Higher Education Generative AI Readiness Assessment

Instructions: The Higher Education Generative AI Readiness Assessment is designed to provide a sense of your institution's preparedness for strategic AI initiatives. Use the assessment to develop an understanding of the current state and the potential of generative AI at your institution, and as an opportunity for discussion with others.

This assessment can be approached in multiple ways:

- **Individually:** Any individual at an institution can complete the assessment. If the assessment will be completed in either or both of the team approaches, having one person fill it out and act as the "expert" to guide the process will likely benefit the process.

- **With your IT team:** Use the self-assessment as a group exercise with a small group of IT staff to start to hear different perspectives on your organization. You might find that others see your institution's generative AI readiness differently. This exercise can also be a conversation starter for ways to better align IT efforts with institutional strategy and mission.

- **With a cross-functional team:** The self-assessment can be a powerful tool for helping other institutional stakeholders understand generative AI readiness and for sparking conversation about it. Completing the assessment with a cross-functional group creates an opportunity to talk about institutional challenges and goals and how you might collectively address them.

We recommend that one person complete the self-assessment to get an understanding of the institution's readiness and become familiar with the elements of the assessment before using it with others.

Strategy and Governance

Strategy

1. Does your institution provide these types of access to generative AI tools?

	Yes	No	Don't know
Licenses for students for a publicly available AI tool			
Licenses for faculty for a publicly available AI tool			
Licenses for staff for a publicly available AI tool			
An existing AI tool trained with your institution's data			
An integrated suite of AI products			

2. If your institution has a strategy for guiding future investments in AI, does it include the following elements?

	Yes	No	Don't know
High-level guiding principles or values			
A roadmap detailing specific actions or steps, milestones, and metrics for achieving the strategy			
Resources (funding, personnel, technology) allocated to support AI strategic initiatives			

3. Are the following stakeholders engaged in the development of your institution's AI strategy?

	Yes	No	Don't know
President, executive leadership			
Technology leaders			
Academic leaders			
Data and analytics leaders			
Faculty			
Staff			
Students			

4. Does your institution's evaluation and approval of potential AI use cases demonstrate the following characteristics?

	Yes	No	Don't know
Clear and comprehensive criteria			
Clear alignment of potential AI use cases with institutional priorities			
Involvement of all relevant stakeholders in evaluating and approving AI use cases			
A clear process for communicating AI use case decisions to relevant stakeholders			
Mechanisms for gathering stakeholder feedback on the AI use case evaluation and approval process			

5. Is your institution planning to invest in the following generative AI capabilities over the next 12 months?

	Yes	No	Don't know
Developing your own large language model (LLM)			
Using an existing tool and training it with your institution's data			
Enhancing an existing chatbot using an API feed from an AI provider (e.g., OpenAI)			
Supporting the use of publicly available AI tools, without technical integrations			

6. **Does your institution include the following considerations when evaluating the potential role of AI for institutional strategy?**

	Yes	No	Don't know
Alignment with the institution's mission and strategic plan			
Potential for AI to accelerate progress toward institutional goals			
Competitive advantage in attracting students			
Student and alumni workforce readiness			
Competitive advantage in attracting faculty			
Research opportunities			
Development opportunities			
Operational efficiencies			

7. **Is your institution currently applying, or planning to apply, generative AI in day-to-day operations for the following purposes?**

	Yes	No	Don't know
Cost-effectiveness			
Efficiency			
Stakeholder/customer experience			
Operational quality			
Operational speed			
Access to services			

Governance and Ethical Use

8. Do your institution's IT governance processes demonstrate the following characteristics?

	Yes	No	Don't know
Agility and flexibility			
Inclusion of all appropriate stakeholders from across the institution			
Support from key institutional leadership			
Supportive of strategic IT investment decisions			
Supportive of risk management over risk aversion			

9. Do your institution's data governance processes demonstrate the following characteristics?

	Yes	No	Don't know
A data governance authority (e.g., data steward, data liaison) is designated for each major institutional data source.			
Data use balances privacy and security with access to sufficient data.			
Privacy, ethics, security, and/or accessibility reviews are conducted.			
Data definitions and standards exist for key data sets.			
Data are treated as strategic assets.			
Cabinet-level accountability is in place for data governance and data assets.			
Data systems are streamlined and integrated across the institution.			
Data governance is centralized in an enterprise-wide unit.			

10. Have your institution's guidelines for the ethical use of AI been ...

	Yes	No	Don't know
Aligned with external guidelines (e.g., White House Bill of Rights, U.S. Department of Education Artificial Intelligence and the Future of Teaching and Learning report)?			
Incorporated into your enterprise data use policy?			
Incorporated into your responsible/acceptable use policy for students, faculty, and staff?			
Incorporated into academic standards and other academic policies?			
Shared with your campus community?			

