

# CIPFA Generative Artificial Intelligence (AI) Policy and Guidance

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## Purpose

The Chartered Institute of Public Finance and Accountancy (CIPFA) is the global professional body for public finance professionals and recognises practitioners at every level, from those starting out in their career to those innovating and leading the profession. CIPFA organises, sets and runs a range of professional assessments to enable our members to demonstrate high levels of competence in the field of public finance.

This document forms part of the regulatory structure intended to support the integrity of the assessments and reputation of our members and the organisation and ensure the value of qualifications awarded to students at the point of qualification and over time is in line with sector-recognised standards.

The purpose of this policy is to establish guidelines for the safe and ethical use of Generative Artificial Intelligence (AI) in assessments at both a formative and summative level. This policy ensures that the use of AI technologies maintains fairness, integrity, and confidentiality, while providing accurate and reliable assessment outcomes.

## Scope

This policy applies to all ATPs and students involved in either setting, processing or taking assessments.

Ultimately, the acceptable use of generative AI in assessments (including live invigilated exams and controlled coursework assessments) should align with the principles of fairness, transparency, and academic integrity.

ATPs, employers and training providers should establish clear guidelines and policies to guide the responsible integration of AI in the formative assessment process without compromising the integrity of any summative assessment.

This includes all levels of qualification, assessments and End Point Assessments operated by CIPFA.

All Students are covered by this policy and process.

## Guidelines

### Our rules

Cheating undermines the integrity of the educational system and debilitates the learning process. It is important to approach assessments with honesty, integrity, and a commitment to academic excellence.

Below are the guidelines that we expect students to abide by and the role of the educator in preventing generative AI malpractice.

### Summative assessment (CIPFA controlled assessment and live exams)

CIPFA **do not** permit the use of generative AI in the production of summative coursework or case studies unless used only as a clearly referenced source in the same way that other sources are used and referenced.

#### ***AI is not permitted in any live exam situations.***

Any Student found to have committed malpractice related to the incorrect use of generative AI will be considered by the Examination Panel in line with the Assessment Offences Policy.

### Formative assessment (on-programme learning, preparation and development of themes)

If training providers wish to permit the use of generative AI in the production of formative learning and assessment, for example when Students are creating essays, developing themes or preparing for summative assessment they must ensure the following:

- a) Students must be informed in advance about any permitted use of generative AI technologies in formative assessment, including the specific tasks where AI can be used and how.
- b) The AI systems used for assessments should be regularly monitored to minimise bias and discrimination.
- c) Thorough testing and validation should be conducted by training providers to ensure the AI system does not unfairly advantage or disadvantage any particular group based on factors such as race, gender, or socioeconomic status.
- d) There should be appropriate human oversight and involvement throughout the entire process of using AI in formative assessment.
- e) ATPs are responsible for reviewing and validating the results generated by the AI system, ensuring the accuracy and fairness of the assessment outcomes generated by students.

### Guidance for students and educators

When students are tasked with creating assessments and wish to utilise AI, it is important to ensure that AI is used in an ethical and responsible manner.

Here are some guidelines for students for using AI appropriately when creating formative coursework assessments:

- Clearly understand the purpose of using AI in your formative assessment. Ensure that it aligns with the learning objectives and instructional goals of the assessment.
- Use AI as a tool, not a substitute, e.g., to support the assessment creation process, rather than relying on its generated content or answers. Utilise AI to

gather information, analyse data, or provide insights that can inform the design and structure of your assessment.

- Verify and validate AI outputs - As a student, critically evaluate the outputs generated by AI.
- Cross-check the results, analyse the underlying data, and ensure that the AI-generated content aligns with the subject matter and learning objectives.
- Ensure academic integrity - maintain the integrity of the information by avoiding any form of plagiarism or unethical use of AI-generated content by attributing sources appropriately, cite references, and give credit to any AI tools or resources used in the creation process.
- While using AI, exercise critical thinking skills to evaluate the relevance, accuracy, and appropriateness of the AI-generated information or suggestions.
- Apply your own knowledge and expertise to make informed decisions about the generated content.
- Emphasise effort by focusing on incorporating elements in the assessment that require the student's individual effort, analysis, and understanding.
- Seek educator guidance by engaging with educators to discuss your approach to using AI in assessment creation.
- Seek their feedback and advice to ensure that your use of AI aligns with the academic standards and expectations set for the assessment.

