Strategic Gap Analysis and Risk Assessment for Continuous Improvement of Student Learning Outcomes within the Context of COVID-19

Dr. Lisa Bunu-Ncube, Associate Provost of Institutional Effectiveness, NORTH PARK UNIVERSITY Chicago
Dr. Sumie Song, Director of Global Education, NORTH PARK UNIVERSITY Chicago
Dumisa Dean Dube, MBA, PMP, Project Manager, REPUBLIC AIRLINES

The 3-Phase Strategic Gap Analysis Model for Continuous Improvement of SLOs

GAP ANALYSIS: FINDING THE GAP
A PROCESS USED TO IDENTIFY STRATEGIC PLANNING AND IN PERFORMANCE AND OPERATIONAL GAPS

It analyses the gap between an institution’s current capabilities and future development.

“What are we doing today and how will this lead us to our next goal?”
Gap Analysis Timeline - 2019

PHASE 1: GAP IDENTIFICATION

PHASE 2: ACTION FORMULATION

PHASE 3: GAP ELIMINATION

END OF PROJECT

North Park University Gap Analysis Timeline

Gap Analysis: Addressing Accreditation Requirements

Gap Analysis Template: Tool to review & examine current processes against the HLC Criteria.

HLC Criteria for Accreditation. Core Components and Subcomponents used to develop templates

Templates are useful when exploring gaps in operations and process as they relate to HLC Criteria

Gap identification to formulate actions

Gap Analysis: Addressing & Institutional Strategic & Operational Needs & Quality Improvement

Internal

• Planning and Re-planning
• Re-organization
• Consultations
• Results from internal evaluation – gap analysis
• Consistent and constant implementation

Legal & Para-Legal

• Rules and Regulations
• Laws
• Standards

External

• External Evaluation
• Benchmarking
• Incentives (Funding, recognitions)
HLC Gap Analysis Master Template
Elements of the Gap Analysis Template

<table>
<thead>
<tr>
<th>Core Component/ Subcomponent</th>
<th>Questions 1.1.3</th>
<th>Personnel/ practices/ activities 1.1.4/1.2.1</th>
<th>Exception/ Gap Rating 1.2.2</th>
<th>Evidence 1.2.2</th>
<th>Recommendations (Essential/ Desirable) 1.2.4</th>
<th>Person/unit responsible (delegated responsibility) 1.2.3</th>
</tr>
</thead>
</table>

**HLC: Subcategories of each Criterion for Accreditation that are reviewed in order to determine whether an institution meets each Criterion.**

**Exception/Gap Rating column is a drop-down menu with the following options:**
- **Met** - Effective strategies are implemented successfully.
- **Met, but** - Good strategies in place, some limitations or some further work needed.
- **Not Met, but** - This area hasn’t yet been effectively addressed, but some significant work is being done across the faculty or institution.
- **Not met** - Effective strategies not developed.

Evidence is intentional and purposive; it is advanced to address deliberately posed questions that are important to institutions and their stakeholders.

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**HLC Gap Analysis Master Template**

**Quality Assurance Checklist**

The Good Practice Framework is supported with a six-point quality assurance checklist. The Quality Assurance Checklist comprises of the following three areas and sample questions that represent these areas:

**Deployment:**
- Are adequate policies, procedures or strategies in place in support of each HLC criterion, component, and subcomponent?
- Do the communications associated with this/each criterion have the appropriate level of clarity and transparency for their subject matter and audience?

**Results:**
- Is there sufficient evidence gathered on the activities and outcomes associated with each criterion?
- Is there adequate reporting of the activities and outcomes associated with the criterion against both internal and external reference points?

**Improvements:**
- Is there regular review of relevant review and improvement efforts, of follow-up activities and on the outcomes of previous reviews?
Addressing the Criteria for Accreditation in the Gap Analysis

