately targeted for data extraction without fair reciprocity or community benefit.

4.6 Cultural Sensitivity

Researchers must respect cultural norms, traditions, rituals, and belief systems, especially when working with indigenous and tribal communities. Rituals, sacred knowledge, and cultural expressions must be documented only with appropriate permissions and community engagement. Misrepresentation of cultural identity or practices is strictly prohibited.

4.7 Environmental and Animal Welfare

All research involving biodiversity, wildlife, natural habitats, or laboratory animals must ensure minimal interference, minimal distress, and strict adherence to CPCSEA, MoEFCC, and biosafety standards. Researchers must avoid environmentally destructive practices, reduce ecological footprint, and prioritize sustainable methods.

4.8 Responsible Data Handling

Researchers must maintain accuracy, integrity, and transparency in data collection, storage, analysis, and reporting. Data fabrication, falsification, or selective omission are serious ethical violations. Sensitive data must be encrypted and preserved securely, and researchers must follow University guidelines for data sharing and archiving.

4.9 Transparency and Accountability

Research processes must be transparent, clearly documented, and open to ethical scrutiny. Researchers must disclose funding sources, potential conflicts of interest, use of AI tools, and any methodological limitations. They are accountable for the ethical conduct of the entire research lifecycle, from planning to dissemination.



5. Ethical Clearance Requirements

Ethical clearance is a fundamental prerequisite for conducting any form of research at Sikkim Alpine University. No student, scholar, faculty member, or external collaborator may begin data collection, fieldwork, laboratory experimentation, or community engagement without obtaining prior approval from the appropriate ethics committee. These procedures ensure that all research—regardless of discipline—protects human dignity, animal welfare, cultural integrity, environmental sustainability, and legal compliance. Ethical clearance serves not only as a regulatory requirement but also as a guiding framework to promote responsible, sensitive, and safe research practices.

5.1 Research Requiring Mandatory Approval

5.1.1 Human Interaction Research

Any study involving direct or indirect interaction with human participants must obtain approval from the **Human Ethics Committee (HEC)**. This includes:

- Surveys, interviews, and questionnaires
- Community-based studies
- Psychological or behavioural assessments
- Studies that gather sensitive, personal, or identity-related information
- Research involving vulnerable populations such as minors, the elderly, differently-abled persons, or tribal groups

All participants must be protected through informed consent, confidentiality, and risk minimization.

5.1.2 Use of Personal or Sensitive Data

Research involving personal health data, socio-economic data, mental health information, biometric data, demographic identifiers, or culturally sensitive content must undergo ethical review to ensure compliance with privacy norms and data protection standards.



5.1.3 Studies Involving Vulnerable Groups

Any research involving tribal communities, indigenous groups, women in sensitive contexts, children, or socio-culturally marginalized groups requires mandatory ethical scrutiny. Researchers must demonstrate cultural sensitivity, obtain community-level consent when necessary, and ensure that no harm, exploitation, or misrepresentation occurs.

5.1.4 Animal Experiments and Zoological Research

Research involving vertebrates, higher animals, or any form of animal handling—whether observational, behavioural, or experimental—must obtain clearance from the **Institutional Animal Ethics Committee (IAEC)**. All work must comply with CPCSEA regulations regarding housing, handling, pain minimization, and humane endpoints.

5.1.5 Biodiversity and Ecological Sampling

Any study involving the collection of plants, insects, soil, water, or ecological data requires approval from the **Fieldwork & Environmental Ethics Committee (FEEC)**. This includes:

- Ecological surveys
 - Biodiversity documentation
 - Environmental impact assessments
 - Studies with potential environmental disturbance
- Researchers must ensure sustainable practices and avoid ecological damage.

5.1.6 Soil, Water, and Habitat Sampling

Sampling involving soil cores, water bodies, microbial communities, or environmentally sensitive landscapes must undergo ethical review to evaluate environmental safety, habitat disturbance, and disposal protocols.

5.1.7 Collection of Biological Specimens

Research involving tissue samples, plant parts, microbes, insects, or any biological material must obtain clearance from the relevant committee—IAEC for animals, IBSC for



microorganisms—depending on the nature of the specimen. Researchers must detail sample storage, transport, disposal, and biosafety measures.

5.1.8 Indigenous Knowledge Documentation

Studies involving tribal or indigenous cultural knowledge require approval from the **Indigenous Knowledge & Cultural Ethics Committee (IKCEC)**. This includes:

- Documenting traditional medicinal practices
- Cultural narratives, folklore, oral histories
- Community rituals or socio-cultural traditions

Ethical clearance ensures that intellectual property rights, cultural sensitivities, and community permissions are respected.

5.1.9 Linguistic Documentation in Tribal Communities

Research involving language preservation, phonetic recordings, grammar elicitation, or corpus creation must undergo review to ensure informed consent, cultural respect, and secure handling of sensitive linguistic data.

5.1.10 Recording Rituals, Ceremonies, and Oral Stories

Audio or video recordings of rituals, ceremonies, chants, or sacred practices require explicit consent from community elders or custodians of cultural knowledge. IKCEC will assess the appropriateness and ethical implications of such documentation.

