

From Idea to Implementation:
Decision Paths at Loyola University New Orleans
for
Policy Issues, Curricular Proposals, and the Budgetary Process

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Approved Spring 2004 by the President’s Cabinet, University Planning Team, Standing Council for Academic Planning, University Budget Committee, and the Council of Deans.



**From Idea to Implementation:
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Planning and decision-making are important processes within the university that must be executed in as effective a manner as possible. There are many models an institution could employ in addressing these processes; however, there is no one perfect model or approach. In fact, circumstances often dictate the most effective model. Therefore, the university needs flexibility in addressing these processes. Nonetheless, it is also important, as a matter of everyday operation, for the university to have in place a carefully considered plan that allows decision-making to proceed in an orderly fashion and that embraces openness and inspires confidence among the various stakeholders throughout the campus community.

Resolving policy issues, generating the annual budget, and evaluating curricular proposals require different decision/consultation-path models. Each of these models builds upon the Jesuit traditions of respect for the individual and for diverse views and opinions, of the pursuit of truth through critical reflection and analysis, and of a commitment to create a community of dialogue and service. The following assumptions apply to all three of these models.

1. Policy ideas and issues may arise anywhere in the university. To the degree that implementation of these ideas affect constituencies within or across divisions or have implications for employee relations, student relations, parent or alumni relations, and public or community relations as well as legal or risk-management implications, ample effort must be made to seek information broadly from appropriate constituencies and feedback provided regularly during the critical junctures in the policy-making process.
2. Communication among groups is essential. Principal planning groups seek input and provide information frequently to ensure that participation, timely information, and feedback are not just apparent but real.
3. The preferred model of governance is a collaborative mode of operation. As such, it recognizes the locus of authority in both faculty and administration, each with its own particular role. It is understood that faculty will let administrators administer without attempting to micromanage every operational decision and that administrators will let faculty participate effectively in determining policy.
4. This collaborative model calls for balance between elected representation and appointed representation (based on faculty, staff, and student expertise and interest) to make the system both efficient and representative.
5. The University Planning Team (UPT) is the university-wide planning organ.

I. Consultation/Decision-Path Model for Policy Issues

The Consultation Decision-Path Model for Policy Issues follows the path presented in Figure 1 (page 5).

A. Initiation

1. Academic

- a. Internal operational issues are resolved within an academic department, college, or division according to the respective protocols.
- b. Major policy ideas and issues originating in an academic department and either having no budgetary implications or requiring only reallocation of resources within the Division of Academic Affairs flow from the department to the college to the Standing Council for Academic Planning (SCAP), with appropriate stakeholder consultation, and finally to the provost for approval.
- c. Major policy ideas and issues originating in an academic department and having budgetary implications requiring an infusion of new university resources flow from the department to the college to SCAP to the provost to the University Planning Team (UPT) and University Budget Committee (UBC), and finally to the president and his cabinet for approval. Depending on the issue, the president or the Board of Trustees gives final approval.

2. Non-Academic

- a. Internal operational issues are resolved within a department or division according to the respective protocols.
- b. Major policy ideas and issues originating in a non-academic department and either having no budgetary implications or requiring only reallocation of resources within the originating division flow through the normal divisional structure, to other stakeholders as appropriate, and finally to the divisional vice president for approval.
- c. Major policy ideas and issues originating in a non-academic department and having budgetary implications requiring an infusion of new university resources flow from the department to the appropriate vice president to UPT and UBC, to the provost, and finally to the president and his cabinet for approval. Depending on the issue, the president or the board gives final approval.

3. Task Force

- a. Ideas originating in either an academic or non-academic special task force and requiring no infusion of new university resources nor reallocation of resources flow through the appropriate divisional structure to UPT, to the appropriate vice president, then to the president and his cabinet for approval. Depending on the

issue, the president or the board gives final approval. It is expected that ample consultation with appropriate parties will take place on interdivisional issues.

- b. Ideas originating in either an academic or non-academic special task force and requiring new university resources or reallocation of resources flow through the appropriate divisional structure to UPT and UBC, to the appropriate vice president, then to the president and his cabinet for approval. Depending on the issue, the president or the board gives final approval. It is expected that ample consultation with appropriate parties will take place on interdivisional issues.

