Generative AI Policy for Research and Innovation

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Approved by: University Research Ethics Committee on 17th January 2024; Innovation Executive on 24th January 2024; Research Executive on 25th January 2024; Doctoral College Executive on 14th February 2024. Endorsed at Senate on 28th February 2024.

Effective Working Date: 1st March 2024 for all new Generative AI activities and for updates to software for ongoing activities. Those persons who have been working with Generative AI prior to the Effective Working Date should aim to ensure their work complies with this Policy at their earliest convenience.

Review Dates:
This Policy will be reviewed regularly during the first 12 months to ensure it remains current in light of the rapid developments in Generative AI technology. A full review is scheduled for completion by March 2025, and will be repeated annually thereafter.

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1. Introduction

The University is committed to providing support and protecting Researchers in their use of Generative Artificial Intelligence (AI) tools. As stated by the Information Commissioner's Office (ICO), "Applications of artificial intelligence (AI) increasingly permeate many aspects of our lives. We understand the distinct benefits that AI can bring, but also the risks it can pose to the rights and freedoms of individuals".

This Policy aims to ensure UEA Researchers can engage with, and benefit from, the opportunities of Generative AI tools (for example, ChatGPT and Gemini) for Research, whilst protecting against potential ethical, legal and integrity issues to ensure that all Research undertaken by UEA staff and students is carried out to the highest professional standards of Research integrity.

Researchers using Generative AI tools or researching on Generative AI tools must have due regard to the UEA's principles of Research integrity as detailed in UEA's *Guidelines on Good Practice in Research*. UEA's five principles of good Research practice are: honesty, rigour, transparency and open communication, care and respect, and accountability.

2. Purpose

This Policy sets out the University's position on the use of Generative AI tools by Researchers undertaking Research and Innovation activities as part of their UEA role. This Policy should also be read in conjunction with other Research-related policies, guidelines and procedures including but not limited to:

UEA Policies, Guidelines and Procedures:

- Guidelines on Good Practice in Research
- Research Ethics Policy
- Research Data Management Policy
- Procedures for Dealing with Allegations of Misconduct in Research
- Procedures for Investigating Allegations of Research Misconduct Made Against Students
- University Policy on Plagiarism and Collusion
- Intellectual Property Regulations
- Trusted Research and Innovation Guidance
- Generative AI Policy for Teaching and Learning

External Policies, Guidelines and Procedures:

- UK Policy Framework for Health and Social Care Research

This Policy is not to restrict Research or academic collaboration, but to assist Researchers in exercising utmost caution when planning to involve a generative AI tool, and to signpost Researchers to further advice and information.

3. Scope

This Policy applies equally to all UEA Researchers and their teams using Generative AI tools in support of their Research or Innovation activities, and Researchers undertaking the development and / or training of AI systems. It applies irrespective of the source of any funds for the Research and covers all uses.

Coverage of this Policy includes any Intellectual Property (including copyright) owned by any third party or by UEA. Ownership of UEA Intellectual Property is governed by UEA's Intellectual Property Regulations.

The review and approval processes and timelines for the proposed use of a Generative AI tool by the appropriate UEA departments to mitigate the risks will be different depending on the location, method and type of Generative AI tool being proposed.

This Policy applies from 1st March 2024 for all new Generative AI activities and for updates to software for ongoing activities. Those persons who have been working with Generative AI tools prior to 1st March 2024 should aim to ensure their work complies with this Policy at their earliest convenience.

4. Definitions

The defined terms are given in alphabetical order below.

Data: A reinterpretable representation of information in a formalized manner suitable for communication, interpretation, or processing. This definition is used by the Digital Curation Centre.

The following specific types of Data are also defined:

Confidential Data: Any information disclosed by one legal entity to another and either a) identified as confidential before or at the time of disclosure, or b) which, by its nature or from the circumstances of its disclosure, should reasonably be presumed to be confidential. It includes commercially sensitive data, which is defined as any information which could damage commercial interests.

