Artificial Intelligence (AI) and use in Assessment

Principles

Introduction

The use of generative Artificial Intelligence (AI) within the education sector is emerging as a tool to improve and enhance the learning experience.

AI tools such as ChatGPT present many opportunities, including generating teaching and learning content, providing personalised learner/apprentice feedback on performance, facilitating new and innovative assessments, and automating assessment marking. Whilst AI presents such opportunities, it also presents challenges and risks, including the potential for misuse. It is therefore necessary that all those involved in the delivery and awarding of Gateway Qualifications' provision ensure that AI use remains consistent with the norms and expectations of good practice and does not enable unethical and improper use.

Below sets out Gateway Qualifications' principles regarding the use of AI in assessment.

1. Apply assessment design principles
2. Develop understanding
3. Be compliant

Scope

These principles apply to all qualifications, including Access to HE Diplomas and End-point Assessment.

Principles

1. Application of assessment design principles

The assessment design principles of validity, authenticity, reliability, consistency, sufficiency, inclusivity and accessibility apply where AI is used in the assessment process to develop assessment material and generate assessment evidence.

As good practice, Centres/Providers should regularly review and enhance delivery and assessment practice, including if AI is being considered as part of this process, how it can be utilised in an effective, current and ethical way, and also how it might be misused.

In particular, consideration should be given to:

Validity

The threat to assessment validity may differ in terms of susceptibility according to the assessment approach, i.e. the assessment method and assessment taking controls. For

example, an external assessment, set by Gateway Qualifications, that requires invigilation is less susceptible to improper use of AI to generate assessment evidence than a Centre/Provider devised assessment, such as an essay that the learner can complete at home/unsupervised.

Authenticity

AI could be used in different ways to produce assessment evidence, including:

- Production (in entirety or in part) of essays, assignments, reports
- Used as a reference tool
- Used to enhance learners' work
- Used to generate images, ideas, data, code, audio, video and other media.

The assessment set should consider the opportunities, risks and appropriateness of the use of AI associated with the generation of assessment evidence, and the controls required should it be permitted.

Assessment evidence must be authentic

Centres/Providers must establish and follow a process to authenticate evidence generated by a Learner/Apprentice in an assessment as having been generated by that Learner/Apprentice (or identified and confirmed as being that Learner's contribution to group work) and as being generated under the required conditions. A Learner/Apprentice submitting work for assessment that is not their own, and that has not been appropriately referenced, will be considered a form of plagiarism.

Learners/Apprentices submitting assessment evidence should submit a signed and dated declaration of authenticity that confirms they have produced the evidence themselves. The declaration can be on the assessment record, a separate learner authenticity declaration, on an electronic platform, or by incorporating a learner declaration into an Assignment Brief front sheet.

When a Centre submits a claim for achievement or completion to claim certificates, a Centre declaration will be required to ensure that a learner's work has been authenticated.

Inclusivity and accessibility

Another consideration is the risk of using AI to provide assessment solutions and the potential to create bias. Inclusive assessment should not advantage some learners while disadvantaging others in terms of content and assessment approach. The same risk applies to the use of AI to generate assessment evidence, in that content produced may be inaccurate or biased.

2. Develop understanding

Both staff and learners/apprentices should understand and be made aware of the appropriate use of AI in teaching, learning and assessment. Also, awareness should be raised regarding how AI can be used to create misinformation and influence understanding.

Learners and apprentices need to understand the importance of submitting their own independent work for assessment. Learners/apprentices should be made aware at the earliest possible opportunity of the appropriate and inappropriate use of AI, including what is and is not permitted, the risks of using AI, and the possible consequences of using AI inappropriately.

Referencing of AI generated content

Gateway Qualifications expects Centres/Providers to give clear guidance to Learners/apprentices in relation to common/standardised protocols for appropriate referencing of AI generated content within assessments, where permitted. If any sections of their work are reproduced directly from AI generated responses, those elements must be identified and referenced appropriately.

