Appendix A

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South & East Lincolnshire Councils Partnership

Information Security Policy
Artificial Intelligence

May 2024

1. Document Control

Version Control

Issue Number	Issue Author	Issue Date	Reason for Issue
1.0	J Wright/C Gooch		Draft and release of new policy
1.1	C Gooch	22-04-2024	PFH Feedback and Review

Approval Control

Issue Number	Approval Authority	Names	Approval Date	Due for Review
1.0	ELDC/BBC/SHDC	James Gilbert	May 24	May 2025
1.1	SLT	Senior Leadership Team	May 24	May 2025

Policy Governance

Responsible	Business Intelligence and Change Manager
Accountable	Assistant Director Corporate (ELDC/BBC/SHDC)
Consulted	Data Protection Officers, Head of ICT and Digital, ICT Security Lead, Members Working Groups, PFHs
Informed	Employees/Members

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2. Policy Overview

Policy Aim

2.1 The aim of this Policy is to define the broad mechanisms and roles through which the Organisation will be able to demonstrate accountability and compliance with regards to the use of Artificial Intelligence – Artificial Intelligence (AI) is defined as the science of making machines that can think like humans. It can do things that are considered "smart." AI technology can process large amounts of data in ways, unlike humans. The goal for AI is to be able to do things such as recognize patterns, make decisions, and judge like humans.

Introduction

2.2 This is a joint Artificial Intelligence Policy. Where “The Organisation” is referenced, this refers to either Public Sector Partnership Services or its Client Council’s South Holland District Council, East Lindsey District Council or Boston Borough Council.

2.3 The purpose of this policy document is to provide a framework for the use of Generative Artificial Intelligence Large Language Models (GenAI) such as ChatGPT, CoPilot, Bard, Bing or other similar tools by council employees, contractors, developers, vendors, temporary staff, consultants or other third parties, hereinafter referred to as ‘users’.

- This policy is designed to ensure that the use of GenAI is ethical, complies with all applicable laws, regulations, and council policies, and complements the council’s existing information and security policies.
- The pace of development and application of GenAI is such that this policy will be in a constant state of development.

2.4 This policy applies to Councillors, employees, contractors, consultants, temporaries, and other workers at the Organisation, including all personnel affiliated with third parties.

Policy Commitment

2.5 Artificial Intelligence has become an umbrella term for the use of Machine Learning (ML), Robotics (RPA), Large Language Models (LLM), Intelligent Automation (IA) and Artificial Intelligence (AI). This policy underpins the use of any such technology.

2.6 The rise of Artificial Intelligence has the ability to transform the way we work, with the ability to automate tasks, improve decision making and provide valuable insights into our operations. However, the use of AI presents new challenges. Its raises technical and ethical questions on its use and brings to the forefront again the subject of data and information sharing.

2.7 This policy is to ensure all colleagues use AI in a secure, responsible, and confidential manner.

Responsibilities

Role	Responsibility
The Organisation's Chief Executive	Supporting Company/Authority compliance with the policy
Senior Management Team / SIRO	Ensuring the policy adheres to statutory legislation & guidance and that it is embedded in the workforce and ensuring managers and Team Leaders show compliance with the policy and it is understood.
Procurement Team	Ensuring that due diligence to policy alignment is made as point of procuring a solution
Managers & Team Leaders	Understanding and complying with the policy, ensuring it is available to team members, and advising on it. Ensuring Information Asset Registers are updated as necessary
All Staff/Members	Understanding and complying with the policy.

3. Scope

3.1 This policy applies to all users with access to Artificial Intelligence (AI) or any associated technology discussed in the previous section, whether through council-owned devices or BYOD (bring your own device) in pursuit of required activities.

3.2 Use of AI must be in a manner that promotes fairness and avoids bias to prevent discrimination and promote equal treatment and be in such a way as to contribute positively to the organisation's goals and values.

3.3 Users may use AI for work-related purposes subject to adherence to the following policy. This includes tasks such as generating text or content for reports, emails, presentations, images, and customer service communications.

3.4 Particular attention should be given to Governance, Vendor practices, Copyright, Accuracy, Confidentiality, Disclosure, and Integration with other tools.

Governance

3.5. To ensure data protection by design, before accessing AI technology, users must first request advice and guidance from the Organisation's ICT and Data Protection teams.

3.5.1 The ICT and Data protection teams will review the tools security features, terms of service and privacy policy. This information will allow the SIRO to make a balanced risk-based decision on whether to adopt a solution.

3.5.2 The requestor should have clear documentation detailing their intention to use, the reason for use, and the expected information to be input as well as the generated output and distribution of content.

3.5.3 The use of AI is likely to require a DPIA to be completed. Please refer to the relevant Data Protection Officer.

Vendors

3.6 Any use of AI technology in pursuit of the Organisation's activities should be done with full acknowledgement of the policies, practices, terms, and conditions of developers/vendors.

Copyright

3.7 Users must adhere to copyright laws when utilising AI, especially when using LLM's. It is prohibited to use any AI to generate content that infringes upon the intellectual property rights of others, including but not limited to copyrighted material. If a user is unsure whether a particular use of AI constitutes copyright infringement, they should contact the Data Protection Officer or the relevant legal team.