5.1.11 Genetic, Microbial, Chemical, or Laboratory Experiments

Research involving microorganisms, genetically modified organisms (GMOs), recombinant DNA, hazardous chemicals, or biological agents must obtain approval from the **Institutional Biosafety Committee (IBSC)**. All researchers must adhere to designated biosafety level (BSL) protocols, waste disposal norms, and emergency response procedures.



5.2 Mandatory Rule: No Research Without Approval

5.2.1 Non-Negotiable Pre-Approval Requirement

No research activity—regardless of whether it is part of coursework, dissertation, funded project, casual field visit, or laboratory exercise—may commence without **formal ethical clearance**. Failure to obtain prior approval shall be treated as a violation of University regulations and may result in suspension of research, cancellation of data collected, or academic penalties.



6. HUMAN ETHICS POLICY (HEC)

The Human Ethics Committee (HEC) ensures that all research involving human participants at Sikkim Alpine University is conducted with the highest respect for dignity, rights, autonomy, cultural sensitivity, and safety. Research involving humans must prioritize participant welfare above research goals, uphold principles of informed consent, protect privacy, and operate with complete transparency. The following guidelines outline the ethical obligations necessary for all human-subject research.

6.1 Informed Consent

6.1.1 Nature and Purpose of the Study

All participants must be fully informed about the purpose of the research, the nature of their involvement, and how the information they provide will be used. Researchers must explain the objectives in clear, simple, and culturally appropriate language.

6.1.2 Procedures and Participation

Participants must be briefed about what the research procedures involve, including interviews, surveys, recordings, or observations. They must be told the expected duration of participation and any follow-up interactions that may occur.

6.1.3 Risks and Benefits

All potential risks—psychological, social, cultural, or minimal physical inconvenience—must be disclosed to participants, along with any potential benefits or positive outcomes of the research. No participant should face harm or distress as a result of participation.

6.1.4 Voluntary Participation and Right to Withdraw

Participation must be completely voluntary. Individuals must be informed that they can withdraw at any time without penalty and that refusal to participate will not affect access to any services, benefits, or entitlements.



6.1.5 Forms of Consent

Consent may be obtained in multiple forms depending on the cultural context and nature of the research:

- **Written Consent** (preferred for all academic studies)
- **Verbal Consent** (acceptable in sensitive or low-literacy contexts)
- **Recorded Consent** (audio or video, especially in oral tradition or indigenous knowledge documentation)

All consent documents must be approved by the HEC prior to data collection.

6.2 Privacy and Confidentiality

6.2.1 Data Protection

Researchers must safeguard all personal data collected in the study. Personal identifiers should be removed, encrypted, or anonymized whenever possible. Raw data must be stored in secure, password-protected systems.

6.2.2 Secure Storage of Recordings

Audio, video, and photographic recordings should only be made with explicit consent and stored securely. Access must be restricted to the research team members approved by HEC.

6.2.3 Disclosure of Sensitive Information

Sensitive cultural information, private narratives, or personal stories must not be shared publicly or published without explicit permission. If anonymity cannot be guaranteed (e.g., for cultural experts whose attribution is culturally required), the participant must be informed in advance.



6.3 Research with Special Populations

6.3.1 Additional Safeguards

Extra protection must be provided when research involves vulnerable or special populations, including:

- Indigenous or tribal communities
- Minors (below 18 years of age)
- Elderly individuals
- Persons with disabilities
- Economically or socially disadvantaged groups
- Individuals with limited literacy or access to information

These groups may face additional risks due to power imbalances, linguistic barriers, or social vulnerability.

6.3.2 Permissions and Approvals

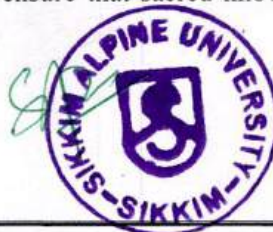
When working with special populations, researchers must obtain consent from:

- **The individual participant**, whenever capable
- **Guardians or parents**, in case of minors
- **Community leaders, cultural custodians, or panchayat bodies**, when conducting research with tribal or indigenous communities
- **Local administrative bodies**, when legally required

Community-level consent supplements but **does not replace** individual consent.

6.3.3 Cultural Sensitivity

Research must respect cultural norms, traditions, beliefs, and community expectations. For indigenous communities, researchers must avoid intrusive questioning, maintain respectful conduct during rituals or ceremonies, and ensure that sacred knowledge is not documented without explicit permission.



7. ANIMAL ETHICS POLICY (IAEC)

The Institutional Animal Ethics Committee (IAEC) at Sikkim Alpine University is responsible for ensuring that all research involving animals is conducted responsibly, humanely, and in full compliance with national ethical guidelines. The University recognizes that scientific inquiry must be balanced with compassion, respect for life, and adherence to legal and ethical frameworks. All research that involves vertebrate animals or higher organisms must receive IAEC approval prior to commencement.

7.1 Compliance with National Guidelines

7.1.1 CPCSEA Regulations

All research involving laboratory or field animals shall strictly adhere to the guidelines issued by the **Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA)**, Government of India. Researchers must ensure that project proposals, animal use, housing, experimental procedures, and end-point decisions comply with CPCSEA norms.

7.1.2 Mandatory Ethical Approval

No animal experiment—whether observational, behavioral, physiological, biomedical, ecological, or taxonomic—may begin without formal IAEC approval. Any deviation from the approved protocol must be reported immediately for review.