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Application

11. Has your institution implemented the following strategies to support the application of generative AI?

	Yes	No	Don't know
Encouraged faculty to integrate generative AI into their teaching strategies			
Encouraged faculty to adjust their curriculum to changes in student learning created by generative AI			
Evaluated instructional support team capacity for supporting faculty in their use of generative AI			
Developed and communicated departmental policies informing students, faculty, and staff on permitted uses of generative AI			

Change Leadership

12. Does your institution demonstrate the following characteristics of institutional resilience and agility?

	Yes	No	Don't know
Adaptability: Adaptive institutions adopt change-related competencies as a foundational skill set and embrace change as a way to evolve and transform at the institutional level to meet disruptive or changing conditions.			
Data fluency: Resilient institutions need all constituents to understand how to use data to ask questions and make decisions, as well as how to distinguish reliable data from poor data and accurate information from false information.			
Decisiveness: Resilient institutions are action-oriented and transformative. They are willing to challenge the status quo, think critically, and execute ideas.			
Interdependence: Institutions are most interdependent when people, processes, systems, and technologies are integrated and not siloed.			
Preparedness: Prepared institutions can respond quickly to changing circumstances because leaders have already anticipated them and readied the organization for such eventualities.			
Trustworthiness: Resilient institutions cultivate a culture of trust, collaboration, cooperation, compassion, empathy, integrity, and inclusion, characterized by a symbiotic relationship between the individual and the institution.			
Committed, engaged, and imaginative institutional leadership team: Leaders are able to lead under changing and challenging circumstances and foster a culture of resilience. These leaders create a common understanding and commitment to institutional strategic goals and shared values.			

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13. Is your institutional leadership team prepared to quickly adapt to and drive changes in the following areas?

	Yes	No	Don't know
Technology			
Pedagogy			
Operations/administration			
Workforce			

14. Does your institution...

	Yes	No	Don't know
Have the senior-most technology leader (CIO/VP or other title) sit on the President's Cabinet?			
Support a culture of technology experimentation and innovation?			

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Capacity and Expertise

AI Literacy

15. Overall, do leadership, staff, and faculty at your institution demonstrate the following characteristics?

	Yes	No	Don't know
Institutional leadership understands how generative AI works.			
Faculty understand how generative AI works.			
Staff understand how generative AI works.			
Institutional leadership has evaluated the potential risks of generative AI.			
Faculty are aware of the potential risks of generative AI.			
Staff are aware of the potential risks of generative AI.			
Institutional leadership is engaged with internal experts on generative AI.			
Institutional leadership is engaged with generative AI experts at other institutions.			
Institutional leadership is engaged with generative AI experts at technology solution providers.			

Capacity and Development

16. Does your institution have staff capacity for supporting the following?

	Yes	No	Don't know
Evaluating generative AI tools			
Procuring generative AI tools			
Implementing generative AI tools			
Managing generative AI tools			
Training generative AI tools			

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17. Is your institution implementing the following changes to organizational capacity needed to support the use of generative AI?

	Yes	No	Don't know
Documenting needed competencies			
Updating job descriptions to accommodate AI responsibilities			
Supporting capacity management activities			
Creating new roles			
Allocating funding to create new roles, hire for open positions, and/or upskill current staff			
Adjusting collective bargaining agreements to account for the impact of generative AI			

18. Do the following statements describe your institution's faculty training and development in the use of generative AI?

	Yes	No	Don't know
Faculty training and development in the use of generative AI is generally available.			
Faculty training is available related to how to properly secure institutional data when using generative AI tools.			
Faculty participation in training and development is encouraged and supported by the institution.			
Faculty completion of training and development activities is documented.			
Efficacy of faculty training and development is measured.			
Faculty training and development content is regularly updated.			

19. Do the following statements describe your institution's staff training and development in the use of generative AI?

	Yes	No	Don't know
Staff training and development in the use of generative AI is generally available.			
Staff training is available related to how to properly secure institutional data when using generative AI tools.			
Staff participation in training and development is encouraged and supported by the institution.			
Staff completion of training and development activities is documented.			
Efficacy of staff training and development is measured.			
Staff training and development content is regularly updated.			

20. Do the following statements describe your institution's student training and development in the use of generative AI?

	Yes	No	Don't know
Student generative AI training is made available in workshops or webinars.			
Student generative AI training is made available in courses.			
Student generative AI training is made available across the curriculum.			
Student training is available related to how to properly apply institutional data when using generative AI tools.			
Student training is available related to how to properly secure institutional data when using generative AI tools.			
Opportunities exist for students to practice AI use in research, courses, or field training (internships, practica).			

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Infrastructure

Data Readiness

21. Do your institution's data structures, policies, and processes demonstrate the following characteristics?

	Yes	No	Don't know
Policies and procedures define and enforce consistency and integrity when collecting information.			
Staff have been assigned responsibility for compliance with data security and privacy laws, including laws regarding the responsible use of AI.			
Students, faculty, and staff receive guidance on what institutional data, if any, can be used with generative AI tools.			
Mechanisms are in place to track changes in security and privacy law.			
Administrative rules are in place relating to the responsible use of generative AI.			
Data security policies and procedures include the use of generative AI, aligned with industry security frameworks (e.g., NIST CSF, NIST SP 800-523, ISO 27001).			

22. Is your institution focused on the following considerations for funding generative AI tools?

	Yes	No	Don't know
Short-term funding for generative AI tools			
Long-term funding for generative AI tools			
Forecasting the costs necessary to support the increased use of generative AI in the future			

23. Are your institution's procurement practices ...

	Yes	No	Don't know
Centralized			
Managed			
Disjointed			
Chaotic			
Transparent			

24. Is your institution focused on the following considerations for auditing the quality of generative AI tools?

	Yes	No	Don't know
Tracking usage patterns and cost			
Evaluating output accuracy			
Evaluating output biases			
Evaluating output hallucinations and poisoning			
Reporting toxic or inappropriate content			
Real-time review and modification of audit process			
Human review of AI-generated content			
Assessing solution-provider AI privacy practices and alignment with state, federal, and international privacy laws			

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