K-12 AI Impact Assessment Template

A guide to evaluating potential artificial intelligence implementations for adverse impact on people, processes, and the learning environment.

Learn more and review AI best practices at https://www.esparklearning.com/ai-in-education/

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AI Impact Assessment for [Insert Program/Product]

Section 1: General Information / High-Level Overview

1.1 Assessment details

Program name	
Brief description of implementation purpose	[e.g. “To provide automated progress updates to parents based on data from multiple systems and platforms.”]

Evaluators	[Individuals or departments]
Last updated date	

Evaluation status	[In progress, pending review, approved, etc…]
Next steps	
Estimated timeline for approval/rejection	

1.2 Program details

Program description	[e.g. “SchoolDataAI is a new product from EduDataCompany that can aggregate our LMS, SIS, and online curriculum data to paint a comprehensive picture of student needs and progress for parents throughout the school year.”]
Is this a stand-alone program or a feature/add-on for an existing program?	
Is this a new purchase/adoption, or are we already using this program?	
Is this net new functionality for our school system, or will this program replace something we are already doing/using?	[e.g. “This will enable us to add personalized data sections to our monthly school newsletters.”]

1.2a AI features and functionality

Please list the key features/functionality for which AI will be used	[e.g. “To quickly pull data from multiple sources, interpret the data, summarize the data, and create an actionable narrative for every individual student.”]
Are there any planned updates to the program that will add to or modify the above scope? If so, what is the timeline?	[e.g. “The company is currently developing an add-on that would enable the integration of non-academic data as well.”]
What are the primary goals of this implementation?	[e.g. “To create more dynamic, personalized communications for our families, including differentiated recommendations for how to support student learning at home.”]
What are the benefits of using AI to accomplish these goals?	[e.g. “To manually duplicate these results, our estimation is that we would require at least one highly specialized FTE for every 300 students or approximately 8 hours of work per teacher per month.”]

Section 2: Research and Validation

2.1 Research and market adoption

Is this approach supported by existing research?	
How long has this program/functionality been on the market?	
How many schools/districts are currently using this program/functionality?	
How many of those schools/districts are in our state?	

2.2 Validation of efficacy

Are there any case studies, white papers, or other relevant content from the vendor or a third-party to support this approach?	
If so, please provide links and descriptions here.	

2.2 References

Reference 1

Name	
School/district/state	
Title	
Phone number/email	
Contacted by/date	
How long has this reference been using this program?	
What is the scope of their implementation?	
Has the implementation led to the desired outcomes?	
Has the implementation led to any unanticipated issues or outcomes?	

Reference 2

Name	
School/district/state	
Title	
Phone number/email	
Contacted by/date	
How long has this reference been using this program?	
What is the scope of their implementation?	
Has the implementation led to the desired outcomes?	
Has the implementation led to any unanticipated issues or outcomes?	

Reference 3

Name	
School/district/state	
Title	
Phone number/email	
Contacted by/date	
How long has this reference been using this program?	
What is the scope of their implementation?	
Has the implementation led to the desired outcomes?	
Has the implementation led to any unanticipated issues or outcomes?	

Section 3: Stakeholder Details

3.1 Project ownership

Primary decision maker	[e.g. “Assistant Superintendent of Student Services”]
Project lead(s)	[e.g. “Communications Director”]
Primary department(s) / individual(s) responsible for overseeing and monitoring implementation	[e.g. “Communications”]
What are the oversight and control responsibilities for the above department(s)/ individual(s)	[e.g. “The Communications team will rigorously test the program to ensure outputs are as expected and all integrations are working appropriately before and after deployment. They will provide all stakeholders with at least one month’s notice of the pending change and will provide support/respond to questions about the program throughout the implementation.”]

3.2 Primary stakeholders

Who will be affected by the proposed implementation?	[e.g. “Parents, teachers, and the communications department”]
What are the program’s deliverables / what form will any outputs take?	[e.g. “Charts, graphs, AI-generated recommendations, and personalized email communications.”]
(If applicable) Who will use the program to make decisions and what is the scope of those decisions?	[e.g. “Student services will review engagement metrics to determine whether alternate forms of communication are required. Potential actions might include manual phone calls or home visits.”]

3.2 Humans in the loop and feedback mechanisms

Type an "X" next to all applicable options

The program will be fully automated, with people only responsible for troubleshooting. For example, a hands-off digital learning program that does not require manual intervention except when errors prevent it from operating as expected.	
The system will support effective hand-off to people *or* full automation depending on user configuration. Examples might include a program that processes or summarizes back-end data that can either use that data as part of an automatic workflow or simply make it available to the internal stakeholder based on settings.	
People will evaluate all system outputs before they are used as part of any workflow or communication. Examples would be generative AI programs that suggest lesson plans or interventions to teachers, but leave teachers responsible for modifying or implementing them.	
Users have the ability to report inaccurate or inappropriate content to the vendor/developer.	
Users have the ability to report inaccurate or inappropriate content to the internal department/person responsible for system oversight.	

3.3 Communications plan

How will the proposed implementation be communicated to all stakeholders?	[e.g. "Internal PD scheduled for March 15. Parents will receive an email and parent portal alert at least one month prior to deployment and again the week before deployment."]
Who will be responsible for drafting, approving, and distributing these communications?	
How will stakeholders be able to provide feedback about this program on an ongoing basis?	[e.g. "A link to a Google Form for feedback will be appended to all emails generated by the program."]

Section 4: Technical Details

4.1 Data Requirements

Describe any data sets that will be used to inform or train the proposed program.	[e.g. “State testing data, benchmark assessments, attendance history, behavior history, program usage.”]
(If applicable) Which systems will the proposed program need to integrate with and how will it use the data it receives from each?	