7.1.3 Humane Handling Practices

Researchers must treat all animals with dignity and care. Handling, restraint, and procedures must be carried out by trained personnel using humane methods to prevent unnecessary stress, trauma, or injury.

7.2 Replacement, Reduction, Refinement (3Rs)

The University emphasizes the internationally accepted **3Rs principle** to promote ethical and responsible animal research.



7.2.1 Replacement

Researchers must actively seek alternatives to animal use where possible, such as computer simulations, cell culture models, or non-invasive research methods. Animals should be used only when no scientifically valid alternative exists.

7.2.2 Reduction

The number of animals used in any study must be minimized without compromising scientific validity. Appropriate sample size calculations, pilot studies, and shared experimental designs must be employed to reduce unnecessary animal use.

7.2.3 Refinement

All procedures must be refined to minimize pain, suffering, distress, and lasting harm. This includes the use of anesthesia, analgesia, humane endpoints, and environmentally enriched housing conditions to enhance animal well-being.

7.3 Animal Housing & Care Standards

7.3.1 Housing Conditions

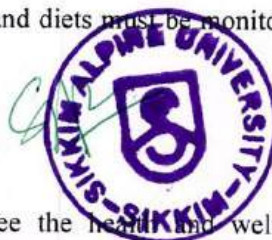
Animals must be housed in clean, spacious, well-ventilated, and species-appropriate environments. Housing facilities must comply with CPCSEA-approved standards including temperature, humidity, lighting cycles, and bedding requirements.

7.3.2 Nutrition & Water

All animals must have continuous access to clean water and nutritionally adequate food appropriate to their species. Feeding schedules and diets must be monitored and documented regularly.

7.3.3 Veterinary Supervision

Qualified veterinary professionals must oversee the health and welfare of all animals. Researchers must report signs of distress, illness, or injury immediately. Routine health monitoring, disease prevention, and medical treatment plans must be implemented promptly.



7.3.4 End-of-Life Care & Euthanasia

If euthanasia is required, it must be conducted only using CPCSEA-approved humane methods by trained personnel. Detailed justification and procedural protocols must be approved by IAEC beforehand.



8. INSTITUTIONAL BIOSAFETY COMMITTEE (IBSC)

The Institutional Biosafety Committee (IBSC) of Sikkim Alpine University ensures that all laboratory-based research involving biological, chemical, or microbial agents is conducted safely, responsibly, and in accordance with national and international biosafety standards. The Committee oversees risk assessment, approval of experiments, laboratory practices, and safe disposal of hazardous materials to prevent harm to researchers, the environment, and the community.

8.1 Laboratory Safety Levels (BSL-1 and BSL-2)

All laboratory work involving biological materials must comply with the **Department of Biotechnology (DBT) Guidelines** and operate within appropriate Biosafety Levels (BSL):

8.1.1 BSL-1 Laboratories

Research involving low-risk microorganisms or biological agents must be carried out in BSL-1 facilities following basic biosafety standards, including:

- Use of personal protective equipment (PPE)
- Restricted access to laboratories
- Standard microbiological practices

8.1.2 BSL-2 Laboratories

Moderate-risk biological agents, cell cultures, and certain human or animal samples must be handled in BSL-2 laboratories equipped with:

- Biosafety cabinets (Class II)
- Controlled access
- Proper ventilation and contamination control measures



IBSC shall verify that laboratories meet the required safety level before approving any research activity.

8.2 Risk Assessment and Prior Approval

A detailed biosafety risk assessment must be conducted for all research involving biological agents. Prior approval from IBSC is mandatory for the use of:

8.2.1 Pathogens

Any work involving pathogenic microorganisms or infectious agents must undergo thorough risk evaluation and documentation.

8.2.2 Cell Lines and Primary Cultures

Research using mammalian, plant, or insect cell lines—especially those derived from human or animal tissues—requires IBSC approval.

8.2.3 Genetically Modified Organisms (GMOs)

All experiments involving GMOs, transgenic organisms, or genetically modified microbes must comply with DBT's "Regulations and Guidelines on Biosafety."

8.2.4 Recombinant DNA Experiments

Any work involving the construction, cloning, or manipulation of recombinant DNA must follow national biosafety regulations and be pre-approved by IBSC.

Researchers may not begin experiments until all required approvals are issued.

8.3 Laboratory Waste Management

All biological, chemical, and potentially hazardous laboratory waste must be handled and disposed of responsibly to prevent contamination or harm.

8.3.1 Decontamination Requirements

Biological waste must be:

- **Autoclaved** to eliminate microbial contamination
- **Chemically disinfected** where required
- **Packaged and labelled** according to biosafety guidelines



8.3.2 Disposal According to Regulatory Norms

Waste disposal must follow:

- Biomedical Waste Management Rules (Government of India)
- DBT/ICMR biosafety standards
- Institutional waste-handling SOPs

IBSC will monitor compliance and may inspect laboratories periodically.



9. Fieldwork & Environmental Ethics (FEEC)

Field-based research is an essential component of scientific, social, and cultural inquiry. However, such work must be conducted responsibly to ensure environmental conservation, researcher safety, and respect for local communities and ecosystems. The Fieldwork & Environmental Ethics Committee (FEEC) of Sikkim Alpine University oversees all research activities involving ecological sampling, biodiversity documentation, environmental monitoring, and community interaction during field studies. The following principles guide all fieldwork undertaken by researchers, faculty, staff, and students.

