Guidelines for the Use of AI in University Operations at Tokyo University of Foreign Studies

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Approved by the TUFS Steering Committee

0. Purpose

With the advent of generative AI, the use of artificial intelligence (AI) has become embedded in social life. Multiple guidelines regarding AI use have already been published (see *References and Materials*). The Guidelines presented here, while referencing the already-published materials, are formulated from the viewpoint of TUFS faculty and staff members, not from the viewpoint of AI developers, aiming to provide principles and policies for the use of AI in the workplace.

1. Scope

The core part of the Guidelines consists of the principles (Section 4) and the policies (Section 5) for AI use. The principles for AI use represent the basic concepts generally applicable to AI use, while the policies for AI use indicate specific policies regarding the use of generative AI for work at our university. The Guidelines are, in terms of principles, positioned higher than other AI utilization guidelines including existing and new guidelines at TUFS, in the education and research fields, and in terms of policies, they complement one another as guidelines for AI use in the workplace.

In addition, the Guidelines overlap with our university's guidelines on information ethics and information security in parts, but they specifically focus on AI use. The information ethics and information security guidelines should be referenced, as necessary (see Section 6).

2. What is AI?

The term AI, or Artificial Intelligence, was first used in 1956. It refers to technology that mimics human intelligence to achieve abilities such as learning, recognition, reasoning, and decision making, and the reality of AI has changed over time. With the growth of big data due to the advancement of the Internet since the 1990s, AI machine learning technology improved in the 2010s, leading to a dramatic increase in AI capabilities. In the 2020s, AI has become rapidly integrated into social life with the emergence of generative AI tools that form text, images, and other data in response to input prompts. The Guidelines, unless specifically limited to generative AI, refer to various forms of AI technology including generative AI, used for university work, as "AI".

3. Fundamental Concepts regarding the Use of Generative AI

AI will undoubtedly enhance convenience and productivity in our lives and is expected to be used more actively in the future. However, the constantly advancing AI technology may introduce new risks. Faculty and staff members of our university are expected to be aware of the risks associated with the use of AI and use it at their own discretion, maintaining high ethical standards.

With generative AI in particular, its process from learning data to content generation is opaque, so careful handling of AI-generated results is required. In generative AI use in the workplace, responsibility for its use and outputs may extend to not only users but also supervisors. Therefore, users should use AI tools appropriately and effectively, paying constant attention to the latest information and referring to the Guidelines and other related guidelines.

4. Considerations regarding Basic Principles When Using AI

Many guidelines already outline basic principles for AI from the perspective of AI ethical principles. Those basic principles can be generally summarized into the following eight principles from the user's perspective. The eight principles and their significance from the user's perspective are explained as follows.

- 1. Respect for human beings: AI use must not infringe on fundamental human rights and human dignity.
- 2. Ensuring Diversity and Inclusion: When using AI, ensure that social diversity is respected and people with diverse backgrounds and values are included.
- 3. Sustainability: The use of AI should contribute to the sustainability of society.
- 4. Human judgment involvement and determination: The appropriateness of judgments by AI must be ultimately determined by humans.
- 5. Safety and security: Consideration should be given to ensure that the use of AI does not cause physical harm to humans, lives, or property (including intellectual property rights). Additionally, attention should be paid to the confidentiality, safety, and availability of information managed by AI, as well as the robustness and reliability of AI systems.
- 6. Respect for privacy: When using AI, consider that AI must not infringe on the privacy of users and others.
- 7. Fairness: When using AI, ensure to avoid unfair discrimination, with the recognition that the data used to train AI is susceptible to bias.
- 8. Transparency and Accountability: When using AI, users must be able to explain the fact that AI was used, the data input and output, as necessary.

5. Specific Policies for the Use of Generative AI

The following are guidelines and applicable principles for typical cases, based on the assumption of the

use of generative AI, which are regarded as specific policies regarding the use of AI in the workplace. Since it is not possible to cover all cases, users are expected to make decisions based on continually reviewing the principles.

1) Generative AI Data Input

There is a risk that AI systems may be trained on data that is input, meaning the AI-generated results may contain information from the input data and may be exposed to a third party. The Digital Agency's Council for the Promotion of a Digital Society has announced an agreement that contract-based services (including ChatGPT generative AI) cannot be used when handling confidential information (see Section 6).

The following information should be handled with care. [Principle 5 and 6]

- · Personal information (name, address, student ID number, etc.)
- · Specified personal information (My Number)
- Sensitive information
- Information that should be treated with care
- · Information protected by intellectual property rights (copyrights, trademarks, design rights, etc.)
- Confidential information of an organization (e.g., internal documents of an organization, information under confidentiality agreements)

2) Generative AI Data Output

- · Checking for hallucinations
 - AI-generated results may contain information that is factually incorrect or that does not exist in reality. This phenomenon is called "hallucination". Users are always responsible for verifying the accuracy of the generated results. [Principles 4 and 8]
- · Checking for biased information
 - Training data of AI systems may contain biased or discriminatory viewpoints from a particular perspective. The bias may be reflected in the generated results. Users are always responsible for verifying the fairness of the results. [Principles 1, 2, 4, 7, and 8]
- Checking for Rights Infringements
 Users are always responsible for confirming that results do not infringe on intellectual property rights
 (copyrights, trademarks, design rights, etc.), or do not defame individuals or organizations. Using image-generating AI is particularly risky regarding infringing on intellectual property rights.

3) Confirming AI Service Policies

In addition to legal restrictions, the use of AI may be subject to service policy restrictions. Users are expected to confirm both the service policy and the laws and regulations before use. [Principle 5 and 6]

- Having AI tools perform tasks that should only be performed by qualified individuals, such as lawyers and tax accountants, may be against laws or service policies.
- When using services provided in the cloud, data including personal and confidential organization

information acquired by AI may be saved on servers located in overseas countries, or the laws and regulations of those countries may apply to the handling of the data. Considerations about those risks should be given when deciding whether to use the services.

- When using AI-generated results, users should also check the service policy to ensure they do not violate the policy, in addition to the items in the previous section.

6. Further Reference Guidelines

For the policies on the University's personal information protection and information security, see below:

- Personal Information Protection Policy: https://www.tufs.ac.jp/abouttufs/public_info/privacy/
- Information Security Policy: https://www.tufs.ac.jp/abouttufs/information_security/policy.html
 For government information security measures, see below.
- Unified Management Standards for Information Security Measures of Government Agencies: https://www.soumu.go.jp/main_content/000141664.pdf

References and Materials

The Guidelines were created with the help of the following documents and materials:

AI Network Society Promotion Council, "AI Utilization Guidelines - Practical Reference for AI Utilization" Ministry of Internal Affairs and Communications, 2019. https://www.soumu.go.jp/main_content/000809595.pdf

Integration Innovation Strategy Promotion Council, "Principles for a Human-Centered AI Society," Cabinet Office, 2019

https://www8.cao.go.jp/cstp/ai/aigensoku.pdf

Shinnosuke Fukuoka, "Textbook of AI and Data Ethics," Kobundo, 2022

University of the Ryukyus, "Guidelines for the Use of Generative AI at National University Corporation University of the Ryukyus," 2023.

https://www.u-ryukyu.ac.jp/wp-content/uploads/2023/09/24d2480c1e7aa390d164d4efb33f3df9.pdf

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