RUSI POLICY FOR THE USE OF GENERATIVE AI

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The Royal United Services Institute
61 Whitehall, London
SW1A 2ET
United Kingdom

+44 (0)207 747 2600
enquiries@rusi.org
rusi.org
@RUSI_org

1. About this policy

1.1 The use of generative AI (**GenAI**) is transforming the way individuals are working. Informed and responsible use of GenAI has the potential to increase efficiency in the workplace, improve decision making and foster innovation. With these benefits come potential risks, including data protection breaches, copyright issues, the protection of confidential information, ethical considerations and compliance with wider legal obligations.

1.2 RUSI allows the informed, responsible and ethical use of AI applications by the workforce in carrying out certain business and research activities, identified subsequently. The terms of this policy must be complied with when using GenAI.

1.3 The purpose of this policy is to guide the use of GenAI while minimising any risks or concerns. As a result of the use of GenAI:

(a) RUSI's reputation and integrity must not be damaged.

(b) RUSI must maintain compliance with the law, and with contractual obligations to its funders and partners.

2. Who does this policy apply to?

2.1 This policy covers all RUSI employees, officers, consultants, contractors, volunteers, interns, casual workers and agency workers (collectively referred to in this policy as **workforce**) when conducting RUSI business and research activities. This policy does not form part of any contract of employment or contract to provide services, and RUSI may amend it at any time.

3. Who is responsible for this policy?

3.1 The Research Committee has overall responsibility for the effective operation of this policy. The Research Committee has delegated responsibility for overseeing its implementation to the Head of Research Governance and Editorial. Questions about the content of this policy or suggestions for change should be directed to the Head of Research Governance and Editorial or to the new RUSI 'AI Working Group,' which will meet periodically.

3.2 To address evolving uses and understanding of GenAI, this policy is reviewed periodically by the Senior Management Team (SMT).

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4. Terminology used in the policy

4.1 Terminology used in relation to GenAI can be confusing. We set out below some common terms used when describing AI and what they mean:

- **GenAI.** This refers to a type of artificial intelligence which can notably be used to create new content (for example, text, code, images, videos or music) (referred to as the **output)**. The AI uses machine learning algorithms to analyse large data sets.
- **Large language models (LLMs).** LLMs are a type of GenAI that can generate human like text in response to a prompt. They use deep learning techniques and massive data volumes to generate a response.
- **GPT.** This is short for "generative pre-trained transformer", which is a type of LLM that uses deep learning to produce natural language texts based on information requested in the input. ChatGPT is an example of a GPT model which can be used to generate text.
- **Hallucination.** LLMs can produce outputs which may initially appear to be believable but are in fact highly inaccurate or fabricated. This is known as a **hallucination.**
- **Prompts.** These are the inputs or queries that a user provides to the GenAI application to receive the required output. Prompts are sometimes used by the GenAI application to further train the LLM.

5. Scope of the policy

5.1 This policy applies to any use by the workforce of GenAI for business and research purposes.

5.2 This policy supplements and should be read in conjunction with our other policies and procedures in force , including without limitation our:

(a) *Staff Cyber Security Policy* and *Cyber Security Requirements for Contractors*

(b) *Diversity, Equity, and Inclusion (DEI) Strategy* and public *DEI Strategy*

(c) *Code of Conduct*

(d) *Data Protection Policy* and *Data Protection Policy for Researchers & Subcontractors*

(e) *Ethics Policy for Research Projects*

These are available on the *Staff Resources* SharePoint and the public *RUSI Policies and Procedures for Subcontractors* page.

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6. Use of AI applications

6.1 The RUSI workforce is responsible for making an informed choice on the GenAI applications it uses for business and research purposes. Individuals must be conscious of the risks to data privacy, intellectual property, and security associated with using a particular AI application, and RUSI will provide mandatory training on these questions for staff. Individuals must also consider the reliability of GenAI outputs, as well as the potential for bias, hallucinations, and disinformation.

6.2 RUSI may choose to invest in the software necessary to use AI for business and research purposes without posing a substantial risk to data protection and intellectual property.

6.3 When using third-party AI applications for RUSI business and research, RUSI workforce should systematically select the 'opt-out' from data collection option before first use and delete prompts permanently after use. This will prevent the data entered into the prompt from being used by the LLM to train itself or to share inputs with other parties. The workforce should exercise caution and refrain from use where these options are not available, and avoid applications known to pose a risk to data protection and/or security.

6.4 When using any AI applications for RUSI business and research, RUSI employees should use their work email address for log-in purposes.

7. Examples of permitted use

7.1 When using third-party AI applications for RUSI business and research, RUSI workforce should only enter short, generic, non-sensitive, and non-identifiable information, and take the necessary precautionary steps to prevent data collection (See Articles 6.3, 8, and 10.1).

7.2 Should RUSI choose to invest in AI software for business and research use, the implications to data protection and intellectual property will be re-evaluated.

7.3 The following list offers examples of how AI applications can be used by the workforce for business and research purposes.

The list of examples is not exhaustive:

(a) Generating social media posts, provided that the content is proofread.

(b) Generating images so long as they are of good quality and flagged as AI generated.

(c) Helping draft memoranda and presentations for internal use.

(d) Helping draft non-sensitive e-mails.

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(e) Accelerating repetitive, labour-intensive tasks such as transcribing multimedia, and compiling notes or data into a digestible format.

(f) Sourcing initial research and background reading.

(g) Tracking the latest publications and news alerts in a field.

(h) Generating ideas and outlines for projects and texts.

(i) Generating translations for internal use (all translations in research outputs must be authorised or provided by the Publications team).