9.1 Biodiversity and Ecological Studies

9.1.1 Compliance and Authorization

Any research involving biodiversity—such as sampling of flora, fauna, fungi, insects, soil, or water—must be conducted only after securing the required permissions from relevant authorities. These may include:

- State Forest Department
- Wildlife Division
- Environmental or Biodiversity Boards
- National Parks and Wildlife Sanctuaries

No biodiversity-related fieldwork may commence without submitting proof of permit to the FEEC.

9.1.2 Minimizing Environmental Harm

All environmental research must be designed to minimize disruption. Researchers must avoid destructive sampling techniques, adhere to eco-friendly methodologies, and ensure that the natural habitat remains undisturbed. Over-sampling is strictly prohibited, and collection must be limited to what is scientifically justified and approved.

9.1.3 Protection of Vulnerable and Endangered Species

Field researchers must avoid collecting or disturbing species listed as endangered, threatened, or protected under state, national, or international conservation frameworks unless explicitly authorized by special permits. Photographic documentation is preferred over physical collection wherever possible.



9.1.4 Ethical Ecosystem Engagement

Researchers must respect ecological boundaries, adhere to designated trails, avoid littering, and prevent contamination of natural environments. Ethical ecological conduct is mandatory for all students and faculty representing the University during fieldwork.

9.2 Field Safety Requirements

9.2.1 Researcher Safety Protocols

All researchers must follow field safety protocols appropriate to their research environment, including the use of:

- Proper personal protective equipment (PPE)
- Weather-appropriate clothing
- First-aid kits
- Communication devices

Supervisors must ensure that students receive safety briefing and risk-assessment training before field visits.

9.2.2 Equipment Handling and Emergency Preparedness

Researchers must be trained in the correct use of field instruments, tools, and safety gear. Emergency protocols must be established for remote areas, including pre-approved communication plans, emergency contacts, local guides, or escorts, depending on risk level.

9.2.3 Community Participation and Engagement

Fieldwork in rural, tribal, or community settings must be conducted respectfully. Researchers must:

- Inform local leaders or authorities of their presence
- Seek community consent where required
- Avoid actions that disrupt cultural or community norms

Community interactions must be transparent, culturally appropriate, and guided by ethical principles.



9.3 Documentation and Reporting

9.3.1 *Accurate Field Documentation*

Researchers must maintain detailed field notes, observations, sample logs, and metadata. All documentation must be factual, truthful, and free from fabrication.

9.3.2 *Submission to FEEC*

Upon completion of fieldwork, researchers must submit a brief field report summarizing:

- Activities conducted
- Samples collected
- Any deviations from approved protocols
- Environmental observations

This ensures transparency, accountability, and compliance with ethical and legal requirements.



10. INDIGENOUS KNOWLEDGE & CULTURAL ETHICS (IKCEC)

Research involving indigenous communities, cultural traditions, oral narratives, and traditional ecological knowledge requires exceptional sensitivity and ethical responsibility. Sikkim Alpine University recognizes that indigenous knowledge is collective, sacred, and deeply embedded within cultural identity. Therefore, all research under this category must ensure respect, reciprocity, and culturally appropriate documentation practices. The Indigenous Knowledge & Cultural Ethics Committee (IKCEC) evaluates all such proposals to ensure that research activities preserve cultural dignity and contribute positively to the communities involved.

10.1 Guidelines for Indigenous Knowledge Research

10.1.1 Cultural and Community Respect

All documentation of indigenous knowledge must uphold the cultural values, traditions, and social norms of the concerned community. Researchers must familiarize themselves with the cultural context before engaging with knowledge holders and ensure that their presence, behaviour, and methods align with community expectations.

10.1.2 Ritual Restrictions and Sacred Knowledge

Researchers must respect the existence of ritual restrictions, sacred knowledge boundaries, and cultural codes that prohibit or limit the sharing of certain traditions. Knowledge that is considered sacred, ceremonial, or exclusive to certain groups cannot be recorded, photographed, or disseminated unless explicitly permitted by the community custodians.

10.1.3 Ethical Boundaries in Documentation

Folk songs, chants, oral narratives, origin myths, ritual procedures, and clan histories often contain culturally sensitive information. Researchers must document only what is allowed and avoid probing into restricted areas. The principle of “do no cultural harm” must guide all documentation activities.

10.2 Community Consent

10.2.1 Requirement of Dual Consent

Research involving indigenous communities requires **both individual-level consent and collective community consent**. This applies especially to studies that involve recording oral



histories, documenting folklore, photographing or filming rituals, visiting sacred sites, or studying traditional medicinal practices.

10.2.2 Individual Consent

Knowledge holders must voluntarily agree to share information after being informed about the purpose, methods, and intended use of the documentation. Individual consent may be written, verbal, or recorded, depending on what is culturally appropriate.

10.2.3 Community or Collective Consent

Prior permission from community leaders, elders, cultural committees, or traditional councils is mandatory. Community consent affirms that documentation is acceptable at a collective cultural level and prevents exploitation of communal heritage.

10.2.4 Right to Withdraw

Both individuals and communities have the right to withdraw consent at any stage of the research process, and the researcher must honor such decisions immediately.