<table>
<thead>
<tr>
<th>Core Component/Subcomponent</th>
<th>Questions</th>
<th>Evidence</th>
<th>Recommendations (Essential/Desirable)</th>
<th>Person(s) or unit, responsible (delegated responsibility)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criterion One. Mission - The institution's mission is clear and articulated publicly; it guides the institution's operations.</td>
<td>1.A. The institution's mission is articulated publicly and operationalized throughout the institution.</td>
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<tr>
<td></td>
<td>The mission was developed through a process suited to context of the institution.</td>
<td>President and Academic leadership communication practices updates to Staff, Faculty, and Students, SOPs, Collateral for Faculty and Students</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Are policies and amendments to policies communicated appropriately to stakeholders?</td>
<td>Are there mechanisms in place to ensure compliance with policies?</td>
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<tr>
<td></td>
<td>The institution operates with integrity in its financial, academic, personnel, and auxiliary functions; it establishes and follows policies and processes for fair and ethical behavior on the part of its governing board, administration, faculty, and staff.</td>
<td>The institution develops and the governing board adopts the mission.</td>
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</tr>
<tr>
<td></td>
<td>How is the mission created and/or revised? What is the institution's process? What is the process by which the governing Board adopts the mission?</td>
<td>Mission creation process by the institution. Governing process of adoption as documented in the minutes.</td>
<td>NOT MET</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>We would be looking for a standard operating procedure for the creation and/or revision of the mission by the institution. Is there a standard operating procedure for the adoption of the mission of the Board?</td>
<td>The process should be stated in the bylaws. The process should be evaluated by the institution every three years. Effectiveness? The adoption of the mission should be evaluated by the Board.</td>
<td>President’s Office Board Executive Committee</td>
</tr>
</tbody>
</table>
### CRITERION 3. TEACHING AND LEARNING: QUALITY, RESOURCES, AND SUPPORT - The institution provides quality education, wherever and however its offerings are delivered.

<table>
<thead>
<tr>
<th>Subcomponent</th>
<th>Questions</th>
<th>Processes/practices/activities</th>
<th>Evidence</th>
<th>Recommendation</th>
<th>Person(s) or unit responsible (delegated accountability)</th>
<th>Rating</th>
<th>Desired</th>
<th>Essential</th>
<th>Gap/Exception Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The institution has a program that ensures the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness.</td>
<td></td>
<td>1. Courses and programs are current and required levels of student performance are appropriate to the credential awarded.</td>
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<td>1.1.3</td>
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</table>

#### CRITERION 3.1.1.3 Questions

1. What is the institutional program review calendar?
2. What is the institutional program review schedule?
3. Are program reviews regularly conducted and are results used to improve student learning and program outcomes?
4. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values?
5. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with lower level institutional goals and outcomes (aligned with the mission and values)?
6. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
7. Are program reviews regularly conducted and results used to improve student learning and program outcomes?
8. Is the institutional program review calendar documented?
9. Is the institutional program review schedule documented?
10. Are program reviews regularly conducted and results used to improve student learning and program outcomes?
11. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values?
12. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with lower level institutional goals and outcomes (aligned with the mission and values)?
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17. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
18. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
19. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
20. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
21. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
22. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
23. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
24. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
25. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
26. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
27. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
28. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
29. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
30. Are reports available with curricular experiences in specific course (or program) levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values through the program and GE levels and how these are aligned with the mission and values?
GAPS REDEFINED

Gaps between Ideal Operations/Experiences and Current Operations/Experiences

COVID-19

Re-Designing Institutional Operations

Student Learning Outcomes

IN THE CONTEXT OF COVID-19

- Promoting Equity
- Focusing on Undererved Students
- Monitoring Student Progress
- Reimagining Policy and Practice
- Student-Centered Design
RECOMMENDATIONS
- Resource Allocation
- Policy Development Process
- Documentation of Standard Operating Procedures
- Continuous Monitoring
- Data and Evidence Collection for Assurance Argument

RE-DESIGN OPERATIONS
- Transformational Institutional Change
- Structural Change
- Process Change
- Attitudinal Change

RESTRUCTURE SUPPORT
- Health Protocols
- Academic Support
- Social Support
- Identifying Factors Affecting Retention & Persistence During COVID
Questions