4. UPT and UBC

If an idea originates in either UBC or UPT, it should loop back to the appropriate division (e.g., units directly affected by the proposal) and follow one of the paths outlined above.

B. Impact on *Faculty Handbook* Provisions

Policy ideas and issues originating either in an academic or non-academic department, committee, or task force that would affect provisions in the *Faculty Handbook* must flow through the appropriate committee and divisional structure, to the University Faculty Handbook Revision Committee, and the University Senate. Depending on the issue, the president or the board gives final approval. It is expected that ample consultation with appropriate parties will take place on interdivisional issues.

C. Consultation

All new and revised policies, procedures, and program proposals must be promulgated to the entire university community for comment prior to implementation.

D. Formative and Summative Evaluation

All new and revised policies, procedures, and programs must be evaluated. Evaluations should determine whether outcomes are achieved and should provide evidence of improvement.

E. Comprehensive Assessment Plan

Assessment supports the initiation and consultation stages of the Consultation/Decision-Path Model for Policy Issues. The assessment plan also supports the evaluation of all new and revised policies, procedures, and programs. Ongoing assessment of all educational programs and administrative and educational support services is an essential component of the evaluation, planning, and resource-allocation cycle and a basis for change and improvement.

F. Major Planning Committees

1. University Planning Team

The University Planning Team (UPT) is the primary planning unit at the university level. It is responsible to the president for university planning and for recommending the annual objectives of the university. In addition, it assures that effective planning takes place at all levels of the university. [*Faculty Handbook* 16-13]

