

PSC 744 Seminar: Public Budgeting
Semester: Fall, 2009
Instructor: Professor Simon
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University of Nevada, Reno
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Office Hours: Tues. 12:00-12:45 pm; Thurs. 4:15-5:00 pm
Class Day: Thursdays 5:30 pm – 8:15 pm

Course Overview

Introduce student to the process and politics of public budgeting. This is NOT a class on public finance.

Course Goals/Objectives

My goal is to provide a general overview of the public budgeting process and associated literature published over a 70 year period. My commitment to you is that by the end of this course, if you study hard, you will be well on your way to doing very well on your comps and your thesis/dissertation work.

Course Requirements

Careful Reading of All Assigned Materials (read class materials assigned for a particular meeting prior to class attendance)

Grading Policy

Participation	20%
Final Unit Examination	30%
Final Seminar Paper	20%
Seminar Paper Reading Paper & Presentation	20%
Seminar Discussant	10%

Course Grading Scale:

A	100-96	B+	89-87	C+	79-77	D+	69-67	F<60
A-	95-90	B	86-83	C	76-73	D	66-63	
		B-	82-80	C-	72-70	D-	62-60	

Class Participation

I will begin to know who you are and will observe your classroom interactions with me and your fellow classmates. Participation is graded on the basis of your presence and your substantive input in seminar discussions.

Class Participation is also evaluated on a weekly basis. Each of you will have the opportunity to be a discussion leader. As discussion leader, you will be required to tie the readings together into a cogent 5 page double spaced computer printed/typed paper and, if you find it necessary, to research other ancillary readings related to the week's topic (see Seminar Reading Paper and Presentation). The paper will be emailed to your discussant(s) of the week (assigned) at least 48 hours in advance of class. You will present your paper findings in 15-20 minutes at the beginning of class and then your discussant(s) will critique your work in another 15-20 minute period...and I don't mean a "rah-rah" critique...a real critique.

Readings

As you will likely note, some weeks have more reading than others. I tend to heavily frontload courses—one has to get their feet wet in the subject so that subsequent discussions get started. Also, some weeks, might involve more than just the readings—maybe a discussion of how your seminar papers are going or maybe a bit more lecture on some weeks compared with other weeks. Also, frontloading means you have more time at the end of the semester to work on your seminar papers.

Attendance Policy

Attendance is mandatory.

E-Mail Policy

If you choose to email me regarding class issues, realize that I will not respond to you instantaneously. I check my email once per day and I do not necessarily answer all emails every day. I answer as many as time permits. Think through your email before you send it—make sure it is understandable, complete and to the point. If emails require multiple responses to clarify the original intent of your email question, then it is easier to communicate in-person during office hours. The best way to get in touch with me is during office hours or during an appointment that has been prearranged.

Make Up Exam Policy

There are no make up examinations.

Seminar Paper: You will be expected to turn in a completed, 20-30 page (text), typed, double-spaced seminar paper with title page and bibliography by 10DEC2009 in class. An acceptable paper will have no fewer than 20 peer reviewed academic sources of which no more than 5 can come from classroom assigned readings. Your topic must be selected by 03SEP2009 and presented to me in class in the form of a one-half page, typed double spaced prospectus. If the topic is not acceptable, I will notify you and you will have to provide another topic in the aforementioned format by 10SEP2009.

Plagiarism/Cheating: Plagiarism and cheating are against university policy (see Student Handbook). If I detect either plagiarism or cheating, you will receive a failing grade for the course. Be sure to correctly cite the work of published authors or interviews, etc. NOTE: The University is getting pretty serious about this issue.

Changes to Syllabus: The instructor can make changes to this syllabus.

Professional Meetings: It is possible that I will have to attend professional meetings. Class will either be canceled or I will arrange for a guest lecturer. Either way, you will still be responsible for the reading assignments.

Disability Policy The instructor will make reasonable accommodation for documented disabilities. You should make the instructor aware of documented disabilities during the first week of class. The university must have documented the disability for me to proceed with reasonable accommodation.

Course Textbooks (check on-line bookstores to see if you can get these things cheaper. Used copies and earlier editions are not a problem for me. The bookstore, which is allegedly run by by/for the students of the university, is notoriously...a-hem...not cheap):

Forsythe, Dall 2004. *Memos to the Governor: An Introduction to State Budgeting*, 2nd Edition. Washington, DC: Georgetown University Press.