1. What are the operational gaps at your institution?
2. How has COVID-19 redefined gaps at your institution?
3. What is the potential at your institution for using gap analysis to
   - Develop a culture of continuous improvement
   - Prepare for reaffirmation of accreditation
   - Mitigate risk during crises such as COVID-19 and
   - Implement brand new practices possibly for the better
<table>
<thead>
<tr>
<th>Task Name</th>
<th>Duration</th>
<th>Start</th>
<th>Finish</th>
</tr>
</thead>
<tbody>
<tr>
<td>North Park Accreditation Gap Analysis</td>
<td>190 days</td>
<td>Mon 4/1/19</td>
<td>Fri 12/20/19</td>
</tr>
<tr>
<td><strong>Phase 1: Gap Identification</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Gap Analysis Project Development</td>
<td>45 days</td>
<td>Mon 4/1/19</td>
<td>Fri 5/31/19</td>
</tr>
<tr>
<td>1.1.3 Translate HLC Criteria into relevant questions. The answers explain how NPU meets core &amp; sub-components</td>
<td>15 days</td>
<td>Mon 4/1/19</td>
<td>Fri 4/19/19</td>
</tr>
<tr>
<td>1.1.4 Identify NPU standard process, practice, or activity for each core &amp; sub-component. Formulate additional questions, if necessary in the MAT</td>
<td></td>
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</tr>
<tr>
<td>1.2 Gap Analysis Determination</td>
<td>30 days</td>
<td>Mon 4/22/19</td>
<td>Fri 5/31/19</td>
</tr>
<tr>
<td>1.2.1 Research and determine responses for the questions &amp; document processes/Practice/activities in the MAT</td>
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<tr>
<td>1.2.2 Determine gap as the difference from the Component/subcomponent and the NPU processes/practices/activities &amp; capture in MAT</td>
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<tr>
<td>1.2.3 Determine and document which department for the questions are/should be responsible</td>
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<tr>
<td>1.2.4 Conduct GA Team meeting to compare gaps &amp; identify potential overlap. Provide Recommendations</td>
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</tr>
<tr>
<td><strong>Phase 2: Action Formulation</strong></td>
<td>45 days</td>
<td>Mon 6/3/19</td>
<td>Fri 8/2/19</td>
</tr>
<tr>
<td>2.1 Create Plan</td>
<td>15 days</td>
<td>Mon 6/3/19</td>
<td>Fri 6/21/19</td>
</tr>
<tr>
<td>2.1.1 Develop communication plan to affected departments, to include: presentation of gap, allow for dept. response, &amp; request department resource (personnel)</td>
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<tr>
<td>2.1.2 Meet with department resource to create an action plan, include a timeline</td>
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<tr>
<td>2.2 Action Plan Implementation</td>
<td>30 days</td>
<td>Mon 6/24/19</td>
<td>Fri 8/2/19</td>
</tr>
<tr>
<td>2.2.1 Work with dept. to communicate with stakeholders affected by the action plan &amp; inform of impending audit</td>
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<tr>
<td>2.2.2 Work with affected stakeholders on audit dates best for all.</td>
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<tr>
<td>2.2.3 Conduct audit</td>
<td></td>
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</tr>
<tr>
<td>2.2.4 Create audit report for management for each gap</td>
<td></td>
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<tr>
<td><strong>Phase 3: Gap Elimination</strong></td>
<td>100 days</td>
<td>Mon 8/5/19</td>
<td>Fri 12/20/19</td>
</tr>
<tr>
<td>3.1 Solution</td>
<td>30 days</td>
<td>Mon 8/5/19</td>
<td>Fri 9/13/19</td>
</tr>
<tr>
<td>3.1.1 Develop gap elimination plan with respective departments, include a timeline</td>
<td></td>
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<td></td>
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<tr>
<td>3.1.2 Identify parties responsible for solution</td>
<td></td>
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<tr>
<td>3.2 Accountability</td>
<td>70 days</td>
<td>Mon 9/16/19</td>
<td>Fri 12/20/19</td>
</tr>
<tr>
<td>3.2.1 Evaluate effectiveness of solution</td>
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</tr>
<tr>
<td>3.2.2 Follow-up as needed</td>
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<tr>
<td>Implement solutions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gap Analysis Report Complete</td>
<td></td>
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</tbody>
</table>
Phase 1: Gap Identification

1.1 Gap Analysis Project Development
   - 1.1.1 Review & revise the Master Analysis Template (MAT) using HLC Criteria.
   - 1.1.2 Conduct GA kick-off meeting. Clarify HLC Criteria & assign ownership.
   - 1.1.3 Translate HLC Criteria into relevant questions. The answers explain how NPU meets core & sub-components.
   - 1.1.4 Identify NPU standard process, practice, or activity for each core & sub-component. Formulate additional questions, if necessary, in the MAT.

1.2 Gap Analysis Determination
   - 1.2.1 Research and determine responses for the questions & document processes/practices/activities in the MAT.
   - 1.2.2 Determine gap as the difference from the Component/subcomponent and the NPU processes/practices/activities & capture in MAT.
   - 1.2.3 Determine and document which department for the questions are/should be responsible.
   - 1.2.4 Conduct GA Team meeting to compare gaps & identify potential overlap. Provide Recommendations

Phase 2: Action Formulation

2.1 Create Plan
   - 2.1.1 Develop communication plan to affected departments, to include: presentation of gap, allow for dept. response, & request department resource (personnel).
   - 2.1.2 Meet with department resource to create an action plan, include a timeline.

