

EXEMPTION CERTIFICATION APPLICATION
INSTITUTIONAL REVIEW BOARD

Protocol Title: Mobile Access Control Survey

Is this application associated with a Planning and Development activity? If yes, please provide the date the ORPC provided administrative approval, the IRB approval number and title: N/A

If applicable, provide the funding agency, the sponsored project title and UMBC award ID: N/A

List the Principal Investigator(s) below. Students may be listed as an Investigator; faculty advisors must also be shown and sign this form.

Name	Department	Phone Number	E-mail	Date CITI Education Program was completed *
Prajit Kumar Das	Computer Science and Electrical Engineering	(410) 455-2668	prajitl@umbc.edu	12/30/2016

* If you need information about training completion dates, please contact the ORPC

Does the Principal Investigator(s) or any of the project personnel have a financial interest related to the research or sponsor (e.g. payment for services, equity interests, etc.) that must be disclosed according to UMBC Conflict of Interest policy?
Yes ☐ No ☒

Will the procedures in this application be used for thesis, masters or dissertation research? Yes ☒ No ☐

If yes, please list thesis or dissertation committee member names: Dr. Anupam Joshi, Dr. Tim Finin, Dr. Tim Oates, Dr. Nilanjan Banerjee, Dr. Dipanjan Chakraborty (external to UMBC), Dr. Arkady Zaslavsky (external to UMBC)
Planned graduation date? August 2017

Electronically submit the protocol and any accompanying documents to irbsubmissions@umbc.edu.

By typing your name, email address and date, the investigator(s) certify they will abide by all UMBC IRB policies and procedures and understand that no research activities will be conducted with human participants prior to obtaining the required approvals. The investigator(s) will inform the IRB at the earliest possible date of (1) any significant changes in the project with respect to human subject participation, (2) any adverse reactions or unexpected responses observed involving human participants, and (3) any need for continuation of the project activities beyond the approval date. Faculty advisors who type their name, email address and date certify they have read and reviewed this proposal and confirm it is ready for review by the IRB. Faculty advisors agree to mentor the student during the term of IRB approval.

Investigator's Signature: Prajit Email: prajitl@umbc.edu Date: 1/19/2017

Faculty Advisor's Signature: [Signature] Email: joshi@umbc.edu Date: 1/19/2017

IRB Action: *Exemption approved* _____ *Exemption not approved* _____

Approved - IRB Chair _____ Date _____

(exempt application form) – 0308/29/2015

EXEMPTION CERTIFICATION APPLICATION
INSTITUTIONAL REVIEW BOARD

Exemption Categories

Certain broad categories of research projects that involve human participants may be exempt from full IRB review and may qualify for "exempt" review. The IRB reserves the right to deny exemption requests whenever risks are identified that go above "minimal" or there is a concern for the welfare of human subjects. Ongoing review is not required once a determination of exemption is made, unless the research is changed so that it no longer meets the exemption criteria. If the research does not fit into one of the categories, it will require expedited review.

Please review the [Exempt Category Example Chart](#) and further information and check the category or categories below which describe your research:

<input type="checkbox"/> EDUCATIONAL RESEARCH: Research conducted in established or commonly accepted educational settings, involving normal educational practices. This is research that is concerned with improving educational practice and does not include variables traditionally investigated in clinical and counseling research (self-esteem, anxiety, aggression, withdrawal, shyness, social skills, etc.) [(§46.101(b)(1)]	<input type="checkbox"/> EDUCATIONAL TESTS: Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), information taken from these sources is recorded in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. [(§46.101(b)(2)]
<input checked="" type="checkbox"/> SURVEYS, QUESTIONNAIRES, INTERVIEWS, OR OBSERVATION OF PUBLIC BEHAVIOR: To meet this exemption, the subject matter must not involve "sensitive" topics, such as criminal or sexual behavior, alcohol or drug use on the part of the participants, unless they are conducted in a manner that guarantees anonymity for the participants and informed consent cannot be reasonably obtained (such as in anonymous observations). [(§46.101(b)(2)]	<input type="checkbox"/> SURVEYS, QUESTIONNAIRES, INTERVIEWS OR OBSERVATION OF PUBLIC BEHAVIOR: Surveys that involve sensitive information and participants identities are known to the researcher may still be exempt <u>if</u> (1) the participants are elected to appointed public officials or candidates for public office; <u>or</u> (2) federal statute(s) specify without exception that confidentiality will be maintained throughout the research and thereafter. Otherwise, such research requires expedited status. [(§46.101(b)(3)]
<input type="checkbox"/> ARCHIVAL RESEARCH: Research involving the collection or study of existing data, documents, records, pathological or diagnostic specimens, <u>if</u> these sources are publicly available <u>or</u> if the information is recorded by the investigator in such a manner that participants cannot be identified, directly or through identifiers linked to the participants. These data/samples must be <u>preexisting</u> , which means they were collected prior to the current project. [(§46.101(b)(4)]	<input type="checkbox"/> TASTE EVALUATION RESEARCH: Studies of taste and food quality evaluation. Studies of taste evaluation qualify for this exemption <u>only if</u> (1) wholesome foods without additives are consumed; <u>or</u> (2) if a food is consumed that contains a food ingredient at or below the level of and for a use found to be safe. [(§46.101(b)(6)]

EXEMPTION CERTIFICATION APPLICATION
INSTITUTIONAL REVIEW BOARD

Anticipated Duration of Study: From 2/1/2017 to 8/31/2017

1) Describe the purpose of the study:

Access control policies tend to be too restrictive at times, while users tend to be privacy pragmatists. We argue in our thesis that given the right method to choose their own privacy policies, users would be capable of doing so.