4.2 Model Usage

Does the proposed program use any existing AI or large language models (LLMs)? If so, list them here, along with what the models are used for.	[e.g. “GPT-4 for statistical summaries and text generation, Leonardo for supporting imagery, Dall-E 3 for charts and graphs.”]
How does the proposed program integrate with each of the models listed above?	[e.g. “OpenAI’s API]
Does the proposed program provide fallbacks/alternatives if any of the listed models are experiencing latency or outages?	[e.g. “The program will default to text-only if the image service is interrupted.” or “The program will not function if OpenAI experiences an outage.”]
Does our agreement with the vendor require them to notify us if any of these models or integrations are changed or replaced?	

4.3 Privacy, Security, and Compliance

Does the proposed program comply with all relevant federal, state, and local privacy laws (FERPA, COPPA, HIPAA, etc…)?	[e.g. “Yes” or “Unknown”]
Do we have a signed data privacy agreement on file with this vendor?	
Please provide a link to the vendor’s privacy policy.	

4.3a Data storage and retention

How does the program prevent our data from becoming part of any external training data sets?	[e.g. “All prompts and inputs sent via the OpenAI API are excluded from model training data. All personally identifiable information is stored separately from AI inputs.”]
Where is the data hosted?	[e.g. “Amazon Web Services”]
What is the process for ensuring our data is transferred to us and/or deleted upon cessation of services?	[e.g. “Data is automatically purged within 90 days of the end of our contract. Transfers/deletions can be manually requested as needed.”]

Section 5: Adverse Impact and Risk Analysis

5.1 Uses and Limitations

5.1a Restricted uses

Are any possible uses of the program subject to legal or internal policy restriction? If so, please list and describe.
[e.g. “The system must not be used to make any decisions about hiring, disciplinary measures, student placement, or any other potentially sensitive scenarios. All data must be reviewed and validated by an authorized human.”]

5.1b Unsupported uses

Are there any possible uses of the program for which it was not designed or evaluated, or that should be avoided?
[e.g. “Technically, any data set can be used with this program, but we do not want to plug in anything that has not been vetted and approved by the project lead.”]

5.1c Known limitations

Describe the known limitations of the system, including scenarios that might have a negative impact on accuracy or stability.
[e.g. “The program is not completely immune to hallucination when prompts are lacking in detail or rigidity. It is subject to the uptime and latency of OpenAI and may not always be available when we need it. The program is not capable of understanding context and will treat all data through the lens of cold logic.”]

5.2 Risk Management

What are the potential failure points for the system? Consider all possible outcomes, no matter how unlikely.
[e.g. “Failure of any of the integrations could potentially lead to inaccurate student data and/or the wrong students’ data being sent to parents. Service outages could make the system unavailable to us at any time. Failure to properly maintain data sources could make the program irrelevant or less useful. A bad actor internally could potentially reconfigure the program for restricted or unsupported uses.”]

What would the anticipated outcome be for various stakeholder groups if any of the above failures were to occur.
[e.g. “We could find ourselves in the midst of a significant student data privacy controversy and/or lawsuit if sensitive data was sent to the wrong families.”

What will be done to mitigate these risks?
[e.g. “All outputs will undergo rigorous QA testing before being sent out. The communications and technology departments will set up mandatory workflows to ensure no changes are made that could have downstream impact.”]

5.2 Bias Management

Which aspects of the proposed program are subject to potential bias from the training data and/or system configuration?
[e.g. “Because we are training the model on historical data, any known or subconscious bias in past school policy may be reflected in its outputs.”]

How might the program compromise or support our commitment to diversity, equity, inclusion, and representation throughout the district?
[e.g. “The image generator may be based on training data that skews toward one population over another. Connectivity and device access may diminish the ability for marginalized groups to benefit from the program. The tone, language, and content of the outputs might resonate better with some demographic groups than others. Failure to include accessibility measures such as language translation could make it more difficult for families to participate.”]

What steps are being taken to ensure the proposed program does not reflect/amplify bias or make our learning environment less equitable for any stakeholder groups.
[e.g. “We are forming a task force made up of representatives from a representative cross-section of families in our community. We will be testing all rollout plans and proactively collecting and acting on feedback to ensure the program is well-received and equally effective for all families. We will be holding special professional development sessions on prompt engineering to ensure anybody who might have access to the system understands how to anticipate and account for training data bias in their inquiries.”

Section 6: Evaluation Summary

6.1 Assessment Results

6.1a Assessment checklist

Type an "X" next to all applicable options

The proposed program will make us more efficient, more productive, and/or improve our learning environment.	
We cannot enjoy all the benefits of the proposed program without AI.	
The proposed program has been proven effective in environments similar to ours, either with formal research or widespread adoption and validation.	
The potential risks of implementing the proposed program have been comprehensively documented, analyzed, and weighed.	
The evaluation committee/decision maker believes risks have been appropriately accounted for and mitigated.	
The proposed program is approved for adoption.	

6.1b Implementation conditions

Approval is contingent on the following conditions:
[e.g. "Outstanding questions will be answered by the vendor to the committee's satisfaction. The district will be notified at least 90 days in advance of any material change to the program, functionality, or underlying AI components. The vendor will sign our standard DPA."]

6.1c Additional notes or concerns

Please list any additional information or concerns stemming from this evaluation.
[e.g. “The committee has charged the student services department with evaluating and socializing the results of this implementation on a quarterly basis. There are lingering concerns about the program’s ability to provide accurate information and on our ability to maintain data integrity across all systems—we will need to continually validate that both are working correctly.”