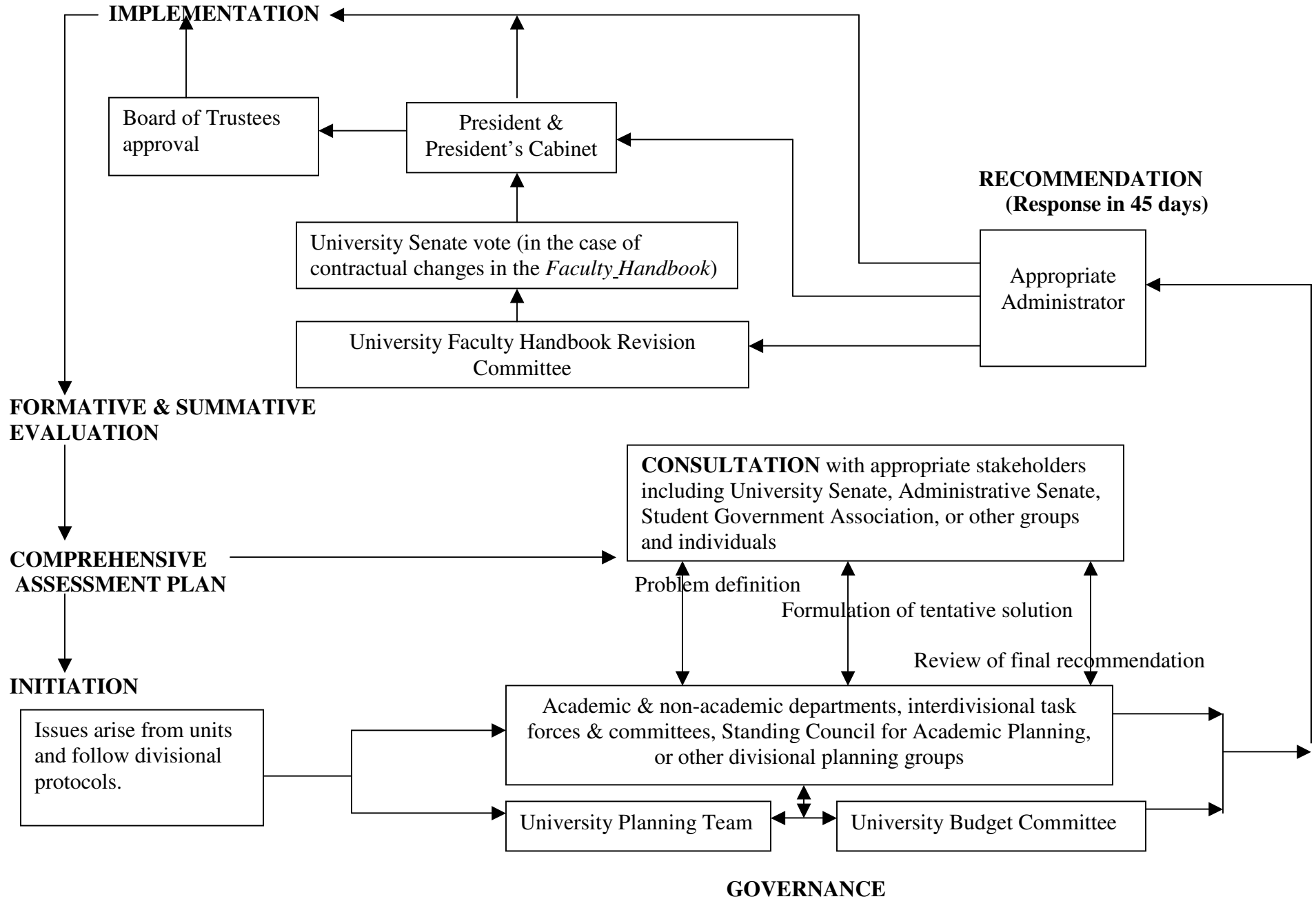
2. University Budget Committee

The University Budget Committee (UBC) has the responsibility to prepare the annual budget and to recommend the budget to the president. This committee also has responsibilities for making recommendations regarding financial policy and for allocating resources in line with priorities enunciated by the Board of Trustees, the president, the provost, the Standing Council for Academic Planning, and the University Planning Team. [*Faculty Handbook* 16-8]

3. Standing Council for Academic Planning

The Standing Council for Academic Planning (SCAP) is responsible for academic planning for the university. SCAP planning duties include coordinating its efforts with all other university planning groups engaged in academic planning and evaluating proposals to establish or discontinue academic programs. [*Faculty Handbook* 16-6]

Consultation/Decision-Path Model For Policy Issues



II. Curricular Proposals

Curricular proposals follow the path presented in Figures 2 and 3 (pages 11 and 12).

All undergraduate and graduate curricular proposals in the Colleges of Arts and Sciences, Business Administration, and Music and in City College originate from the faculty. All curricular proposals must be evaluated for approval, revision, or denial according to stated guidelines in the *Faculty Handbook*, college and department protocols and handbooks, committee protocols, and the charter and bylaws of the university.

The type of proposal determines the number of review steps required for approval. Proposals to establish, substantially revise, or discontinue a major or minor program require various approvals depending on the nature of the proposal.

Final approval of proposals to establish or discontinue an undergraduate major or graduate degree program rests with the Board of Trustees. All curriculum proposals that require new monies from the university require additional approval, the final approval being determined by the type of the proposal and the amount of the request. At a minimum, all curriculum proposals must be approved up through the level of the University Courses and Curriculum Committee in order to be implemented.

The faculty's right of determination in curricular matters is described in the *Faculty Handbook*, Chapter 8 and the responsibilities of the deans are described in Chapter 3.

The following narrative and the charts (pages 11 and 12) describe the sequential flow of curricular proposals for undergraduate and graduate programs:

A. Initiation of Curricular Proposals

Faculty members initiate curricular proposals for reasons including introducing new courses, minors, and majors; revising courses, minors, and majors; and discontinuing courses, minors, and majors. After approval within the originating academic department/area/program, proposals are reviewed and approved or not approved according to specific program and college protocols.

B. College Curricular Processes

The Colleges of Arts and Sciences, Business Administration, and Music and City College have processes to review and approve, or not approve, curricular proposals originating from faculty members, areas, and departments within the colleges. Following are brief descriptions of the individual college processes. Please note section B. 5 in cases where the dean has decided to reject a proposal and remand it to its originator.

1. College of Arts and Sciences

Curricular proposals originate from faculty members and follow an approval path based on the requirements of department protocols. The protocols may vary in some details but generally include an initial discussion with the department chair, development of the proposal, and a vote by department faculty to approve or not approve the proposal. The

process may vary slightly depending on the type of proposal (e.g., new course, revisions to a major, or a new minor).