2.2 Action Plan Implementation
   - 2.2.1 Work with dept. to communicate with stakeholders affected by the action plan & inform of impending audit.
   - 2.2.2 Work with affected stakeholders on audit dates best for all.
   - 2.2.3 Conduct audit.
   - 2.2.4 Create audit report for management for each gap.

Phase 3: Gap Elimination

3.1 Solution
   - 3.1.1 Develop gap elimination plan with respective departments, include a timeline.
   - 3.1.2 Identify parties responsible for solution.

3.2 Accountability
   - 3.2.1 Evaluate effectiveness of solution.
   - 3.2.2 Follow-up as needed.

Legend:
GA – Gap Analysis
HLC – The Higher Learning Commission
MAT – Master Analysis Template – Excel spreadsheet that will be used to track the Gap Analysis project
Gap Analysis Example  
Criterion 2A: Integrity: Ethical and Responsible Conduct  
*The institution acts with integrity; its conduct is ethical and responsible.*

**2A** The institution operates with integrity in its financial, academic, personnel, and auxiliary functions; it establishes and follows policies and processes for fair and ethical behaviour on the part of its governing Board, administration, faculty, and staff.

|---|---|---|---|---|---|---|
| I. The institution develops and the governing board adopts the mission. | • How is the mission created and/or revised?  
• What is the institution’s process?  
• What is the process by which the governing Board adopts the mission? | • Mission creation process by the institution.  
• Governing process of adoption as documented in the minutes. | • NOT MET | • We would be looking for a standard operating procedure for the creation and/or revision of the mission by the institution?  
• Is there a standard operating procedure for the adoption of the mission by the Board? | • The process should be stated in the bylaws. The process should be evaluated by the institution every three years. The adoption of the mission should be evaluated by the Board. | • President’s Office  
• Bard Executive Committee |
| II. The institution operates with integrity in its financial, academic, human resources, and auxiliary functions. | • How does North Park University represent itself in terms of:  
  o program degree requirements  
  o faculty and staff  
  o student costs  
  o controls in place accreditation relationships | • P & P Manual  
• Student Handbooks  
• University Catalog  
• Marketing Compliance SOP  
• University media policy  
• Academic Annual Report  
• Consumer Information Guide | • NOT MET BUT SOME PROCESSES AND PROCEDURES ARE IN PLACE | • There is a Finance Committee of the Board of Trustees that approves the budget presented by the President and the Chief Financial Officer.  
• There are limited protocols and processes in place by which that budget is developed.  
• There is a need for a standard budget operating process.  
• The university does have a MAPP document that details for university faculty what they can and cannot do.  
• The seminary has a similar document.  
• Not sure what is available for staff. | • The budget process should be codified.  
• The Finance Committee of the Board of Trustees or some committee of the Trustees, maybe the Executive Committee should have line by line access.  
• Staff policies should be laid out similar to university faculty and seminary faculty. | • HR  
• VP of Finance |

Updated: June 20, 2019
### Gap Analysis Example

**Criterion 2A: Integrity: Ethical and Responsible Conduct**

*The institution acts with integrity; its conduct is ethical and responsible.*

|----------------|-----------------------------------|---------------------------------|------------|----------|----------------|-------------------|
| I. The institution ensures the accuracy of any representations it makes regarding academic offerings, requirements, faculty and staff, costs to students, governance structure, and accreditation relationships. | • How is information on HLC accreditation published re: HLC as our accrediting body as well as HLC committees and office of institutional effectiveness? | • Noted on website | • NOT MET BUT | • A web page which right now lists headings of:  
Self-study committee, accreditation Q & A, public comments, theme/goals. [https://www.northpark.edu/about-north-park-university/accreditation/self-study-steering-committee/](https://www.northpark.edu/about-north-park-university/accreditation/self-study-steering-committee/)  
|               | • How are accreditation relationships represented? | • How are accreditation relationships represented? | • MET | [https://www.northpark.edu/about-north-park-university/accreditation/accreditation-bodies/](https://www.northpark.edu/about-north-park-university/accreditation/accreditation-bodies/)  
This includes the Seminary. | | |