10.3 Benefit Sharing

10.3.1 Fair Acknowledgement

All research outputs—publications, documentation, exhibitions, or digital archives—must appropriately acknowledge the knowledge holders and the community. This includes citation of community contributions in dissertations, research papers, and public presentations.

10.3.2 Non-Monetary and Cultural Benefits

Where applicable, researchers should provide non-monetary benefits such as copies of recordings, translated documentation, photographs, or educational resources that support community heritage preservation.

10.3.3 Ethical Use and Access

The community's rights over its cultural expressions must be respected. Any use of indigenous knowledge for academic, educational, or archival purposes must align with the permissions granted. Sharing or publishing restricted knowledge without approval is strictly prohibited.



10.3.4 Protection Against Exploitation

Researchers must not commercialize, patent, or otherwise profit from indigenous knowledge without explicit benefit-sharing agreements and permissions. Any potential application of traditional knowledge must be disclosed to the community in advance.



11. ETHICAL VIOLATIONS & CONSEQUENCES

Ethical compliance is a mandatory requirement for all research activities conducted under Sikkim Alpine University. Any violation of ethical standards undermines the dignity, rights, safety, and welfare of participants, communities, animals, and the environment. Ethical breaches also compromise the integrity and credibility of the University's research output. Therefore, all violations—intentional or unintentional—shall be treated with seriousness and examined by the relevant ethics committees, followed by appropriate disciplinary action.

11.1 Categories of Ethical Violations

11.1.1 Conducting Research Without Ethical Approval

Initiating data collection, fieldwork, human interaction, laboratory experiments, animal handling, or documentation of indigenous knowledge **without prior approval** from the appropriate ethics committee (HEC, IAEC, IBSC, FEEC, or IKCEC) constitutes a major ethical breach.

11.1.2 Misuse or Unauthorized Sharing of Sensitive Data

The unauthorized use, disclosure, or transfer of personal, clinical, cultural, or community-based information violates principles of privacy, confidentiality, and informed consent. This includes mishandling of interview recordings, photographs, GPS data, or community identities.

11.1.3 Exploitation of Indigenous Knowledge

Using indigenous cultural knowledge, oral narratives, medicinal practices, rituals, or linguistic materials without consent, acknowledgment, or benefit sharing is a serious violation. Any misuse that harms or misrepresents indigenous communities will be treated as academic misconduct and cultural exploitation.

11.1.4 Harassment, Coercion, or Unethical Conduct During Fieldwork

Any form of coercion, intimidation, manipulation, disrespect towards local communities, or inappropriate behaviour—especially toward vulnerable groups—constitutes misconduct. Researchers must always uphold cultural sensitivity and respectful engagement.



11.1.5 Animal Cruelty or Non-Compliance with CPCSEA Norms

Failure to follow humane handling, housing, veterinary care, or procedural ethics for animal research violates IAEC regulations. Inflicting unnecessary pain, improper euthanasia, or unauthorized use of animals is strictly prohibited.

11.1.6 Biosafety Breaches

Improper handling of pathogens, GMOs, chemical agents, or laboratory materials that pose risk to researchers, the public, or the environment is considered a grave violation. Unauthorized use of BSL-level facilities, improper waste disposal, or non-compliance with IBSC rules will attract immediate action.

11.2 Consequences and Penalties

Penalties are proportionate to the nature and severity of the violation and may be imposed by the respective ethics committees in consultation with the R&D Cell, Registrar, and Academic Council.

11.2.1 Suspension or Termination of the Research Project

The ongoing project may be suspended temporarily or terminated permanently, depending on the severity of the ethical breach.

11.2.2 Withdrawal of Research Privileges

Researchers may lose access to laboratories, field sites, equipment, or institutional facilities for a specified duration. Repeat offenders may be permanently restricted from conducting research.

11.2.3 Cancellation of Degree Registration (For Students)

For serious violations—especially involving intentional misconduct, unethical field practices, misuse of indigenous knowledge, or biosafety breaches—the University may cancel or withdraw dissertation/thesis registration. In extreme cases, research candidature may be terminated.

11.2.4 Disciplinary Action Under University Service Rules (For Faculty/Staff)

Faculty or staff involved in ethical violations may face disciplinary measures including formal warnings, suspension, removal from supervisory roles, or penalties under University service rules.



11.2.5 Reporting to Statutory and Regulatory Authorities

For violations involving animal welfare, biosafety breaches, or misuse of culturally sensitive materials, the University may be obligated to inform bodies such as CPCSEA, DBT, Forest Department, or community councils.

11.3 Right to Explanation and Appeal

All individuals accused of ethical violations will be given the opportunity to submit an explanation and present evidence. Appeals will follow the mechanism defined in Section 12 (Appeals Process).



12. ETHICAL CLEARANCE WORKFLOW

The ethical review and approval process at Sikkim Alpine University follows a structured, transparent, and accountable workflow designed to ensure that every research activity meets the highest ethical standards. No research may begin until the appropriate Ethics Committee has granted formal clearance. The following workflow outlines the sequential steps that every researcher—student, faculty, or collaborator—must follow to obtain and maintain ethical approval.