After receiving department approval, curricular proposals are submitted by the department chair to the College Curriculum Committee. The College Curriculum Committee reviews and approves new courses from any department or unit in the college except for Honors courses, Common Curriculum courses, and graduate courses. In addition, the committee reviews and approves proposed changes in requirements for undergraduate degree programs and other major curricular changes from any department or unit in the college. Proposals approved by the committee are forwarded to the dean for approval and submission to the next appropriate committee. All curricular proposals approved up through the dean are then submitted to the University Courses and Curriculum Committee.

2. College of Business Administration

Curricular proposals are reviewed and approved, or not approved, by one of three curriculum committees (department, undergraduate, and graduate). The department committees are responsible for the majors and for some of the minors; the undergraduate curriculum committee is responsible for the common-body-of-knowledge courses and the business general-education requirements; and the graduate curriculum committee is responsible for graduate proposals. Proposals approved by the committees are next reviewed by the entire business faculty and, if approved, are forwarded to the dean for approval.

Proposals approved by the dean are next submitted to the Common Curriculum Committee or to the University Courses and Curriculum Committee as appropriate.

3. College of Music

All music curricular proposals flow from the originating faculty member to the college curriculum committee. Approved proposals are then submitted to the full faculty and, if approved, are forwarded to the dean for approval.

Proposals approved by the dean are next submitted to the Common Curriculum Committee or to the University Courses and Curriculum Committee as appropriate.

4. City College

All undergraduate, graduate, and certificate proposals are approved or not approved by the college curriculum committee. In addition, the nursing program and the Loyola Institute for Ministry (LIM) program have individual committees that must approve curricular proposals before they are submitted to the college curriculum committee. Proposals approved by the committee are forwarded to the dean for approval and, if approved, submission to the University Courses and Curriculum Committee.

5. Deans

If a dean decides to reject a proposal and remand it to its originator, he or she must provide reasons in writing for wanting to do so to the curriculum committee of the relevant college within 45 days.

C. Honors, Interdisciplinary, Distance-Learning, and Study-Abroad Curricular Processes

1. Honors Program

Proposals for new Honors courses or for significant additions or alterations to courses are placed before the University Honors Advisory Board (UHAB). Upon passage by UHAB, proposals are then forwarded to the Common Curriculum Committee (because Honors courses are Common Curriculum courses) and then to the University Courses and Curriculum Committee for final approval.

2. Interdisciplinary Programs

Proposals for interdisciplinary-program courses or for significant additions or alterations to interdisciplinary programs follow an approval path based on the requirements of the program protocol.

3. Distance-Learning and Study-Abroad Programs

The Distance Learning Activities Committee (DLAC), in addition to the appropriate curriculum committees, reviews and approves proposals for new distance-learning programs, including study-abroad programs. DLAC is also responsible for ensuring that distance-learning programs comply with risk-management and accreditation requirements.

D. Inter-College Curricular Process

After the originating departments, colleges, and relevant program committees approve proposals, the proposals are submitted to one or more committees comprised of representatives from across the colleges. The type of proposal determines which committees are involved.

1. Common Curriculum Committee

The Common Curriculum Committee reviews proposals regarding the Common Curriculum. The committee is housed in the College of Arts and Sciences, and its membership includes faculty members from the College of Arts and Sciences, the College of Business Administration, and the College of Music. Proposals endorsed by the committee are forwarded to the Dean of the College of Arts and Science. The dean forwards the proposal to the University Courses and Curriculum Committee with a letter of recommendation. Proposals not approved by the Common Curriculum Committee are remanded to the originating college/department.

2. Graduate Council

The Graduate Council reviews proposals for new graduate programs, substantive changes, or discontinuance of existing programs before the proposals are submitted to the

University Courses and Curriculum Committee. The council serves as an advisory committee to the provost.