Personal Data: This is defined as within the UK GDPR Article 4(1), as 'any information relating to an identified or identifiable natural person ('Data subject'); an identifiable natural person

is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location Data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person'.

Research Data: The evidence that underpins the answer to a particular research question and can be used to validate findings from that research.

Special Category (sensitive) Data: See the definition of Special Category Data provided by the Independent Commissioners Office (ICO). You can only process Special category Data if you can meet one of the specific conditions in Article 9 of the UK GDPR.

Third Party Data: Data belonging to or being provided by a person / organisation that does not belong or is not controlled by UEA (staff or students).

UEA Business Critical Data: Data that UEA deems essential for its success and that could cause UEA harm should it be published.

Generative Artificial Intelligence (AI): Any type of artificial intelligence system that identifies patterns and structures in Data / information / material and generates content, including: audio, code, images, text, simulations, and videos in response to instructions ('prompts') that resembles human-created content. Generative AI tools can be trained on large language models (LLMs). These models are the algorithmic basis for generative AI tools such as ChatGPT and Gemini.

Innovation Activity: For the purposes of this Policy, Innovation is defined by UK Research and Innovation (UKRI) as the application of knowledge of ideas for the development of products, services or processes – whether in business, public services, or non-profit sectors. At UEA this may include but is not limited to: Research, consultancy, contract Research, licensing of Intellectual Property to third parties (including all licensing of materials outside normal academic practice, such as licensing toolkits, questionnaires etc, whether using Creative Commons or other licences), setting up spin-out companies, filing patents and working collaboratively with third parties for strategic benefit to UEA.

Intellectual Property (IP): Intellectual Property is the term used to describe creative outputs that can be legally protected arising from literary, artistic, industrial and scientific endeavours, such as the results arising from Research or creative projects. Intellectual Property includes, but may not be limited to, patents, design rights, registered designs, trademarks and service marks, and all similar property rights (whether registered or not) including those subsisting in any invention, improvement, know-how, patent, design, process, information, plant varieties, copyright work (including without limitation rights in and to technical processes, systems,

methods, software design, algorithms, code, scripts or other computer software), rights in databases, topography right, domain name, trade mark, trade name or get-up or application to register any such right.

Research Activity: For the purposes of this Policy, Research is broadly defined as any gathering of Data, information and facts for the advancement of knowledge. The lifecycle of Research includes the planning and Research design stage, the period of funding for a funded project or the duration of the Research collaborations for those projects that do not receive external funding, and all activities that relate to the project during this time. This includes knowledge exchange and impact activities; the dissemination process, including reporting and publication (including Creative Commons and other such licensing); the archiving, future use, sharing and linking of Data; and the protecting and other future Research use of the outputs of Research.

Researcher: This Policy applies to all the following:

- All staff employed by the University (including academic, research and support staff) carrying out Research at, or on behalf of, the University (including those on a UEA contract / payroll but based elsewhere, for example at a Norwich Research Park (NRP) institution).
- All students (undergraduate, postgraduate taught, postgraduate research) undertaking Research and their supervisors (including students registered at UEA but based elsewhere, for example at an NRP or other partner institution). The use of Generative AI in the taught components of professional doctorates is covered by the Generative AI Policy for Teaching and Learning.
- Any persons with Honorary positions or Emeritus appointments, conducting Research at, or on behalf of, the University.
- Any other individuals carrying out Research at, or on behalf of, the University.

5. Risks for Researchers / Research Activity

Researchers must consider all risks that may be relevant to their Research that arise from the involvement of Generative AI.

Below is a non-exhaustive list of identified risks which, in complying with this Policy, are possible to mitigate against:

- Damaging academic integrity and Research integrity.
- Exposing Research results prior to publication or to any Intellectual Property protection being in place.
- Breaching funder terms and conditions where external funds are applied.
- Breaching third party confidentiality agreements.
- Breaching Intellectual Property restrictions.