(j) Suggesting ways to shorten or rephrase a generic, short passage of text.

(k) Summarising excerpts of text for internal or personal use.

(l) Proofreading short excerpts of text for spelling mistakes, grammatical errors, and the possibility to shorten passages.

If staff have any technical questions concerning the suitability or risks of a certain GenAI software, they can direct their questions to IT.

Researchers planning to incorporate GenAI to a significant extent within their research projects should indicate their planned use of AI in their Ethics Declaration and Ethics Review request to the Research Ethics & Integrity Committee (REIC).

Researchers seeking to incorporate GenAI within their RUSI research outputs should direct any questions to the Head of Research Governance and Editorial.

8. Prohibited uses

When using GenAI, staff must ensure data protection (See Articles 6.3, 7.1, and 10) and ensure quality oversight over the output produced. In line with RUSI's plagiarism policy, it is also forbidden to produce any research output generated in part or in whole by Artificial Intelligence and to claim it as one's own. RUSI workforce can use GenAI to help accelerate the research and writing process, but *not to substitute itself* to the research and writing process. All text and content must ultimately have been authored by RUSI workforce, unless specified otherwise or explicitly cited as AI-generated (See Article 9).

9. 'AI Disclaimer' for research outputs

Authors will include a brief 'AI Disclaimer' with every research output when GenAI has been used to assist any part of the research and writing process.
This AI Disclaimer will offer transparency to readers regarding the authenticity of RUSI's research methods and the comprehensiveness of its GenAI policy.

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This disclaimer will either be annexed to the research output or form a part of the author's 'Methodology Section' within the text.
The AI Disclaimer should follow a version of the **following template:**
"An artificial intelligence language model (GenAI) was used for the following aspect(s) of the research:

- *help conduct background research on [aspect/theme],*
- *analyse data on [aspect, or section of research concerned],*
- *create [image(s) / graphic(s) / table(s)] on [aspect],*
- *help translate passages from [language],*
- *help proofread for [clarity and/or concision],*
- *[and/or insert other use].'*

While we strive for accuracy and quality, please note that the information provided may not be entirely error-free or up-to-date. [We recommend independently verifying the content and consulting with professionals for specific advice or information]. [We/RUSI] do[es] not assume any responsibility or liability for the use or interpretation of this content."

10. Precautionary Guidelines

10.1 When using GenAI applications for RUSI business and research, RUSI workforce must comply with the following guidelines:

(a) **Employer data.** Ensure that confidential, sensitive, commercially sensitive, or proprietary employer or third-party customer, supplier or employee-related data is not entered into the application as a prompt (See Article 7.1). Should RUSI choose to invest in AI software for business and research use, this clause will be re-evaluated.

(b) **Data protection.** Ensure that personal data and sensitive personal data is not entered into the application as a prompt in breach of the Cyber Security Policy and data protection legislation.

(c) **Intellectual property rights and licensing.** Be aware of any intellectual property rights owned by research participants, funders, partners, and third parties, such as copyright, database rights or trademark rights. Ensure that proprietary data or material is not entered into the application in breach of any agreement with the concerned party.

(d) **External transparency**. When RUSI uses GenAI in any of its research outputs this must be clearly stated (See Article 9).

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(e) **Be secure.** RUSI workforce must apply the same security measures RUSI applies to all its IT applications and comply at all times with its IT and Communications Systems policy. This includes using strong passwords and updating applications as required.

(f) **Review outputs and understand limitations.** GenAI has the potential to produce inaccurate outputs or hallucinations. It does not comprehensively capture the context and it cannot apply judgment to its outputs. There is also a risk that the output is biased, inappropriate or offensive. This means that critical thought must be applied to all outputs of authorised AI applications: they must always be fact and sense checked before being relied upon for business or research purposes and reviewed to ensure content is appropriate. One should also consider whether the tool used has real time internet access or only has access to information up to a particular point in time as this may impact on the accuracy of the output.

(g) **Ethical and responsible use**. Always use authorised GenAI applications ethically and responsibly. RUSI workforce must not generate explicit or deliberately offensive content for RUSI business and research.

(h) **Third-party add-ons.** Be aware that third parties may build a service on top of GenAI applications. Avoid inputting any information or data into these add-ons.

10.2 We recognise that some members of the workforce access AI applications via an application programming interface rather than a web browser. Where appropriate, RUSI may issue specific guidelines to workforce members gaining access via application programming interfaces.

11. Monitoring

11.1 RUSI reserves the right to conduct monitoring of content under its Cyber Security Policy.

12. Record keeping

12.1 RUSI workforce must inform line managers or their RUSI point of contact of the purposes for which they are using AI and the software they are employing.

12.2 **Research Ethics and Integrity:** RUSI researchers should detail their planned use of GenAI when submitting an Ethics Declaration and/or when requesting an Ethics Review for a project to the REIC (See Article 7.3). Researchers should also inform the REIC of any changes in their planned use of GenAI which may affect the informed consent of research participants or inform the committee of other ethical considerations relating to their projects.

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12.3 An 'AI Working Group' will be a cross-team internal initiative, meeting periodically to discuss AI use in RUSI business and research, update the RUSI Policy for the Use of Generative AI, organise trainings on AI, and advise on the emerging advantages or risks of AI tools.

13. Breach of this policy

13.1 Breach of this policy may result in disciplinary action for staff and/or termination of your contract.

13.2 The RUSI workforce is required to co-operate with any investigation into suspected breach of this policy.

13.3 The RUSI workforce must report any breach of this policy (this includes one's own breach or that of another member of the workforce) immediately to the relevant line manager or RUSI point of contact in the first instance.

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