3. Be compliant

Centres/Providers must remain compliant in relation to legal and regulatory requirements and/or expectations stipulated by Gateway Qualifications.

Policies, procedures and guidance

Centres/Providers must ensure their policies, procedures and guidance relating to the authenticity of assessments address the risks associated with AI misuse. This must include provision for the investigation of alleged learner/apprentice malpractice and any possible sanctions when malpractice is found to have occurred.

Implement controls

Centres/Providers should consider implementing controls to mitigate improper use. This might include:

- Restricting access to AI tools
- Learners/apprentices completing assessment activities under the supervision of the tutor/assessor
- Using plagiarism detection tools that provide AI and plagiarism checking functionality

Ensuring assessment activities are current and not over-exposed so that AI systems are less likely to be able to 'learn' and provide content.

Improper use of AI that subverts the assessment process will constitute malpractice

Where AI is used that subverts the assessment process this will constitute malpractice.

Investigation into the potential misuse of AI generated content may include the use of detection tools, but these should form only one part of a holistic approach to considering the authenticity of learners/apprentices' work and should not be solely relied upon to identify AI misuse.

Where assessment evidence is identified as being potentially based on AI generated content, Centres/Providers will have clear and transparent systems in place to allow for impartial and rigorous formal investigation of any alleged malpractice.

For further information, including obligations to report suspected AI malpractice, please refer to Malpractice and Maladministration Policy and Procedure.

Regulation

These principles apply to all Gateway Qualifications' qualification offer as regulated by

- Ofqual, regulator for qualifications, exams and tests in England with exception of Access to HE Diplomas
- Qualification Wales, the independent regulator of non-degree qualifications in Wales
- The Quality Assurance Agency (QAA), regulatory body responsible for the national framework of the Access to HE Diploma in England, Wales, and Northern Ireland

Ofqual, has published clarification regarding the use of AI in two areas:

- **AI is not permitted as the sole form of marker of learner work**

   Centres/Providers are not permitted to use AI as the sole form of marker for learner's work.

   Ofqual, defines an '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."

   Ofqual's definition is clear that an assessor must be a person who is able to make judgements, and that AI as a sole marker would not fall within this definition.

   This rule applies to all qualifications, including where a Centre/Provider is responsible for marking assessments and where the assessment is either externally set by Gateway Qualifications or is a Centre/Provider-devised assessment. Centres/Providers must have effective arrangements in place to ensure the criteria in which a learner's/apprentice's performance can be differentiated and understood, is accurately and consistently applied by assessors. The same applies to internal quality assurance arrangements. The assessor remains responsible for the mark/grade awarded.

- **AI use within remote proctoring/invigilation of assessments**

   For some qualifications with external assessment, Gateway Qualifications specifies assessment taking controls such as the assessment being taken within a specified duration, being supervised by a tutor/assessor or invigilated.

Invigilation plays a critical role in securing the authenticity of learners'/apprentices' work and the prevention and detection of malpractice.

Ofqual has stated that the use of AI within invigilation is not permitted where learners/apprentices are supervised solely by an AI solution, with no human involvement.

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Inputs and Guidance

Ofqual General Conditions of Recognition Qualifications Wales Standard Conditions of Recognition
A6 Identifying risks **A7** Management of incidents **A8** Malpractice and maladministration **D7** Making available information to help meet Teachers' needs **G8** Completion of the assessment **G9** Delivering the assessment **H2** Centre Assessment Standards Scrutiny where an assessment is marked by the Centre **H5** Results for a qualification must be based on sufficient evidence **J1.8** Definitions (Assessor)
QAA Access to HE Licensing Criteria
51 **95** **96-103** **110**
Gateway Qualifications' documents and guidance
• Quality & Compliance - Gateway Qualifications • Centre Guide to Internal Assessment

- Malpractice and Maladministration Policy and Procedure

Other guidance

- AI Use in Assessments: Protecting the Integrity of Qualifications - JCQ Joint Council for Qualifications
- Centre Guide to Internal Assessment
- Malpractice and Maladministration Policy and Procedure