- Breaching ethical standards.
- Harm to individuals.
- Unintended introduction of biases into Research analysis, affecting the scholarly record through Research outputs and publications including theses and dissertations.
- Factually incorrect assessment of Research analysis and results.
- Personal Data being used inappropriately, or being kept on servers outside of the UK.
- Sharing of Confidential, Special Category, Third Party, or UEA Business Critical Data (for example, anything related to results, Innovations and patents).
- Unintended or inadvertent sharing of AI generated Data with other organisations.
- Inappropriate reuse and misrepresentation of staff and student work, the Data collected or the Research results.
- Incorrect or inappropriate authorship status for AI generated Data used in publications.
- Incorrect referencing of the contribution of AI.
- Exposing Data that could be used to breach cyber security, hacking etc.
- Contravening UEA's insurance.
- Non-compliance with Data Protection legislation, the National Security and Investment Act 2021 or Export Control regulation.
- Detrimental effects on national / international collaborations and the University's global research reputation.

In line with UEA's insurance, Researchers "must take all reasonable precautions to prevent or diminish loss, destruction or damage or any occurrence or cease any activity which may give rise to liability" in order to ensure their activities are covered by the University's Insurers.

In respect of these considerations, the following governance and ethics approvals are required.

6. UEA's Current Generative AI Tool Landscape

Currently, UEA does not have a centrally supported Generative AI tool that is officially recommended, supported, or for which staff training is provided; but ITCS is working closely with relevant staff to move this forward. If you need to discuss this, contact ITCS in the first instance. In the meantime, ITCS have outlined the **steps** that are necessary to obtain approval of the proposed use of a Generative AI tool by the Information Compliance Team (to ensure compliance with Data Protection legislation) and ITCS (to approve the security of the tool) in support of this Policy.

ITCS issued notice of this approval process in their guide '*Harnessing the Power of Generative AI: A Guide for University Academic Staff*':

If the generative AI tool is approved, Researchers still need to be aware of the potential for inaccurate/biased outputs to be generated by the tool.

Note that while many external Generative AI tools offer basic functionalities for free, more advanced features often require a fee. There is no central UEA funding for this and any associated licenses.

7. Considerations for Using Generative AI

It is crucial to exercise caution and adopt responsible practices when utilising Generative AI tools. Researchers must be mindful of the following legal aspects in line with the UK GDPR and other laws and regulations, when employing Generative AI tools:

DATA PROTECTION

- **Privacy**: Generative AI tools may collect and process Personal Data, raising concerns about privacy. It is essential for Researchers to review the privacy policy of the Generative AI tool provider and the privacy settings of the tool to ensure compliance with relevant Data Protection regulations.
- **Data accuracy**: Researchers must take all reasonable steps to make sure that any Personal Data that is entered into a Generative AI tool, is not "incorrect or misleading as to any matter of fact" (refer to advice in section 8).
- **Transferring and / or accessing Personal Data outside of the UK**: Researchers must discuss entering Personal Data into a Generative AI tool outside the UK with the University's Information Compliance Team.
- **Data security**: Researchers should always check the security settings of the Generative AI tool.
- **Automated decision-making (such as algorithms) including profiling**: The UK GDPR has provisions on:
  - automated individual decision-making (making a decision solely by automated means without any human involvement); and.
  - profiling (automated processing of personal Data to evaluate certain things about an individual). Profiling can be part of an automated decision-making process.

  A key question for Researchers to ask when using Generative AI in the context of decision-making is whether the decision is wholly automated or not. The UK GDPR prohibits solely automated decisions that have legal or similarly significant effects on individuals, with certain exceptions.

A DPIA is required by law if you will input personal data where the processing of the personal data is likely to result in a high risk to the rights and freedoms of individual data subjects. Even if you are not inputting personal data, the University recommends that you consider

undertaking a DPIA screening when you are using a generative AI tool. For further advice, contact the Information Compliance Team.

INFORMATION SECURITY

- **Cybersecurity:** Generative AI tools may be susceptible to cyberattacks, potentially exposing sensitive information. Researchers must employ robust cybersecurity measures to protect Data and systems, and will need to check with ITCS that these measures are in place before using the Generative AI tool. For further advice, contact the Information Security Team.