3. University Courses and Curriculum Committee

The University Courses and Curriculum Committee (UC&CC) reviews proposals that have been recommended by the Common Curriculum Committee, the college curriculum committees, and the Graduate Council. The University Courses and Curriculum Committee is the final review body for proposals for new courses, course changes, course deletions, and non-substantive revisions to existing majors and minors. UC&CC makes its recommendations to accept or reject proposals to the provost. The provost notifies the appropriate dean of the committee's recommendation and his decision. [*Faculty Handbook* 17-12]

E. University-Wide Review and Approval Process

There are additional review and approval steps for proposals for new programs, substantive revisions to existing programs, and discontinuance of programs.

1. Standing Council for Academic Planning

Proposals to establish or discontinue majors, minors, and graduate programs must be submitted to SCAP for review and a recommendation to the provost. In addition, proposed significant revisions (excluding changes in individual courses) to majors, minors, and graduate programs should also be submitted to SCAP. If no further approval is required, the provost notifies the appropriate dean of SCAP's recommendation and the provost's decision.

Proposals to establish or discontinue undergraduate majors or graduate degrees that are approved by SCAP must be submitted to the Board of Trustees for approval. Proposals that will be forwarded to the Board for approval should also be reported to the University Planning Team for information purposes. Proposals with revenue implications must be presented to the University Budget Committee for input. [*Faculty Handbook* 16-6]

2. University Planning Team

The University Planning Team must be informed of proposals to establish or discontinue undergraduate majors and graduate degrees in order to provide an opportunity for input from all areas of the university that could be affected. [*Faculty Handbook* 16-13]

3. University Budget Committee

Proposals to establish or discontinue undergraduate majors and graduate degrees that have revenue implications must be presented to the University Budget Committee for input. [*Faculty Handbook* 16-8]

4. Board of Trustees

Proposals to establish or discontinue undergraduate majors and graduate programs must be submitted to the Board of Trustees for approval. The provost notifies the appropriate dean of the Board's decision.