*Updated: June 20, 2019*
**Gap Analysis Example**  
**Criterion 2A: Integrity: Ethical and Responsible Conduct**  
*The institution acts with integrity; its conduct is ethical and responsible.*

| **How does the university determine tuition each year?** | **Looking for SOP of process in decision-making of tuition increases** | **Put through help desk ticket.**  
6/5/19: EC: Follow up email has been sent to Scott Stenmark | **Waiting on results of help desk ticket to determine recommendation.** | **Waiting on results of help desk ticket to determine recommendation.** |
| --- | --- | --- | --- | --- |
| **How are costs to students represented?** | **Listed on the website** | **They are listed on the website.**  
https://www.northpark.edu/admissions-aid/financial-aid/  
This link contains information on tuition and other costs for traditional undergraduate, graduate, and degree completion.  
Seminary tuition and fees can be found here.  
https://www.northpark.edu/seminary/admissions/tuition-and-financial-aid/tuition-and-fees/ | **Require fewer clicks to get to this information more easily** | **UMC** |
| **How is the governance structure shown?**  
What about student governance? | **Should be on website** | **I found this webpage.**  
BUT this is just the senior team. It does not show the governance structure and I am not sure where to find it. | **Identify governance/org chart and put on website.** | **UMC**  
**Lisa** |
| **Where can we find information on academic offerings?** | **Academic Catalog** | **This link shows catalogs for both NPU and the seminary.**  
https://www.northpark.edu/academics/undergraduate-programs/academic-assistance/academic-catalog/ | **** | **UMC** |
| **Where can we find information on faculty and staff?** | **On website** | **https://www.northpark.edu/faculty-staff-directory/** | **UMC and Seminary** | **** |
## Gap Analysis Example

### Criterion 2A: Integrity: Ethical and Responsible Conduct

*The institution acts with integrity; its conduct is ethical and responsible.*

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</table>

### II. The institution ensures evidence is available to support any claims it makes regarding its contributions to the educational experience through research, community engagement, experiential learning, religions or spiritual purpose, and economic development.

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</table>

- **Where is evidence to be found regarding contributions to the educational experience via research?**
  - MATS in seminary focuses on research and directed research. NPU undergraduate also has directed research and NPRESS
  - **MET BUT**
  - [https://www.northpark.edu/stories/npress-students-share-research-findings/](https://www.northpark.edu/stories/npress-students-share-research-findings/)
  - **I found this webpage on NPRESS research findings but they are from 2016. I imagine the assessment report for MAT would confirm evidence of research that effects the educational experience.**
  - **NOT MET**
  - **Need more recent NPRESS research findings.**
  - **I imagine the assessment report for MAT would showcase research.**
  - **Not sure where this comes from - University Dean??**

- **Where is evidence to be found regarding contribution to the educational experience via community engagement?**
  - Catalyst should have a co-curricular assessment report
  - **NOT MET**
  - **Is there a co-curricular assessment report for Catalyst?**
  - **Need catalyst assessment report**
  - **Catalyst staff/faculty: Rich Kohng, Rachelle Ankney**

- **Where is evidence to be found regarding contribution to the educational experience via experiential learning?**
  - Need SOP for PLA regarding experiential learning evidence.
  - **NOT MET BUT**
  - **SPS is working on SOP for Prior Learning Assessment portfolios.**
  - **SPS is working on this.**
  - **Dean of SPS • SPS PLA Coordinator**

- **Where is the Student consumer information shown?**
  - Shown on the website, but not all links work on this page.
  - **MET BUT**
  - **Does this cover the seminary too?**
  - **Check all links to make sure they are working and have the correct information. Should specify this covers the seminary. Too. if this is the case.**

- **Do we post information on the annual safety, security, and report?**
  - On website
  - **MET**
  - **Can download the report here.**

- **This link includes seminary but does it include everyone. I did not see Luke Palmerlee, for instance?**

- **Where is the Student consumer information shown?**
  - **This link includes seminary but does it include everyone. I did not see Luke Palmerlee, for instance?**

- **Where is the Student consumer information shown?**
  - **This link includes seminary but does it include everyone. I did not see Luke Palmerlee, for instance?**

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**Gap Analysis Example**  
**Criterion 2A: Integrity: Ethical and Responsible Conduct**  
*The institution acts with integrity; its conduct is ethical and responsible.*

<table>
<thead>
<tr>
<th>Evidence</th>
<th>Evidence</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Where is evidence to be found regarding contribution to the educational experience via religious or spiritual purpose?</td>
<td>UMin, seminary, curriculum and mission statement. Should also be in assessment data.</td>
<td>NOT MET BUT</td>
</tr>
<tr>
<td>Where is evidence to be found regarding contribution to the educational experience via economic development?</td>
<td>Infrastructure plan</td>
<td>NOT MET</td>
</tr>
<tr>
<td>• Where is evidence to be found re: contribution to the educational experience via religious or spiritual purpose?</td>
<td>• UMin, seminary, curriculum and mission statement.</td>
<td>• NOT MET BUT</td>
</tr>
<tr>
<td>• Where is evidence to be found re: contribution to the educational experience via economic development?</td>
<td>• Infrastructure plan</td>
<td>• There should be an infrastructure plan that would note the educational experience, if, for example, Carlson was remodeled. Are there data already to showcase how the Johnson Center or remodeling of Hanson Hall have contributed to the educational experience?</td>
</tr>
</tbody>
</table>