12.1 Submission of Ethics Application

The researcher must prepare and submit a complete **Ethics Application File** to the Departmental Research Committee (DRC). This file must include the research proposal, methodology, consent forms, instruments (questionnaires/interview guides), risk assessment (for biosafety, animal, or field research), and any supporting documents required for ethical review.

12.2 Initial Screening by the Departmental Research Committee (DRC)

The DRC conducts a primary screening of the submission to ensure:

- The proposal is scientifically sound
- Ethical issues have been correctly identified
- Required documents are complete
- The correct ethics committee has been selected for review

The DRC may request revisions before forwarding the application for full ethical review.

12.3 Review by the Appropriate Ethics Committee

Based on the nature of the research, the application is forwarded to one of the following:

- Human Ethics Committee (HEC)
- Institutional Animal Ethics Committee (IAEC)
- Institutional Biosafety Committee (IBSC)
- Fieldwork & Environmental Ethics Committee (FEEC)
- Indigenous Knowledge & Cultural Ethics Committee (IKCEC)



Each committee conducts a detailed assessment of:

- Risk to participants, community, environment, or animals
- Appropriateness of methodology
- Cultural and community sensitivity
- Regulatory compliance (CPCSEA, DBT, ICMR, national biodiversity laws)
- Adequacy of consent, permissions, and safety protocols

12.4 Clarifications from the Researcher (If Required)

If the committee identifies gaps or requires additional information, the researcher is notified and must respond with clarifications, revised documents, or explanations. The review will proceed only after all concerns are addressed satisfactorily.

12.5 Decision: Approval, Conditional Approval, or Rejection

Based on the review, the committee issues one of the following decisions:

- **Full Approval** – The project meets all ethical requirements
- **Conditional Approval** – Approval is granted subject to modifications (e.g., revised consent forms, safety improvements, reduced sampling)
- **Rejection** – The project is ethically unacceptable or poses unacceptable risk

Conditional approvals must be corrected and resubmitted for verification.

12.6 Issue of Ethical Clearance Certificate

Upon approval, the respective Ethics Committee issues a formal **Ethical Clearance Certificate**, which must be included in all subsequent submissions (e.g., RDC approval, dissertation, thesis, publications). No data collection may begin without this certificate.

12.7 Monitoring of Research Progress

Ethical oversight continues throughout the duration of the project. Researchers must:

- Submit progress updates when requested
- Report any changes in methodology or risk factors
- Immediately disclose any adverse events or ethical concerns



The Ethics Committee reserves the right to conduct audits, field inspections, or request additional documentation.

12.8 Completion Report Submission

After completing data collection or at the conclusion of the project, the researcher must submit a **Final Ethical Compliance Report** summarizing:

- Research activities undertaken
- Adherence to approved protocols
- Any deviations and justifications
- Final status of collected data and its storage
- Closure or handover of biological or environmental samples (if applicable)

This report is mandatory before thesis submission or project closure.



13. DOCUMENTATION & RECORDS

13.1 Record Maintenance by Ethics Committees

All Ethics Committees of Sikkim Alpine University are required to maintain systematic, secure, and confidential records of all ethical clearance processes. This includes applications received, review notes, committee decisions, approval certificates, and monitoring reports. These records ensure accountability, facilitate audits, and support compliance with national ethical, biosafety, and regulatory frameworks.

13.1.1 Retention of Records

All ethical approvals, review documents, correspondence, and related materials shall be stored securely for a minimum period of **five (5) years** from the date of completion of the respective research project. Records involving sensitive human data, indigenous knowledge, or animal research must be preserved with heightened confidentiality and security protocols.

13.2 Submission to the Research & Development (R&D) Cell

Copies of all ethical approvals, extensions, amendments, and completion reports must be submitted to the University's **Research & Development Cell**. This ensures centralized monitoring of ethical compliance across departments and serves as essential documentation for institutional governance, audits, and accreditation purposes.

13.3 Reporting to the Academic Council

Each Ethics Committee shall compile an annual summary report detailing the number of applications reviewed, approvals granted, rejected proposals, conditional approvals, and any ethical violations encountered. These reports shall be formally presented to the **Academic Council of Sikkim Alpine University** during its scheduled meetings to ensure transparency, oversight, and policy refinement.



14. POLICY REVIEW & AMENDMENTS

The Ethical Policy of Sikkim Alpine University is a dynamic document that will evolve in response to emerging academic needs, regulatory updates, and institutional priorities. The policy shall undergo periodic review to ensure continued alignment with national and international standards of research ethics. Revisions may be necessitated by updates to **UGC regulations**, changes in **ICMR ethical guidelines**, modifications issued by **CPCSEA** for animal research, and updated **DBT biosafety norms** relating to laboratory and genetic research. The implementation of NEP 2020 places renewed emphasis on ethical and socially responsible research, and the policy will be revised accordingly to incorporate new mandates or recommendations. Any changes or amendments shall be reviewed and proposed by the relevant Ethics Committees and the Research & Development Cell, and will come into effect only upon approval by the **Academic Council** of Sikkim Alpine University. This ensures that ethical governance remains transparent, accountable, and responsive to evolving academic and societal expectations.



15. TEMPLATES & FORMS (ANNEXURES)

To ensure standardization, transparency, and regulatory compliance, Sikkim Alpine University shall maintain a set of approved templates and forms required for ethical clearance and research approval. These forms enable uniform documentation across departments and streamline the review process under HEC, IAEC, IBSC, FEEC, and IKCEC.