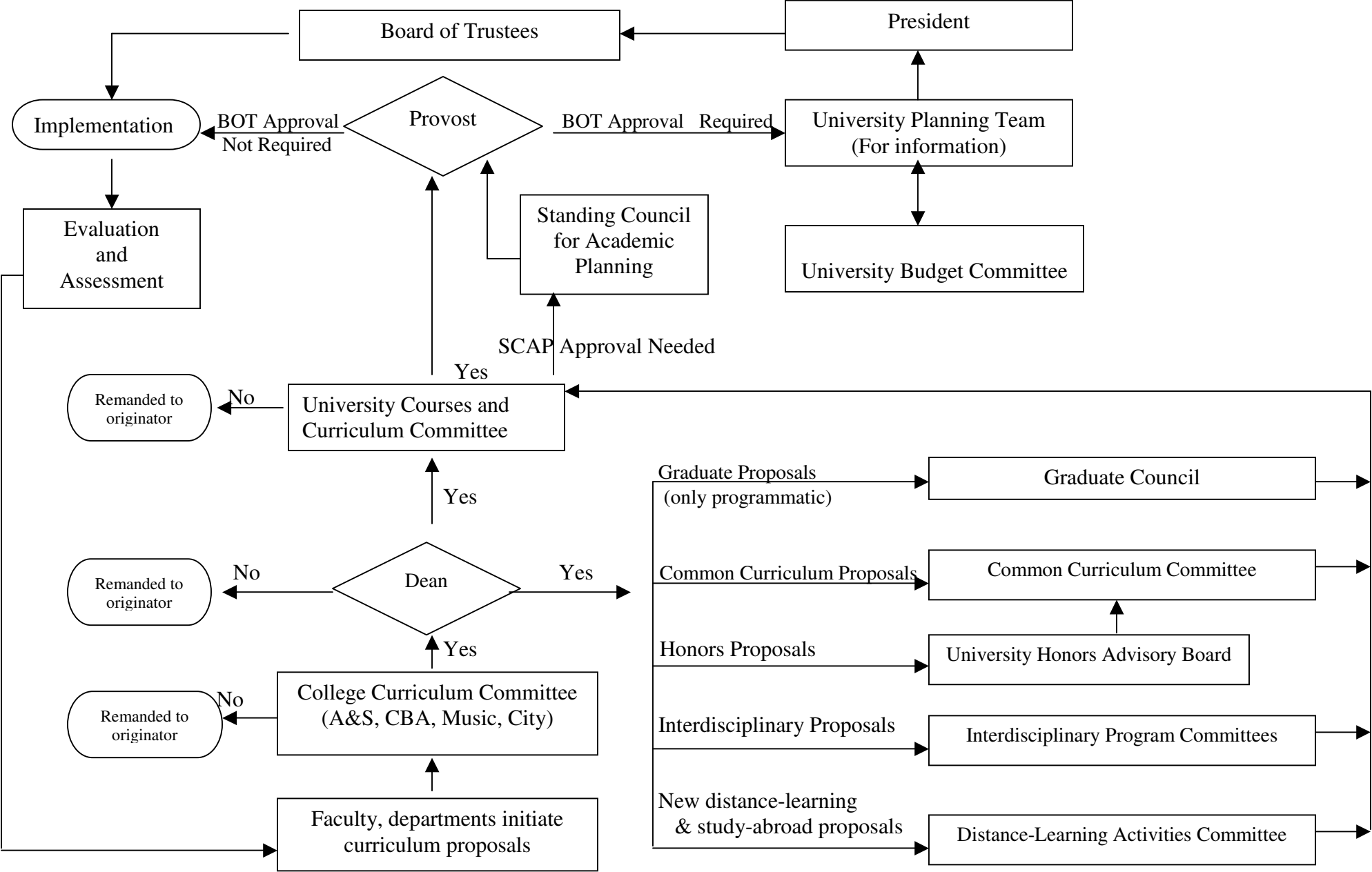
F. Evaluation and Assessment

All new and revised policies, procedures, and programs must be evaluated. Evaluations, both formative and summative, are intended to determine whether outcomes are achieved and to provide evidence of improvement.

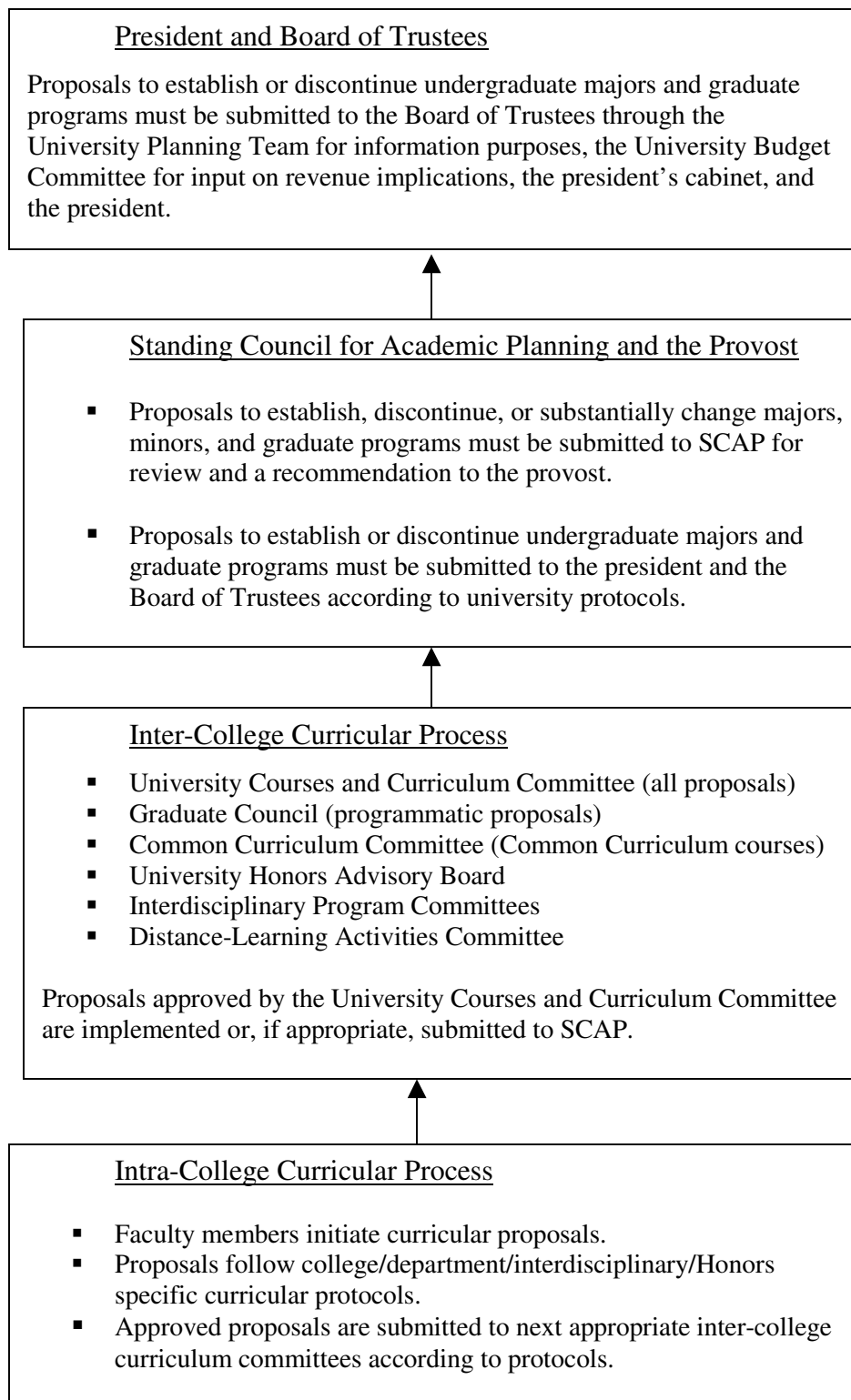
Ongoing assessment of all educational programs is expected, and anticipated outcomes must be identified for all educational programs. Assessment methods and practices should be designed to facilitate improvement of programs and services and to address external reporting and accountability requirements.