Rubin, I. 2006. *The Politics of Public Budgeting: Getting and Spending*, 5th edition. Washington, DC: CQ Press.

Schick, Alan 2007. *The Federal Budget: Politics, Policy, Process*, 3rd Edition. Washington, DC: Brookings.

Wildavsky, Aaron and Naomi Caiden. 2003. *The New Politics of the Budgetary Process*, 5th edition. New York: Longman.

Course Outline

- 27 AUG Orientation to Course
- 03 SEP In the Land of Demand: What Does Budgeting Mean? Why is it done?
Schick, Chs. 1-2
- Key, V. 1940. A Lack of Budgetary Theory. *American Political Science Review* 34: 1137-1140.
- Lewis, V. 1952. Toward a Theory of Public Budgeting. *Public Administration Review* 12(1): 43-54.
- Lindblom, C. 1959. The Science of Muddling Through. *Public Administration Review* 19: 79-88.
- Kamlet, M. and Mowery, D. 1983. Budgetary Side Payments and Growth: 1953-1968. *American Journal of Political Science* 27(4): 636-664.
- Alt, J. and Lowry, R. 1994. Divided Government, Fiscal Institutions, and Budget Deficits: Evidence from the States. *American Political Science Review* 88(4): 811-828.
- Hyde, A. 2003. Desperately Seeking V.O. Key: New Budget Theory for New Policy Choices? *Public Performance and Management Review* 27(1): 29-31.
- Sahr, R. 2004. Using Inflation Adjusted Dollars in Analyzing Political Developments. *PS: Political Science and Politics* 37(2): 273-284.
- Baker, G. 2005. The Deficit Debacle. *Foreign Affairs* 147(March/April): 42-47.
- 10 SEP Budget Reform in the U.S.
- Wildavsky, A. 1961. Political Implications of Budgetary Reform. *Public Administration Review*. 21:183-190.
- Schick, A. 1966. The Road to PPB: The Stages of Budget Reform. *Public Administration Review*. 26: 243-258.
- Jernberg, J. 1969. Information Change and Congressional Behavior: A Caveat for PPB Reformers. *Journal of Politics* 31(3): 722-740.

- Caiden, N. 1983. Guidelines to Federal Budget Reform. *Public Budgeting and Finance* 3(4): 4-22.
- Stewart, C. III. 1987. Does Structure Matter: The Effects of Structural Change on Spending Decisions in the House, 1871-1922. *American Journal of Political Science* 31(3): 584-605.
- Stewart, C. III 1988. Budget Reform as Strategic Legislative Action: An Exploration. *Journal of Politics* 50(2): 292-321.
- Lee, R. 1997. A Quarter Century of State Budgeting Practices. *Public Administration Review* 57(2): 133-140.
- Hendrick, R. 2000. Comprehensive Management and Budgeting Reform in Local Government: The Case of Milwaukee. *Public Productivity and Management Review* 23(3): 312-337.
- Melkers, J. and Willoughby, K. 2001. Budgeter's Views of State Performance-Budgeting Systems: Distinctions Across Branches. *Public Administration Review* 61(1): 54-64.
- Kluvers, R. 2001. An Analysis of Introducing Program Budgeting in Local Government. *Public Budgeting and Finance* 21(2): 29-45.

17 SEP

Theories of Public Budgeting

Wildavsky and Caiden, entire.

Gist, J. 1982. "Stability" and "Competition" in Budgetary Theory. *American Political Science Review* 76(4): 859-872.

Berry, W. 1990. The Confusing Case of Budgetary Incrementalism: Too Many Meanings for a Single Concept. *Journal of Politics* 52(1): 167-196.

Rubin, I. 1990. Budget Theory and Budget Practice: How Good the Fit? *Public Administration Review* 50(2): 179-189.

Jones, B., True, F., and Baumgartner, F. 1997. Does Incrementalism Stem from Political Consensus or from Institutional Gridlock? *American Journal of Political Science* 41(4): 1319-1339.

24 SEP

The Budget Cycle

Schick, Chs. 5-6
Forsythe, entire.

Rubin, Ch. 3-4

Stewart, C. III. 1987. Does Structure Matter: The Effects of Structural Change on Spending Decisions in the House, 1871-1922. *American Journal of Political Science* 31(3): 584-605.

Joyce, P. and Meyers, R. 2001. Budgeting During the Clinton Presidency. *Public Budgeting and Finance*. 21(1): 1-21.