The following documents shall be made available to all researchers—in both digital and print formats—through the Research & Development Cell:

15.1 Informed Consent Form Template

A standardized informed consent form must be used for all human participant studies. It shall include:

- Study purpose and objectives
- Procedures and expected participation
- Risks and benefits
- Right to withdraw at any time
- Confidentiality protections
- Voluntary participation statement
- Signature lines for participant, researcher, and witness

Separate versions shall be available for:

- **Adults**
- **Minors (with guardian consent)**
- **Indigenous community settings (with cultural adaptations)**

15.2 Human Ethics Application Form (HEC Form–1)

All research involving human participants must be submitted using the official HEC application form. It shall include:

- Research title, objectives, and methodology
- Participant details and recruitment process
- Risk assessment
- Data privacy plan
- Consent procedures



- Supervisor and HoD approval
- Attachments (questionnaires, interview guides, scripts, etc.)

15.3 Fieldwork Risk Assessment Form (FEEC Form-2)

Researchers conducting fieldwork must complete this form detailing:

- Location and duration of fieldwork
- Environmental risks and mitigation plans
- Safety protocols and emergency contacts
- Permissions from forest/wildlife authorities (where applicable)
- Community engagement procedures

15.4 Animal Ethics Application Form (IAEC Form-3)

Required for any study involving animals. It includes:

- Species, number, and justification
- Experimental procedures
- Housing and care arrangements
- Application of 3Rs (Replacement, Reduction, Refinement)
- Veterinary supervision details
- CPCSEA compliance documentation

15.5 Biosafety Application Form (IBSC Form-4)

For research involving microorganisms, cell lines, GMOs, or hazardous biological materials, the following must be submitted:

- Nature and classification of biological agents
- Biosafety level (BSL-1/BSL-2)
- Laboratory facilities
- Waste disposal plan
- Risk containment strategies
- Training records of research personnel



15.6 Indigenous Knowledge Consent and Documentation Form (IKCEC Form-5)

For studies involving indigenous communities, traditional knowledge, folklore, rituals, or linguistic documentation, a culturally sensitive consent form must be used. It should include:

- Purpose and nature of documentation
- Type of knowledge recorded (oral, ritual, medicinal, linguistic, etc.)
- Individual consent and *community consent*
- Confidentiality and cultural protection measures
- Benefit-sharing and acknowledgment plan
- Permissions from community leaders or elders

15.7 Storage & Access

All completed forms must be:

- Submitted to the respective Ethics Committee
- Copied to the Research & Development Cell
- Archived for **five years** for audit, accreditation, and compliance

Digital copies will be maintained in the University's Research Repository.

15.8 Template Availability

All templates and forms shall be:

- Hosted on the University website
- Provided through the R&D Cell
- Updated periodically under the Policy Review & Amendments clause



ANNEXURE – 15.1**INFORMED CONSENT FORM (ICF)***(For Human Participant Research)***Sikkim Alpine University
Human Ethics Committee (HEC)****Title of the Study:** _____**Name of Researcher:** _____**Department:** _____**Contact Information:** _____**Participant Information Sheet**

You are invited to participate in a research study conducted by Sikkim Alpine University. Before you decide, please read the following information carefully.

1. Purpose of the Study

Explain in simple language:

2. What Participation Involves

Procedures will include:

- Interviews / questionnaires / surveys
- Audio or video recordings (if applicable)
- Approximate duration of participation: _____

3. Risks & Discomforts

Possible risks (if any):

If none, write: *"No known risks beyond daily life activities."*

4. Benefits

Potential benefits (personal or community-based):

5. Voluntary Participation

Your participation is voluntary. You may withdraw at any time without penalty.



6. Privacy & Confidentiality

- Your identity will remain confidential.
- Data will be anonymized in reports.
- Audio/video files will be stored securely.

7. Right to Withdraw

You may withdraw from the study at any point without providing any reason.

Consent Statement

I have read and understood the information provided. I voluntarily agree to participate.

Participant Name: _____

Signature/Thumbprint: _____

Date: _____

Researcher Signature: _____

Witness (if required): _____

Additional Versions Required:

- **For Minors:** Add *Parent/Guardian Consent Section*.
- **For Indigenous Communities:** Add *Community Consent Section (Headman/Elder Signature)*.



ANNEXURE – 15.2**HUMAN ETHICS APPLICATION FORM (HEC Form-1)**

**Sikkim Alpine University
Human Ethics Committee (HEC)**

1. Basic Information

Title of Study: _____
Researcher Name: _____
Designation (UG/PG/PhD/Faculty): _____
Department: _____
Supervisor (if applicable): _____

2. Research Summary (Attach Proposal)

Provide a brief summary (200–300 words):

3. Participants

Target Population: _____
Sample Size: _____
Recruitment Method: _____

4. Data Collection Methods

Tick all that apply:

- ☐ Interviews
- ☐ Surveys
- ☐ Focus groups
- ☐ Experiments
- ☐ Psychological assessments
- ☐ Audio/video recordings

5. Risk Assessment

Describe any potential risks:

Mitigation plan:

If *no risks*, write: "No foreseeable risks."

6. Privacy & Confidentiality Measures

How will data be protected?