INTELLECTUAL PROPERTY

- **Copyright and patents**: Generative AI tools may i) use Data / information / material and / or ii) generate content that infringes upon copyright laws. There are also considerations when using Generative AI tools for any Research that may be patentable. Researchers must carefully consider the Intellectual Property implications of using a Generative AI tool (refer to section 8 for more details.)

OTHER SIGNIFICANT CONSIDERATIONS

Researchers should also check the Generative AI providers' terms and conditions regarding **training of models**. As Generative AI models evolve, Generative AI providers are adapting their terms and conditions to allow them to retain information entered into their products for model training purposes. Researchers must scrutinise the terms and conditions of the Generative AI providers carefully to understand their rights and limitations. For detailed considerations linked to Intellectual Property refer to section 8.5.

Generative AI tools can inadvertently perpetuate or amplify societal **biases** due to biased training Data or algorithmic design. To minimise discrimination and ensure fairness, it is crucial for Researchers to mitigate against the Generative AI tool creating biases or discriminatory outcomes at the point of application by, for example, carefully checking the the quality of the Data for any biases, or their coding if they are building / developing a Generative AI tool.

Due to the large amounts of Data being processed by Generative AI tools, it is easy for Researchers to inadvertently use or reveal sensitive information hidden among anonymised Data in the tool. Researchers should be careful to only input the amount of anonymised Data they need for their Research purposes to reduce the likelihood of a '**linkage**' between datasets in the Generative AI tool, that could enable re-identification of anonymous Data records.

8. Requirements for Researchers

Researchers and their teams must apply caution in relation to the use of Generative AI tools within Research and to stay up to date with the policies, processes and guidance both from within UEA (including the *Guidelines on Good Practice in Research*, and the *Procedures for Dealing with Allegations of Misconduct in Research, University Primary Privacy Notices for Staff and Students*), the terms laid out by any external funders, external ethics and governance committees and all other relevant laws and regulations in regard to Generative AI.

Researchers must take full responsibility for the use of Generative AI tools in their Research and any Data / information / material they have entered into those tools.

The University strongly advises Researchers not to enter any Personal (including Special Category Personal Data), Confidential, Third Party, or UEA Business Critical, Data / information / material into a Generative AI tool until the general Data privacy and security aspects of Generative AI tools are more established. However, there may be exceptional circumstances where this is appropriate, and would need to be discussed on a case-by-case basis with the Information Compliance Team. The University also recommends no patentable Research is input into a Generative AI tool.

Researchers need to ensure the necessary permissions are in place for them to input any Data / information / material legally into the Generative AI tool. Researchers should only enter third party content, including copyrighted material, into a Generative AI tool when express permission is granted from the owner of that Intellectual Property, even if content is made available by licences such as Creative Commons.

Generative AI use must be declared and clearly explained. Researchers must act with integrity and responsibility to ensure the originality, validity, reliability and integrity of outputs created or modified by Generative AI tools. This includes ensuring funding applications, participant information, Research results, reports in relation to those results, publications and future innovative uses of said results contain accurate information as to the creation and use of the Research and do not contain false or misleading information. Further details are provided below:

8.1 Funding Applications

Funders advise Researchers and their teams to use caution in relation to the use of Generative AI tools in developing their funding applications including with collaborators and any other laws that apply (for example, international laws). The Research Funders Policy Group statement on Generative AI tools can be read here.

8.2 Ethics Reviews

8.2.1 UEA ethics review

The UREC requires that currently all projects undertaken by UEA staff and students or involving UEA that involve the use of Generative AI tools or that are building / developing a Generative AI tool must seek ethics approval before starting that Research. The exception is when using a Generative AI tool to undertake a literature review. This requirement has been put in place while the University is developing its knowledge and expertise of the many aspects of Generative AI relating to Research. The involvement of a Generative AI tool in a project, purely by way of gathering information about that tool, but does not actually use a Generative AI tool, does not necessitate an ethics review for the Generative AI aspect of the Research (the normal UEA ethics review requirements will apply here).