**2C The governing board of the institution is sufficiently autonomous to make decisions in the best interest of the institution and to assure its integrity.**

1. The governing board’s deliberations reflect priorities to preserve and enhance the institution.
2. The governing board reviews and considers the reasonable and relevant interests of the institution’s internal and external constituencies during its decision-making deliberations.
3. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests, or other external parties when such influence would not be in the best interest of the institution.
4. The governing board delegates day-to-day management of the institution to the administration and expects the faculty to oversee academic matters.

**2C Core Component Subcomponents:**

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>1. The governing board is trained and knowledgeable so that it makes informed decisions with</td>
<td>• Who is responsible for the training? Should this be an outside firm or person?</td>
<td>• Board of Trustees minutes.</td>
<td>NOT MET</td>
<td>• We should be looking for annual operational training plans for the Board. There should be</td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td>3.</td>
<td></td>
<td>4.</td>
</tr>
</tbody>
</table>
## Criterion 2A: Integrity: Ethical and Responsible Conduct

The institution acts with integrity; its conduct is ethical and responsible.

<table>
<thead>
<tr>
<th>respect to the institution’s financial and academic policies and practices and the Board meets its legal and fiduciary responsibilities.</th>
<th>How regular is the training?</th>
<th>Are there different levels of training?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• How regular is the training?</td>
<td>• Strategic plan document</td>
<td>• NOT MET</td>
</tr>
<tr>
<td>• Are there different levels of training?</td>
<td>• Board of Trustee minutes</td>
<td>• We should be looking not only for a strategic plan but the ongoing process by which this plan is being developed.</td>
</tr>
<tr>
<td>• respect to the institution’s financial and academic policies and practices and the Board meets its legal and fiduciary responsibilities.</td>
<td>• Operational or action plans developed</td>
<td>• We should also be looking for operational or actions plans that are specific, measurable, attainable, realistic and time bound that are used to implement the strategic plan.</td>
</tr>
<tr>
<td>• respect to the institution’s financial and academic policies and practices and the Board meets its legal and fiduciary responsibilities.</td>
<td>• NOT MET</td>
<td>• We should also look for documentation that describes how the plan is being evaluated for effectiveness.</td>
</tr>
</tbody>
</table>

### ii. The governing board’s deliberations reflect priorities to preserve and enhance the institution.

| • Who sets the institution’s priorities? | • Strategic plan document | • NOT MET |
| • How are they accessed? | • Board of Trustee minutes | • Regular and ongoing strategic and operational planning done on the Senior Team and President level with oversight and investment by the Board. |
| • What role does a strategic plan play in developing the priorities of the institution? | • Operational or action plans developed | • Board involvement in the development of the strategic plan should not be overlooked. |
| • Who are the major stakeholders in the development of a strategic plan? | • NOT MET | • The action / operational plan development is a |
| • Strategic plan document | • NOT MET | • President’s Office |
| • Board of Trustee minutes | • Regular and ongoing strategic and operational planning done on the Senior Team and President level with oversight and investment by the Board. |
| • Operational or action plans developed | • Regular and ongoing strategic and operational planning done on the Senior Team and President level with oversight and investment by the Board. |

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Updated: June 20, 2019
### Criterion 2A: Integrity: Ethical and Responsible Conduct

The institution acts with integrity; its conduct is ethical and responsible.

#### III. The governing board reviews the reasonable and relevant interests of the institution’s internal and external constituencies during its decision-making deliberations.

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<tbody>
<tr>
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</tr>
<tr>
<td>• How is feedback gathered from both internal and external stakeholders?</td>
<td>• Annual feedback planning document.</td>
<td>• We should be able to identify specific activities that are used on an ongoing basis to gather feedback from both internal and external constituencies.</td>
<td>• A University communication team should be put together to represent all entities that connect both internally and externally. This team should have as its goal implementing a mechanism that will in real time allow the Board of Trustees and Senior Team to know in detail the perceptions and needs of both our internal and external constituencies as well as how we are doing in meeting those expectations.</td>
<td></td>
</tr>
<tr>
<td>• Who oversees this process?</td>
<td>• How is the process executed and by whom?</td>
<td></td>
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</tbody>
</table>