Who will access it? _____



7. Consent Process

- ☐ Written consent
- ☐ Verbal consent
- ☐ Recorded oral consent

Reason for non-written consent (if applicable):

8. Attachments Checklist

- ☐ Consent Form
- ☐ Questionnaire/Interview Guide
- ☐ Participant Information Sheet
- ☐ Supervisor Approval
- ☐ Departmental Research Committee Recommendation

9. Declaration

I declare that the information provided is true and that no research activity will begin without formal HEC approval.

Signature (Researcher): _____

Date: _____

Supervisor Signature: _____

HoD Signature: _____



ANNEXURE – 15.3

FIELDWORK RISK ASSESSMENT FORM (FEEC Form-2)

**Sikkim Alpine University
Fieldwork & Environmental Ethics Committee (FEEC)**

1. Researcher Details

Name: _____

Department: _____

Supervisor: _____

2. Fieldwork Details

Location(s): _____

Dates & Duration: _____

Purpose of Fieldwork: _____

3. Environmental Risks

Possible risks:

- ☐ Wildlife encounters
- ☐ Harsh terrain
- ☐ Weather-related risks
- ☐ Environmental contamination
- ☐ Working in protected areas

Describe risks in detail: _____

Mitigation plan: _____

4. Permissions Required

- ☐ Forest Department Permit
- ☐ Wildlife Permit
- ☐ Community/Local Leader Permission
- ☐ Landowner permission

Attach copies of permissions.



5. Safety Plan

- Emergency contact numbers
- First-aid arrangements
- Transport arrangements
- Field supervision details

Describe safety preparations:

6. Declaration

I will follow all field safety and ethical guidelines.

Researcher Signature: _____

Supervisor Signature: _____

HoD Signature: _____



ANNEXURE – 15.4**ANIMAL ETHICS APPLICATION FORM (IAEC Form-3)**

Sikkim Alpine University
Institutional Animal Ethics Committee (IAEC)

1. Research Details

Title: _____
Researcher Name: _____
Species used: _____
Number of animals: _____

2. Justification for Using Animals

Why are animals required?

Why alternatives cannot be used?

3. Experimental Procedures

Describe all procedures in detail:

Pain level expected: ☐ None ☐ Mild ☐ Moderate ☐ Severe

4. Housing & Care Arrangements

Describe animal housing:

Food/water provision: _____
Veterinary care plan: _____

5. Application of 3Rs

Replacement: _____
Reduction: _____
Refinement: _____

6. CPCSEA Compliance Documents

Attach:
☐ Facility Registration Certificate
☐ Veterinarian Appointment Letter
☐ Animal Log Sheet

7. Declaration

I agree to comply with IAEC and CPCSEA guidelines.

Researcher Signature: _____
Supervisor Signature: _____



ANNEXURE – 15.5

BIOSAFETY APPLICATION FORM (IBSC Form-4)

**Sikkim Alpine University
Institutional Biosafety Committee (IBSC)**

1. Researcher & Project Information

Researcher Name: _____

Department: _____

Type of research:

- ☐ Microorganisms
- ☐ Cell lines
- ☐ GMOs
- ☐ Recombinant DNA
- ☐ Hazardous chemicals

2. Biological Agent Information

Name of organism/agent: _____

Biosafety Level (BSL): ☐ BSL-1 ☐ BSL-2

Risk classification: _____

3. Laboratory Facilities

Describe available biosafety equipment:

- ☐ Biosafety cabinet
- ☐ Autoclave
- ☐ PPE
- ☐ Waste disposal system

Provide details:

4. Risk Assessment

Describe risks associated with the work:

Mitigation strategies:

5. Waste Management Plan

Outline autoclaving, disinfection, and disposal procedures:



6. Training

Has the researcher undergone biosafety training?

☐ Yes (attach certificate)

☐ No

7. Declaration

I will strictly follow DBT and IBSC norms.

Researcher Signature: _____

Supervisor Signature: _____



ANNEXURE – 15.6

INDIGENOUS KNOWLEDGE CONSENT & DOCUMENTATION FORM (IKCEC Form-5)

**Sikkim Alpine University
Indigenous Knowledge & Cultural Ethics Committee (IKCEC)**

1. Research Information

Researcher Name: _____

Community Studied: _____

Type of knowledge documented:

- ☐ Oral stories
- ☐ Folklore
- ☐ Rituals
- ☐ Traditional medicine
- ☐ Linguistic data
- ☐ Cultural practices

2. Purpose of Documentation

Explain in culturally appropriate and simple terms:

3. Consent Sections

3.1 Individual Consent

“I understand the purpose of this documentation and voluntarily agree to share my knowledge.”

Name: _____

Signature/Thumbprint: _____

Date: _____

3.2 Community Consent (If Required)

“I, as a representative/elder of the community, grant permission for culturally respectful documentation.”

Name of Leader/Elder: _____

Designation/Role: _____

Signature/Seal/Thumbprint: _____



4. Confidentiality & Cultural Protection

Specify:

- Which parts may be shared publicly
- What must remain confidential
- Any rituals prohibited from recording

5. Benefit Sharing

Describe how community will be acknowledged, credited, or compensated:

6. Declaration

I hereby confirm that documentation was conducted respectfully and ethically.

Researcher Signature: _____

Supervisor Signature: _____

