AIR FORCE RESEARCH LABORATORY
INSTITUTIONAL REVIEW BOARD

EXEMPT REQUEST WORKSHEET

PURPOSE

Use this worksheet to determine whether an activity is "exempt" research* involving human subjects**. The six categories of exempt research involving human subjects are identified on page five of this worksheet.

* Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.
** Human subject means a living individual about whom an investigator (whether professional or student) conducting research obtains:
(1) Data through intervention or interaction with the individual, or
(2) Identifiable private information.

GENERAL INSTRUCTIONS

1. If you know your activity is not exempt, OR if the activity involves any of the following products (1a-1c below), STOP. Contact the AFRL IRB administrative office (IR) before completing this worksheet. You may need a different form.
   a. An experimental product* that has not been approved by the Food and Drug Administration (FDA)
   b. An FDA approved product* used in accordance with its FDA approved purpose
   c. An FDA approved product* NOT used in accordance with its FDA approved purpose

   * Any medical device, vaccine, drug, nutritional supplement or laboratory assay (In Vitro Diagnostic (IVD))
2. Complete all items (no blanks). If not applicable, add "N/A".
3. Type all entries.
4. Use official contact information only (no personal e-mail addresses).
5. Do not alter the layout of the form.
6. Complete the attached AFRL Exempt Worksheet.
7. Attach any data collection tools (e.g., surveys, questionnaires, focus group questions).
8. If using surveys, polls, or focus groups, ensure the activity is compliant with AFI 38-501, Air Force Survey Program.
9. Submit the worksheet to IR by e-mail. Contact IR with questions: AFRL.IR.ProtocolManagement@us.af.mil.

NEXT STEPS

1. IR will review the worksheet to ensure it is complete. IR will contact you if more information is needed.
2. IR will provide complete worksheets to the IRB for review.
3. The IRB will document its determination. This will include a justification for the determination, supported by facts.
4. IR will provide the IRB's determination to you. If the IRB determines the activity is not exempt, IR will provide to you the form needed for standard submission to the IRB.

EXEMPT REQUEST WORKSHEET

PART I: GENERAL INFORMATION

Date Submitted to AFRL IRB: 24-Oct-2018

Name of Principal Investigator: John Paul F. Mintz

Rank/Title: Lt Col / AU Lorenz Fellow

Official e-mail: johnpaul.mintz@us.af.mil

Commercial Phone: (901) 800-7613 **DSN:** -

Supporting Organization/Office Symbol: Air University / SAASS

Name of Alternate Contact: Jendia Grissett

Rank/Title: Civ / Chief of Institutional Effectiveness

Official e-mail: jendia.grissett@us.af.mil

Commercial Phone: (334) 953-3998 **DSN:** 493-3998

Project Title:

A study on strategic decision-making and artificial intelligence

Funding Source (Agency/Dept./External Sponsor): N/A

Funding Amount: N/A

PART II: SUMMARY

Briefly (3-5 sentences) describe the purpose of the activity and and intended use of results. Please use lay terms. Include sufficient detail to allow the IRB to make its determination.

The purpose of the study is to understand whether and how the cognitive decisions of Air University students are affected by the presence of artificial intelligence. The results will be used in support of a dissertation for an Air University PhD candidate (the PI).

PART III: DESCRIPTION

B. Provide a brief, one page description of the activity. Include: (1) methods & procedures, (2) equipment & facilities, (3) subject population (describe (describe inclusion/exclusion criteria, number to be included, & source), (4) subject recruitment plan, (5) activity duration, (6) location, (7) data to be used (type, source, related processess (e.g., proposed use and mainenance)), and (8) description of reasonably forseeable risks.

1. Method: Computer-based questionnaires and cognitive tasks. First, the participant will complete a computer-based informed consent document. Second, they will complete a background questionnaire. Third, they will conduct a series of computer-based scenario tasks with and without simulated artificial intelligence and simulated human agents. Fourth, they will complete a post-task questionnaire. Finally, they will complete a temporary 'non-disclosure' agreement in order to temporarily prevent them from talking with other participants.

2. Equipment: A laptop computer or iPad owned by the PI. Facilities: Conducted in-person, alone, in a classroom-type setting.

3. Population: Military Decision-makers. Sample population: Air University officer student volunteers (O-3 to O-6). Sample size: approximately 50, but TBD based on number of volunteers. Source: Air University colleges (Air War College, Air Command and Staff College, Squadron Officer School).

4. Recruitment plan: Utilize existing Air University procedures to solicit volunteers. This runs from the PI to the Office of Institutional Effectiveness, to AU college leadership, then through email distribution channels.

5. Activity duration: Per participant: ~5-10 minutes, one time. PI expects to use approximately one week in Nov-Dec 2018.

6. Location: Air University, Maxwell AFB, AL.

7. Data: Survey-type data (age, military background, experience with artificial intelligence), decision data in computer-based scenario tasks regarding AI, participant experiences during the tasks. This data will NOT include personally identifying information.

8. Risks: Minimal, if any. Because they will be conducting computer-based tasks with a 'simulated' artificially intelligent agent, it is possible a participant could gain a misunderstanding of the actual capabilities of artificial intelligence. To mitigate this risk, the participant will be debriefed on the realities of the simulated agents at the end of their participation.

Alternatives/Contingencies:
Should the PI not receive enough in-person volunteers, the PI intends to resolicit volunteers to participate in a web-based study which will have the exact same questions and tasks, but the participants will be able to participate from a device and at a location of their choosing. Other than the location differences, these questions and tasks will be identical in format and content.