#### IV. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests, or other external parties.

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<tbody>
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</tr>
<tr>
<td>• As a school owned by one entity, the ECC, what are the stated boundaries in the bylaws that discuss the issue of governance?</td>
<td>• Founding documents</td>
<td>• It is very clear in the bylaws where the boundaries are in terms of governance.</td>
<td>• Regular and ongoing meetings between the President of the University and the ECC leadership team should be required.</td>
<td>• Development</td>
</tr>
<tr>
<td>• Are there similar models we can learn from whose governance model is similar?</td>
<td>• Bylaws</td>
<td>• The board has specific oversight responsibilities as well as certain responsibilities to the ECC.</td>
<td>• Clear lines of boundaries should be maintained.</td>
<td>• Alumni Affairs</td>
</tr>
<tr>
<td></td>
<td>• ECC founding documents</td>
<td>• Board of Trustee policy manual</td>
<td></td>
<td>• Communications</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• ECC Annual Meeting</td>
<td>• VP of Church Relations,</td>
</tr>
</tbody>
</table>

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Updated: June 20, 2019
## Gap Analysis Example
### Criterion 2A: Integrity: Ethical and Responsible Conduct
The institution acts with integrity; its conduct is ethical and responsible.

| V. | The governing board delegates days-to-day management of the institution to the institution's administration and expects the institution's faculty to oversee academic matters. | • Clear policies and protocols should be in place in the area of degree program assessment, curriculum development, and new program development. | • MAPP  
• Seminary Academic policy manual  
• Assessment manual for both seminary and university | • NOT MET  
• Area of assessment is very weak for both the seminary and the university.  
• The seminary over the past two years has been forced to grapple with this issue due to an ATS self-study accreditation visit in the Fall 2017, which almost saw the institution be put on warning.  
• Office of Institutional Effectiveness does not exist.  
• Office of Accreditation only has one full time person.  
• No central data base nor best practices among the various colleges. | • Immediate expansion needed in terms of personnel in the area of Institutional Effectiveness and Assessment.  
• Scope of authority for University Associate Provost needs to be granted and ensured.  
• Best practices across all the colleges need to be codified in the area of degree program assessment and institutional assessment. | authority should be upheld by the university. |

### 2D The institution is committed to freedom of expression and the pursuit of truth in teaching and learning.

• Essential  
• Desirable | Who’s Responsible:  
• University Associate Provost of Assessment  
• University Assessment Team  
• Academic Dean of the Seminary  
• Provost of the University |

| I. | Nothing listed on Gap Analysis Report. | • How does the university support academic freedom and freedom of expression for faculty, students and staff?  
• Where and how is this communicated? | • MAPP - Sections 9.1 and 10.1  
• Censorship: University Catalog p.20 and Student handbook p. 90 | • MET  
• Section 9.1 of MAPP includes the AAUP Statement of Professional Obligations regarding academic freedom and the pursuit of truth. | • Should develop specific statement on peaceful assembly of students since this is not directly addressed anywhere. | • Student Engagement?  
• Office of Diversity? |

Updated: June 20, 2019
### Gap Analysis Example

#### Criterion 2A: Integrity: Ethical and Responsible Conduct

*The institution acts with integrity; its conduct is ethical and responsible.*

<table>
<thead>
<tr>
<th>Processes, Practices, Activities</th>
<th>Gap Rating</th>
<th>Evidence</th>
<th>Recommendations:</th>
<th>Who’s Responsible:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Essential</td>
<td></td>
</tr>
<tr>
<td>• What are the supported and sponsored activities that allow for a discussion of varying views and opinions?</td>
<td></td>
<td></td>
<td>Desirable</td>
<td></td>
</tr>
<tr>
<td>• What are the policies and procedures for peaceful assembly of students?</td>
<td></td>
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<tr>
<td>• Where and how are they communicated?</td>
<td></td>
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<tr>
<td>• What are the general education options and how are they communicated?</td>
<td></td>
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</tr>
<tr>
<td>• Academic dishonesty: University Catalog p. 21 and Student handbook p.18</td>
<td>NOT MET FOR PEACEFUL ASSEMBLY OR SPONSORED ACTIVITIES</td>
<td>Section 10.1 of MAPP includes a statement of academic freedom referring to the AAUP.</td>
<td></td>
<td></td>
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<tr>
<td>• Core curriculum: University Catalog p. 28</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• NOT MET FOR PEACEFUL ASSEMBLY OR SPONSORED ACTIVITIES</td>
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<tr>
<td>• Section 10.1 of MAPP includes a statement of academic freedom referring to the AAUP.</td>
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<tr>
<td>• Censorship: University Catalog p.20, Item 8 addresses censorship for the student. Same wording can be found on p. 90 of the Student Handbook, Item 8.</td>
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<tr>
<td>• Academic dishonesty: Statements defining academic dishonesty, can be found in University Catalog p. 21 Student handbook p.18 expands on that and includes consequences and remedies.</td>
<td></td>
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<tr>
<td>• Core curriculum: Outlined in University Catalog beginning on p. 28. Requirements listed as well as courses which meet the requirements.</td>
<td></td>
<td></td>
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<tr>
<td>• Waiting on evidence regarding activities.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• Do we need evidence on what core curriculum courses are actually offered?</td>
<td></td>
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</tbody>
</table>