Accuracy

3.8 One of the incentives of automated decision-making through artificial intelligence (AI) and machine learning (ML) lies in their ability to generate decisions that are consistent, easily traceable, and replicable, marking a significant advancement over the variability inherent in human judgment. However, this technological promise is accompanied by a critical caveat: the potential for these systems to perpetuate or even exacerbate biases, resulting in discriminatory outcomes. The essence of ensuring fair use of AI while acknowledging its inherent biases rests on understanding that while AI/ML systems hold the potential to revolutionise decision-making processes by eliminating human error and subjectivity, they are not free from the prejudices existing in the data they are trained on or the algorithms that drive them. These biases, if unchecked, can lead to decisions that unfairly disadvantage certain groups or individuals, thereby underscoring the importance of vigilance and ethical responsibility in the deployment of AI technologies. It is paramount that as we harness the efficiencies and accuracies offered by AI/ML systems, we also implement rigorous measures to identify, understand, and mitigate the biases within them to ensure that the advancements they bring about are equitably accessible and beneficial to all.

3.8.1 All information generated by AI must be reviewed and edited for accuracy prior to use. Users of AI are responsible for reviewing output and are accountable for ensuring the accuracy of AI generated output before use/release.

3.8.2 If a user has any doubt about the accuracy of information generated by AI, they should not use AI.

Confidentiality

3.9 Confidential, proprietary, protected, and personal information must not be entered into a publicly available AI tool, as information may enter the public domain.

3.9.1 Confidential, proprietary, protected, and personal information must not be entered into any available AI tool without appropriate approval from the relevant Head of Service. This includes data relating to customers, employees, or partners. Users must follow all applicable data privacy laws and organisational policies when using AI. This approval should be logged in the Information Asset Register.

3.9.2 Users must not give access to AI tools outside the Organisation without prior approval from the relevant Head of Service

3.9.3 If a user has any doubt about the confidentiality of information, they should not use AI.

Ethical Use

3.10 AI must be used ethically and in compliance with all applicable legislation, regulations, and organisational policies. Users must not use AI to generate content that is discriminatory, offensive, or inappropriate.

3.11 If there are any doubts about the appropriateness of using AI in a particular situation, users should consult with their line manager or the Data Protection Officer.

Disclosure

3.12 Content produced via AI must be identified and disclosed as containing AI-generated information.

Footnote example: ***Note:*** *This document contains content generated by Artificial Intelligence (AI). AI generated content has been reviewed by the author for accuracy and edited/revised where necessary. The author takes responsibility for this content.*

Security

3.13 Users must apply the same security best practices we use for all organisational and customer data. This includes using strong passwords, keeping software up to date and following data retention and disposal policies.

Integration with other tools

3.14 API and plugin tools enable access to AI and extended functionality for other services to improve automation and productivity outputs.

3.14.1 Users should discuss integration of API/Plugin with the ICT Department who will follow OpenAI's Safety Best Practices to consider its appropriateness.

3.14.2 API and plugin tools must be rigorously tested for:

- Moderation – to ensure the model properly handles hate, discriminatory, threatening, etc. inputs appropriately.
- Factual responses – provide a ground of truth for the API and review responses accordingly.
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4. Risks

4.1 Use of AI carry inherent risks. A comprehensive risk assessment should be conducted for any project or process where use of AI is proposed. The risk assessment should consider potential impacts including legal compliance; bias and discrimination; security (including technical protections and security certifications); and data sovereignty and protection.

Legal compliance

4.2 Data entered into AI may enter the public domain. This can release non-public information and breach regulatory requirements, customer, or vendor contracts, or compromise intellectual property.

4.2.1 Any release of private/personal information without the authorisation of the information's owner could result in a breach of relevant data protection laws.

4.2.2 Use of AI to compile content may also infringe on regulations for the protection of intellectual property rights, specifically the use of AI to reattribute personal data without lawful basis is an offence under DPA 2018 (section 171(1))

4.2.3 Users should ensure that their use of any AI complies with all applicable laws and regulations and with council policies.

Bias and discrimination

4.3 AI may make use of and generate biased, discriminatory, or offensive content.

4.3.1 Users should use AI responsibly and ethically, in compliance with Organisation's policies and applicable laws and regulations.

Security

4.4 AI may store sensitive data and information, which could be at risk of being breached or hacked.

4.4.1 The Organisation must assess technical protections and security certification of AI before use.

4.4.2 If a user has any doubt about the security of information input into AI, they should not use AI.

Data sovereignty and protection

4.5 While an AI platform may be hosted internationally, under data sovereignty rules information created or collected in the originating country will remain under jurisdiction of that country's laws. The reverse also applies. If information is sourced from AI hosted overseas, the laws of the source country regarding its use and access may apply, for this purpose we discourage using AI platforms that are not UK hosted.

4.6 AI service providers should be assessed for data sovereignty practice by any organisation wishing to use their AI.

5. Compliance

Record keeping for Compliance.

5.1 Records of requests to use any kind of AI must be kept, along with guidance issued. This should be available for reference by the ICT security team and the Information Governance team.

5.2 Any use of AI should have a clear Information Owner that has accountability for the use of that AI tool.

5.3 The decommissioning of any AI tool should be recorded in a register, identifying what assurances have been made in respect to the disposal of information that may have been collected.

5.4 Transparency arrangements should be in place for any use of AI where the processing affects or uses personal data.

5.5 Changes to the register are reported regularly to the Senior Leadership Team and/or ICT Strategy Board.

6. Review

6.1 It is recommended that this Policy be reviewed in one year initially with a further review every 3 years.

7. Policy Compliance

7.1 If any user is found to have breached this policy, they will be subject to the Organisation's disciplinary procedure. If a criminal offence is considered to have been committed further action may be taken to assist in the prosecution of the offender(s).

7.1.1 If you do not understand the implications of this policy or how it may apply to you, seek advice from the ICT Department.

8. Related Policies

Data Protection Standard

Employers Code of Conduct

Employers Disciplinary Policy