Flow Chart of Curricular Proposal Process

Figure 2



Curricular Proposal Review and Approval Process



III. Budgetary Process

The process described in Figure 4 (pages 14 and 15) represents the university's fundamental budget planning process.

- A. Loyola follows a multi-year budgeting process that:
- Leads to expenditures that are consistent with the mission and vision of the university,
 - Is consistent with the goals and objectives of the long-range plans of the university as expressed in the university strategic plan,
 - Is transparent to the major stakeholder groups throughout the university,
 - Provides sufficient lead-time for colleges to recruit faculty for the following year, and
 - Is able to respond rapidly to changing needs and opportunities.
- B. Transparency is achieved by several means including:
- Public announcements by the president and provost of broad priorities, and
 - Presentation of budget request before the University Budget Committee, which has representation of faculty, staff, and administration.

It should be understood by all that if there are shortfalls in revenue vis-à-vis the projected revenue upon which the budget is built, then cuts will be made in unit budgets during the academic year.

Figure 4

BUDGETARY PROCESS

AY _____																			
Budget Process																			
Process Timeline	Apr.	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar	Apr.	May	June	July	Aug.	Sept.	Oct.
Development of (AY _____) Budget																			
President Announces University Budget Priorities for AY _____	█																		
Provost Meets with SCAP and Deans to Develop Academic Affairs Budget Priorities		█																	
Provost Announces Academic Affairs Budget Priorities for AY _____					█														
Development of Detailed Budgets by Colleges and Departments						█	█	█											
Presentation by Deans and Directors to Provost									█	█									
Revisions by Deans											█								
Divisions Present Budget Proposals to UBC												█							
Revenue Committee Formulates Recommendations for Funding of Combined Proposals ^a													█	█	█	█			
Revenue Proposals Presented to UBC by VPs and Discussed by UBC with Recommendations Forwarded to President																	█	█	
Approval by President																			█

^a The Revenue Committee shall be comprised of a representative from each of the following units: the Office of the Provost, Office of Admissions and Enrollment Management, the Division of Business and Finance, the Division of Student Affairs, and the Division of Institutional Advancement. The committee will consult resource individuals from various units, as needed.

Figure 4

AY _____ Budget Process (con't)											
Process Timeline											
	Nov.	Dec.	Jan.	Feb.	Mar	Apr.	May	June	July	Aug.	
Development of AY _____ Budget											
President Presents Budget Proposals to the Board											
Based Upon Projections of Enrollment Necessary Revisions Are Made to Budget											
Deans and Department Heads Present, If Requested, Revised Budgets to the Provost											
New Budget Year Commences											