#### 2E

**The institution’s policies and procedures call for responsible acquisition, discovery and application of knowledge by its faculty, students, and staff.**

1. **The institution provides effective oversight and support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff, and students.**
2. **Students are offered guidance in the ethical use of information resources.**
3. **The institution has and enforces policies on academic honesty and integrity.**

#### 2E Core Component Subcomponents:

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</table>

Updated: June 20, 2019
**Gap Analysis Example**  
**Criterion 2A: Integrity: Ethical and Responsible Conduct**  
*The institution acts with integrity; its conduct is ethical and responsible.*

<table>
<thead>
<tr>
<th>I. Institutions supporting basic and applied research maintain professional standards and provide oversight ensuring regulatory compliance, ethical behavior, and fiscal accountability.</th>
<th>Are the policies and procedures for research projects communicated to faculty and students?</th>
<th>IRB Page on the University Website <a href="https://www.northpark.edu/about-north-park-university/office-of-the-provost/university-committees/institutional-review-board">https://www.northpark.edu/about-north-park-university/office-of-the-provost/university-committees/institutional-review-board</a></th>
<th>MET</th>
<th>The Directed Research reports document the research performed but do not document policies and procedures. The IRB page of the website describes the policies and procedures for submission, includes all forms and due dates for submission.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Are there mechanisms in place to ensure regulatory compliance and ethical behavior in research projects?</td>
<td>Undergraduate Research Committee – Directed Research Course requirements and reports</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| II. The institution provides effective support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff, and students. | Are there mechanisms to inform faculty and staff on:  
  o NPU’s policy relating to the management of intellectual property  
  o Any shared intellectual property arrangements with external partners.  
  o Advice and support on the translation of research innovations into new products? | There are no policies on intellectual property other than as it relates to online course development. | NOT MET | Emma Coyne is getting copies of the COE contracts for online course development. |  
|  | Are reports available on the number of projects involving intellectual property and commercialization issues? |  |  |  |
|  | Are reports available on the number of projects involving intellectual property and are areas of growth identified from these? |  |  |  |
|  | Is feedback collected on the satisfaction of support provided on the management of intellectual property and commercialization issues? |  |  |  |

Updated: June 20, 2019
**Criterion 2A: Integrity: Ethical and Responsible Conduct**

*The institution acts with integrity; its conduct is ethical and responsible.*

### III. The institution provides students guidance in the ethics of research and use of information resources.

<table>
<thead>
<tr>
<th>Question</th>
<th>Source</th>
<th>Result</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there mechanisms to inform students on NPU’s policy relating to intellectual property?</td>
<td>University Catalog, University Library SOP</td>
<td>NOT MET</td>
<td>Waiting on information from library.</td>
</tr>
<tr>
<td>Is student feedback collected on the satisfaction of support provided?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What resources are available to provide information and guidance to students about intellectual property and the ethical use of information?</td>
<td></td>
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</tr>
</tbody>
</table>

### IV. The institution enforces policies on academic honesty and integrity.

<table>
<thead>
<tr>
<th>Question</th>
<th>Source</th>
<th>Result</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have there been incidents of reported breaches of the ethics policy?</td>
<td>MAPP, Section 7.7, 8 and 10.7, Student Handbook, p. 18 - 21, University Catalog, p. 21</td>
<td>MET BUT</td>
<td>MAPP, Section 7.7 addresses situations and process which would lead to dismissal of tenured faculty. Section 8 addresses sanctions other than dismissal and Section 10 addresses process for matters not addressed elsewhere. No evidence for actual incidents. Academic Dishonesty: Statements defining academic dishonesty can be found in University Catalog p. 21. Student handbook p. 18 expands on that and includes consequences and remedies.</td>
</tr>
<tr>
<td>What are the disciplinary policies?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Updated: June 20, 2019**