Currently, the University strongly advises that Researchers do not enter any Personal including Special category Personal Data), Confidential, Third Party, or UEA Business Critical Data / information / material into a Generative AI tool until the general Data privacy and security aspects of Generative AI tools are more established.

Ethical and societal risks of Generative AI Research can manifest at different stages of Research. Generative AI Research has therefore moved the singular moment of ethics approval at UEA to a dynamic ethics review process, potentially requiring multiple amendment requests from the applicant(s). UREC has agreed that currently, the maximum length of ethics approval for a study involving a Generative AI tool is one year in the first instance.

Further information is available in the University's Ethics Guidance Note on 'UEA Ethics Review of Research Involving Generative AI Tools'.

Prior to seeking UEA ethics review, Researchers must have the ITCS approval in place for the Generative AI tool they are planning to use (refer to section 6). As part of this, Researchers will need to have conducted a DPIA for the involvement of that Generative AI tool (refer to section 7). Discussions with the UEA Information Compliance Team and / or the UEA Intellectual Property Team (refer to section 8.5) to discuss any potential Intellectual Property infringements / issues must also have taken place prior to seeking UEA ethics review.

Researchers therefore need to take into account the time to undertake these existing UEA governance processes, as well as plan for the time it takes to complete the UEA ethics review process. The latter will take a minimum of 10 working days from the UEA Ethics Review Committee receiving the ethics application, or from the Ethics Review Committee's ethics application deadline, or from the date of the Ethics Review Committee's scheduled meeting where the application will be reviewed. It may take longer if the Ethics Review Committee requests amendments to the application before ethics approval can be given.

8.2.2 NHS ethics review

Researchers planning to involve Generative AI as part of their NHS health Research or social care study should refer to the NHS document 'Understanding Regulations of AI and Digital Technology in Health and Social Care' and read the University's Ethics Guidance Note on NHS Health and Social Care Research for advice on how to do so appropriately.

8.3 Data and Publications for Research

Researchers must detail any use of Generative AI in collecting, analysing or otherwise processing Research Data in a Data management plan relating to the Research. Researchers should explain the reasons for using a particular Generative AI tool(s), including an evaluation of the risks associated with using that tool.

Researchers must include information in the documentation and / or metadata that accompanies any Data that have been generated using processes involving Generative AI tools. Where practicable this should include naming the specific model(s) and software (including which version) used, when the tool was used, and specifying how content was generated, such as listing the prompt(s) used. This information must also be included in any publications or other outputs that report on such Data.

8.3.1 Research publications

Authors are accountable for the accuracy, integrity and originality of their Research outputs, such as publications, including any use of Generative AI. Generative AI use must not breach the University Policy on Plagiarism and Collusion, and Research outputs must be the authors' own work, not presenting others' work or output from Generative AI tools without appropriate citation and referencing. Individual journals and publishers may have more specific requirements or guidelines relating to reporting the use of Generative AI and these must be followed where applicable. l

Generative AI does not meet the UEA determination for authorship, given the need for accountability, and so Generative AI tools must not be listed as an author on any Research publication referencing a UEA Researcher.

8.3.2 Research degree theses and reports

All Research degree theses are submitted electronically and are made available in the public domain via the UEA Digital Repository and the British Library EThOS Service, unless a postgraduate Researcher requests that access to the thesis is temporarily restricted (an 'embargo'). Thus, the above requirements for Research publications will apply to the use of Generative AI in the production of the thesis (or equivalent). Postgraduate Researchers should correctly cite the AI tools that they have used (see Cite Them Right for further guidance) and provide a screenshot of the full thread of the cited AI interactions in an

Appendix to the thesis. Generative AI must not be used as support in an oral (viva) examination.

The requirements for Research publications will also apply to the use of Generative AI in the formally assessed work for Research degrees (including probationary review reports), where Generative AI is used for formative tasks (for example, drafts of work, presentations or written updates for the supervisory team), and for formal progress review or Research reports required by the University, hosting institution or sponsor.