2) Will participant data be gathered anonymously? Yes ☒ No ☐

If not, will information obtained recorded in such a manner that you or anyone else could identify the human participants, directly or through codes or demographic information linked to the participants? Please describe what identifiers will be used and how confidentiality will be maintained.

The surveys are anonymous and will not contain information that may personally identify the participant. The setup process of the app will require the participants to input some personal information like work/home location, work hours/do-not-disturb hours, supervisor/colleague bluetoothIDs. However, this information will never leave the user's phone. Feedback information logs will be uploaded by explicit user consent. Data being uploaded will be logged and shown on the upload screen itself. Absolutely no identifying feature will be included in the uploaded data.

3) Describe the research procedures. **Please include copies of questionnaires, surveys or other measures related to the proposed project. Adobe Acrobat (.pdf) versions of questionnaires, surveys or other measures related to the proposed project are acceptable.**

People will be asked to provide their feedback on whether app launch events at a particular time of day or location was an expected launch or an unexpected launch. If denoted as expected, the participants will be asked to choose the modifications required to policy options that state the conditions in which the launch was expected. App screen views for these survey questions are shown in attached pdf. The user will also be presented a consent form for participating in the study. The consent flow is shown in the attached pdf.

4) Describe who will conduct the consent process and how consent will be obtained. Although a study is granted an exemption from IRB review, investigators are ethically bound to follow the principles listed in the Belmont Report, particularly the first principle, respect for persons, which emphasizes the importance of ensuring that subjects are fully informed about the nature of a research project in order to make an informed decision to participate. The use of a signed consent document, for example in cases of anonymous data collection, would not be required, but those participants *must be informed* about the purpose of the study. An investigator will provide a participant an IRB approved information sheet or use an oral consent script explaining the purpose of the study, how the data will be used, how the data will be kept anonymous, etc. **Please include Microsoft Word versions of all consent documents or consent scripts.**

The surveys are anonymous and will not contain information that may personally identify a user. In this survey, people will be asked to provide their feedback on whether app launch events at a particular time of day or location was an expected launch or an unexpected launch and the required policy modifications use no personally identifiable information. Rather they contain generic information like "at work", "at home", "during lunch hours", "during work week", "on weekends" etc. none of these information is personally identifiable information.

EXEMPTION CERTIFICATION APPLICATION
INSTITUTIONAL REVIEW BOARD

5) Describe how contact will be made with participants, the plan for recruiting participants and the criteria used in the selection process. Indicate if there are any special inclusion or exclusion criteria. Include the expected number of participants and age range. If subjects are under the age of 18 years, the exemption criteria described above in category 2 are not applicable unless the research limited to (a) the use of educational tests or (b) to observations of public behavior when the investigator does not participate in the activities being observed. All participants involved in educational tests under the age of 18 must have written parental permission, as well as give written assent. **Please include Microsoft Word versions of recruitment fliers.**

Participants will receive and email through the UMBC mailing lists and asked to download the app from a website that does not require any login. A recruitment flier is attached for reference. The recruitment email will be limited to the mailing list and will state that the participant must be above 18 years of age. The tests in this study are limited to studying the possibilities of using an iterative, feedback based system to carry out access control policy capture.

6) Will the proposed study presents no more than minimal risk to the participants. Minimal risk means that the probability and magnitude of harm or discomfort anticipated in the research are not greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations. Could any disclosure of the human participants' responses outside the research reasonably place the participants at risk of criminal or civil liability or be damaging to the participants' financial standing, employability, or reputation?

Information collected in this study are generic enough that persons providing such feedback cannot be identified. As such, the study poses minimal risk to participants. Information like the generic location (i.e. work, home) and at what time of day an app is allowed to for an unknown user's mobile device, has no risk of criminal or civil liability or be damaging to participants' financial standing, employability or reputation.

7) If you are requesting permission to collect or study existing data, documents, records, or biological specimens (category #4), complete the below (see [IRB guidance](#)):

What are the types of data or specimens? N/A

What is the source of the data or specimens? N/A

Are the data or specimens publicly available? (That is, can the general public obtain the data or specimens? Data are not considered publicly available if access is limited to researchers.)

N/A

If the data or specimens are not publicly available, are you required to obtain permission to access these?
Yes ☐ No ☐ If the answer is "yes," attach a copy of the correspondence granting you permission.

If using existing datasets from faculty research how is data recorded? (i.e. in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

EXEMPTION CERTIFICATION APPLICATION
INSTITUTIONAL REVIEW BOARD

N/A

Note: research using existing or archival does not qualify for exemption from IRB review under category 4 if data that the investigator will receive is in an identifiable format or that will remain identifiable in the research records.