Remember, the goal is to leverage AI as a tool to enhance the assessment creation process, support learning outcomes, and demonstrate your understanding of the subject matter. By using AI responsibly and ethically, you can create formative assessments that are authentic, informative, and reflective of your own knowledge and skills.

## Malpractice when using AI

Malpractice when using AI to conduct assessments and exams refers to any unethical or improper behavior that violates the principles of fairness, integrity, or confidentiality in the use of AI technologies.

It involves actions that undermine the accuracy, reliability, or validity of the assessment process, potentially leading to unfair advantages or disadvantages for individuals or groups.

Examples of malpractice in the context of AI assessments and exams include but are not exhaustive:

- Cheating or collusion: Intentionally manipulating or sharing AI-generated answers or information during assessment to gain an unfair advantage.
- Tampering with AI systems: Unauthorised access, modification, or manipulation of AI algorithms, data, or settings to alter assessment outcomes or distort results.

- Unauthorised use of AI assistance: Using AI technologies or tools that are not permitted or approved for the assessment, such as using unauthorised AI-powered devices or software during live or controlled assessment.
- Plagiarism: Copying or using someone else's AI-generated work or answers without proper attribution or acknowledgment, presenting it as one's own.
- Impersonation: Falsely representing oneself or others during AI assessments, such as having someone else take the assessment on behalf of the actual participant.
- Data manipulation: Intentionally providing misleading or falsified data or information to AI systems during assessments to influence the results.
- Unfair bias: Designing or using AI systems that exhibit unfair bias or discrimination against certain individuals or groups based on characteristics such as race, gender, or socioeconomic status.
- Unauthorised access to assessment content: Gaining unauthorised access to exam or assessment content, questions, or answers through hacking, unauthorised disclosure, or other illicit means.
- Breach of confidentiality: Unauthorised sharing, dissemination, or publication of assessment content, questions, answers, or any other confidential information related to the assessment process.

It is essential for ATPs, organisations, and individuals involved in using AI for assessments and exams to establish robust policies, guidelines, and security measures to prevent and address instances of malpractice effectively.

All suspicion of an authorised use of AI will be investigated under the process outlined in the Academic Offences Policy.

## Use of AI in marking of EPA

CIPFA will not use any AI in the marking of summative student assessment presented at EPA.

Condition J1.8 of the Ofqual General Conditions of Recognition define 'Assessor' as *"A person who undertakes marking or the review of marking. This involves using a particular set of criteria to make judgements as to the level of attainment a Learner has demonstrated in an assessment"*.

The definition is clear that an assessor must be a person who is able to make *judgements*. AI as a sole marker would not fall within this definition.

Ofqual state in a letter of 11 September 2023

*"As outlined, the use of AI as a sole marker of students' work is not currently permitted under the GCR. However, as the opportunities and risks continue to be explored and a wider evidence base is created, Ofqual will keep the role of AI as a sole marker under review"*.

CIPFA do not control preparatory formative assessment for EPA undertaken by our ATPs, but we strongly advise that you **do not** use AI to mark student work since there is a risk that they will not be prepared sufficiently for summative EPA, as the use of AI for marking, may risk the validity and accuracy of the process and lead to unreliability of final outcomes at EPA.

## Review

This policy shall be reviewed periodically to ensure its continued relevance and effectiveness, taking into account exponential advancements in AI technologies and changes in regulatory frameworks.

## Associated documents

- a) Malpractice and Maladministration Policy
- b) Assessment Offences Investigation Policy and Process

## Policy details

|                    |                                       |
|--------------------|---------------------------------------|
| Policy owner       | Head of Qualifications and Membership |
| Version            | 1.1                                   |
| Update             | New policy                            |
| Approval           | SMB 24 October 2023                   |
| Policy review date | September 2024                        |

## Regulatory references

| <b>Ofqual General Conditions of Recognition</b>      |
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| Condition A6: Identification and management of risks |
| Condition A7: Management of incidents                |
| Condition A8: Malpractice and maladministration      |