They will not apply to assessed work for the taught components of the professional doctorates, or any undergraduate or postgraduate taught modules undertaken by postgraduate Researchers as part of their Research degree programme, which are covered by the Generative AI Policy for Teaching and Learning.

If postgraduate Researchers are in doubt about what is or is not acceptable use, they should seek advice as soon as possible from their supervisory team.

8.3.2 Research Data and repositories

Researchers should specify the terms for reuse for any Data that they deposit in a repository or Data centre and consider including explicit information about how the Data can be used by Generative AI tools. This must be done in accordance with the terms of any permissions granted.

When depositing Data in an external Data centre or repository, Researchers should follow the guidelines of that centre / repository for acknowledging the use of Generative AI tools. Use of a Generative AI tool must be given proper acknowledgement, but a Generative AI tool should only be credited as the Creator of a dataset if explicitly required by the repository.

8.4 Using Repository Data as an Input Source in Generative AI Tools

Researchers using third party material as input into any Generative AI tool must abide by any conditions for reuse specified for that material by the owner of the material (and see also Intellectual Property considerations covered in section 8.5). Where Data have been sourced from a repository or Data centre, this includes following any guidelines provided by that repository / centre on how Data must be used and acknowledged.

Researchers using third party material whose terms for reuse are governed by permissions given by Research participants must make sure that the reuse of the material is in line with the original consent given by the participants, before using this material with a Generative AI tool.

8.5 Intellectual Property Rights (including Copyright)

In common with many emerging technologies, the Intellectual Property environment and legal implications around the use of AI, is developing. There are Intellectual Property considerations when using Generative AI because entering content into a Generative AI, tool including Confidential or third party-owned information, could be considered as tantamount to publicly releasing that information. Generative AI tools, such as ChatGPT, may retain the rights to use any content entered to train their model. Not only may developers of that tool have full access to entered content, AI model outputs in the future may include content that has been used to train the tool. Intellectual Property, including copyright, can only be used to train an AI model if there is consent from the rights holder or if an exemption to copyright applies. However, due to the ongoing emergence of new Generative AI tools there is no clear-cut guidance on what counts as an exemption. For example, one of the exemptions to copyright law in the UK is that individuals are allowed to use limited extracts of copyrighted material for non-commercial Research or private study. However, if that copyright extract is entered into a Generative AI tool, the company developing that tool may be getting commercial benefit from training the model with user content, such as charging a subscription fee to users. Therefore, the use of that copyrighted material, although for non-commercial Research, falls outside of "fair dealing" which is the legal term used to establish whether a use of copyright material is lawful or whether it infringes copyright. The user terms of service for each Generative AI tool should outline what rights are granted to developers regarding any content entered into that tool.

8.5.1 Using third party Intellectual Property in Generative AI tools, including copyright licensed under Creative Commons

Researchers should only enter third party content, including copyrighted material, into a Generative AI tool when express permission is granted from the owner of that Intellectual Property, even if content is made available by licences such as Creative Commons. This should be in the form of contemporaneous evidence, such as in an email or as part of a contract such as a licence. Failure to do so could result in infringement of third party Intellectual Property rights and leave UEA vulnerable to fees or lawsuits.

Because Generative AI tools do not currently provide any acknowledgement of the source Data, inputting third party Creative Commons licensed material would require the copyright owner's express permission to enter the Data into a Generative AI tool. The only Creative Commons licence where express permission is not required is the CC0 licence where the copyright owner has waived their rights to the work.

8.5.2 Using UEA Intellectual Property in Generative AI tools

Wherever possible, Researchers should seek to avoid entering large quantities of Intellectual Property, including copyrighted material, generated from Research into Generative AI tools. This is particularly important for any Intellectual Property that is unpublished, commercially

sensitive or potentially patentable. Some Generative AI tools allow users to "opt out" of giving permission for content to be used to train the model. Wherever this is an option, Researchers should choose to opt out before entering any content into the tool.