PART II: ACTIVITY DESCRIPTION (additional space, if needed)

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EXEMPT CRITERIA: "Unless otherwise required by department or agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy." See 32 CFR 219.101 (b). Check all that apply.

☐	**32 CFR 219.101 (b)(1)** Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
☑	**32 CFR 219.101 (b)(2)** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) Any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
☑	**32 CFR 219.101 (b)(3)** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) The human subjects are elected or appointed public officials or candidates for public office; or 32 CFR 219 (ii) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
☐	**32 CFR 219.101 (b)(4)** Research, involving the collection or study of existing data*, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. *Data includes but is not limited to: records, datasets, recordings, biometric data (e.g. fingerprints, photos and voice recordings), or specimens. ☐ Have you obtained a Data Use Agreement (DUA) for research purposes? If so, attach it.
☐	**32 CFR 219.101 (b)(5)** Research and demonstration projects which are conducted by or subject to the approval of department or agency heads [e.g., SECDEF], and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) Procedures for obtaining benefits or services under those programs; (iii) Possible changes in or alternatives to those programs or procedures; or (iv) Possible changes in methods or levels of payment for benefits or services under those programs.
☐	**32 CFR 219.101 (b)(6)** Taste and food quality evaluation and consumer acceptance studies, (i) If wholesome foods without additives are consumed or (ii) If a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.
☐	Will this activity will involve the use of biological samples/tissue? If yes, chose one of the following: ☐ Specimens will be identifiable ☐ Specimens will be de-identified Provide additional detail on the Exempt Request Worksheet (project description) regarding how samples will be provided to the investigator, labeled, stored, maintained or destroyed, etc. Please read sections 3 and 4 of the attached supplement for more information (click on paperclip at top left of PDF).

☐ This activity has received safety review. Attach a copy to this submission.

☐ This activity has not received a safety review. Contact the AFRL Safety Offcier with question about AFRL safety review requirements: keith.vossler@us.af.mil.

I assure that the information provided in this worksheet is complete and accurate.

PI or Designee Signature

MINTZ.JOHN PAUL.FREDERICK.1064898147

Digitally signed by MINTZ.JOHN PAUL.FREDERICK.1064898147
Date: 2018.10.24 10:25:32 -06'00'

Date

24 Oct 2018

Signatures: This form can only be electronically signed by a submitter with a Common Access Card (CAC). If you do not have a CAC, please print the completed worksheet, sign and date in ink, and scan the signed document for submission to IR by e-mail.

REMAINDER OF THIS PAGE

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AFRL IR Protocol Number: FWR20190020H

IRB Member Basis for Determination/Comments:

This project does not meet Exempt criteria as a benign intervention is involved, but meets for expedited category 7.

The 7 criteria for approval were evaluated and it was determined that:

1) Risks to subjects are minimized as the intervention is benign and the survey is anonymous

2) Risk to subjects are reasonable, and do not exceed what they would experience in a normal day completing administrative work or playing a video game.

3) The subjects are equitable to the degree in which they can be--the focus is on military leaders, and Survey Office requirements are excepted for AU- so the surveys must be conducted with their students.

4) informed consent is sought-and a "click" is implicit consent on an anonymous survey. A waiver of documentation of informed consent was granted for this project.

5) See item 4.

6) There is no requirement for safety monitoring, but risks have been discussed.

7) Data is anonymous and therefore there is no breach of confidentiality or privacy.

This purpose of this worksheet is limited to consideration of whether an activity falls under the purview of the AFRL IRB in accordance with 32 CFR 219, DoDD 3216.2, AFI 40-402, and related human research subject regulations. The AFRL IRB is not responsible for the oversight of activities that are determined not to be research involving human subjects (e.g., test and evaluation activities). Any modifications to this activity must first be reviewed by the AFRL IRB.

If this activity is a survey, attitude or opinion poll, questionnaire, or interview, it might require approval by the Air Force Survey Office (HQ AFPC/DSYS). See AFI 38-501, Air Force Survey Program. Contact HQ AFPC/DSYS with questions: af.surveys@us.af.mil.

Other reviews and determinations may be required before this activity can begin. If other reviews are required, they should be pursued separately (note, AFRLI 61-103 v.2). Contact the AFRL Safety Officer, Mr. Keith Vossler, AFRL/SE, regarding requirements applicable to test and evaluation: keith.vossler@us.af.mil.

IRB MEMBER DETERMINATION:

Based on the information provided, the IRB reviewer has determined:

- [x] The human subjects research does not meet any exempt criteria. Referred to IRB Chair for IRB review.
- [ ] The research uses an *In Vitro* diagnostic device with specimens that are NOT individually identifiable. Referred to IRB Chair to determine compliance with applicable FDA regulations.
- [ ] The human subjects research meets the following exempt criteria (check all that apply):
  - [ ] 32 CFR 219.101(b)(1): conducted in common educational settings with normal educational practices...
  - [ ] 32 CFR 219.101(b)(2): involves educational tests, survey, interview procedures or observation of public behavior...
  - [ ] 32 CFR 219.101(b)(4) involving the collection or study of (check all that apply):
    - [ ] Existing data/documents
    - [ ] Restrospective medical records
    - [ ] Specimens
  - [ ] Other:

IRB Reviewer Signature

ALLEN.RHONDA.COLLEEN.1395901547 Digitally signed by ALLEN.RHONDA.COLLEEN.1395901547 Date: 2018.11.26 10:59:54 -05'00'

Date