8.5.2.1 Patentable Research

UEA has an obligation to funders of Research, including UKRI, to file and maintain patents arising from Research where there is a commercial or beneficial reason to do so. One of the requirements of patentability is that the Innovation is novel and not made available in the public domain in any way prior to filing the patent. Therefore, entering patentable subject matter into a Generative AI tool could inhibit future patent filings. If Researchers have or will be generating any Research that may contain patentable subject matter, they should not enter this content into a Generative AI tool until advice has been sought from UEA's Intellectual Property Team.

8.5.3 Third party using UEA Intellectual Property with a Generative AI tool

If a Researcher becomes aware of a third party who would like to use UEA-owned Intellectual Property in a Generative AI tool or suspect a third party has entered UEA-owned Intellectual Property, whether Intellectual Property arising from Research or otherwise, without permission, the Researcher should contact the Intellectual Property Team.

8.5.4 UEA built Generative AI tools

Researchers looking to build Generative AI tools (or customise another's) that will be made available in the public domain should liaise with the Intellectual Property Team who can advise on licence terms for end users. Any novel Generative AI tool created / developed at UEA must be compliant with this Policy including undertaking a DPIA (refer to section 7) and ethics approval (refer to section 8).

8.5.5 Who to contact regarding Intellectual Property and Generative AI tools

Should a Researcher have any questions regarding third party copyright and Intellectual Property, contact the Information Compliance Team. Should they have any questions regarding UEA copyright and Intellectual Property, contact the Intellectual Property Team.

8.6 Use of Generative AI in Innovation activity

Any Researchers using Generative AI for any Innovation activity (for the definition of Innovation activity refer to section 3) should take into consideration the following:

8.6.1 Third party permissions

Researchers working with third parties on Innovation activity should seek express permission from third parties before using any of their content in a Generative AI tool. This permission must be documented as described in section 8.5.1.

8.6.2 Licensing UEA Intellectual Property to third parties

Researchers who are working with UEA's Intellectual Property Team to license UEA Intellectual Property to third parties should consider if they would be happy for this Intellectual Property to be used by that third party in a Generative AI tool, given the general considerations outlined in section 8.5 and more specifically section 8.5.2. The Intellectual Property Team may recommend amending the licence contract to prohibit the licensee from using licensed content in a Generative AI tool.

Any third party using UEA copyrighted material available under a Creative Commons licence needs express permission from UEA to use that material in a Generative AI tool; failure to do so would result in the third party breaching the terms of the Creative Commons licence (refer to section 8.5.1).

8.6.3 Transparency

As with any Research activity, any use of Generative AI in any Innovation activity must be declared and clearly explained to any third party involved in that Innovation, in line with section 8.3.

8.6.4 UEA spin-out companies

Any company that has been spun-out from UEA, whether related to Research or not, is a separate legal entity responsible for its own business affairs. However, UEA spin-outs using or developing Generative AI tools should align their use with the University's five principles of good Research practise of honesty, rigour, transparency and open communication, care and respect, and accountability, and where possible align with this Policy.

9. Actions UEA May Take if AI Requirements are Breached

Researchers must note that content produced by Generative AI tools (including ChatGPT), does not represent original work. Using Generative AI without appropriate declaration, acknowledgement and / or notification would be considered a form of Research misconduct. As detailed above (refer to section 8.3) Researchers must keep careful records of how they have used Generative AI in their Research and make sure that this use of Generative AI and the specific tool used is explicitly declared. Fully documented methods and results may have to be shown if there is any challenge to the use of Generative AI in your Research that has not been declared. Where there is a claim that there has been a potential breach of the usage of Generative AI, UEA shall follow its Research misconduct policies and processes for any determination.

10. Sustainability

Researchers should always consider the sustainability of their Research in line with the UEA Environmental Sustainability Policy. Globally there are both positive and negative impacts of AI on sustainability development goals. These are clearly articulated in the Nature article 'The Role of Artificial Intelligence in Achieving the Sustainable Development Goals'.