Jones, B., Baumgartner, F., and True, J. 1998. Policy Punctuations: U.S. Budget Authority, 1947-1995. *Journal of Politics* 60(1): 1-33.

Burden, B., and Sanberg, J. 2003. Budget Rhetoric in Presidential Campaigns from 1952 to 2000. *Political Behavior* 25(2): 97-118.

Barrilleaux, C. and Berkman, M. 2003. Do Governors Matter? Budgeting Rules and the Politics of State Policymaking. *Political Research Quarterly* 56(4): 409-417.

01 OCT Budget Preparation: Revenue

Schick, Ch. 7

Rubin, Ch. 2

Pitsvada, B. 1988. The Executive Budget: An Idea Whose Time Has Passed. *Public Budgeting and Finance* (Spring): 85-94.

Quinn, D. 1991. Business Political Power: The Case of Taxation. *American Political Science Review* 85(3): 851-874.

Williams, B., Ingenito, R., David, J. 1999. Forecasting revenue receipts in the states: Current challenges in California. *National Tax Journal* 52(3): 361-371.

Levinson, A. 1998. Balanced budgets and business cycles: Evidence from the states. *National Tax Journal* 51(4): 715-732.

08 OCT Budget Preparation: Expenditures

Schick, Chs. 8-9

Rubin, Ch. 5

Behn, R. 1985. Cutback Budgeting. *Journal of Policy Analysis and Management* 4(2): 155-177.

- Nice, D. 1988. The Item Veto and Expenditure Constraint. *Journal of Politics* 50(2): 487-499.
- Thompson, J. 1987. Agency Requests, Gubernatorial Support, and Budget Success in State Legislatures Revisited. *Journal of Politics* 49(3): 756-779.
- Cox, J., Hager, G., Lowery, D. 1993. Regime Change in Presidential and Congressional Budgeting: Role Discontinuity or Role Evolution? *American Journal of Political Science*, 37(1): 88-118.
- Kamlet, M. and Mowery, D. 1987. Influences on Executive and Congressional Budgetary Priorities, 1955-1981. *American Political Science Review* 81(1): 155-178.
- White, J. 1998. Entitlement Budgeting vs. Bureau Budgeting. *Public Administration Review* 58(6): 510-521
- Dolan, J. 2002 The Budget-Maximizing Bureaucrat? Empirical Evidence from the Senior Executive Service. *Public Administration Review* 62(1): 42-50.
- Fordham, B. 2003. The Political and Economic Sources of Inflation in the American Military Budget. *Journal of Conflict Resolution* 47(5): 574-593.

15 OCT No Class—Annual Meeting of the Pacific Northwest Political Science Association, Empress Hotel, Victoria, British Columbia

READING: Decision Making and Policy Analysis

- Conybeare, J. 1984. Bureaucracy, Monopoly, and Competition: A Critical Analysis of the Budget-Maximizing Model of Bureaucracy. *American Journal of Political Science* 28(3): 479-502.
- Lebovic, J. 1994. Riding the Waves or Making Waves? The Services and the U.S. Defense Budget, 1981-1993. *American Political Science Review* 88(4): 839-852.
- Schram, S. Nitz, L., and Krueger, G. 1998. Without Cause or Effect: Reconsidering Welfare Migration as a Policy Problem. *American Journal of Political Science* 42(1): 210-230.

Sabatier, P., Loomis, J., and McCarthy, C. 1995. Hierarchical Controls, Professional Norms, Local Constituencies, and Budget Maximization: An Analysis of the U.S. Forest Service Planning Decisions. *American Journal of Political Science* 39(1): 204-242.

Penner, R. 2002. Dealing with Uncertain Budget Forecasts. *Public Budgeting and Finance* 22(1): 1-18.

22 OCT Budget Approval

Gist, J. 1977. "Increment" and "Base" in the Congressional Appropriations Process. *American Journal of Political Science* 21(2): 341-352.

Auten, G., Bozeman, B., and Cline, R. 1984. A Sequential Model of Congressional Appropriations. *American Journal of Political Science* 28(3): 503-523.

Conybeare, J. 1984. Bureaucracy, Monopoly, and Competition: A Critical Analysis of the Budget-Maximizing Model of Bureaucracy. *American Journal of Political Science* 28(3): 479-502.

Wood, B. 2000. The Federal Balanced Budget Force: Modeling Variations from 1904-1996. *Journal of Politics* 62(3): 817-845.

Abney, G. and Lauth, T. 2002. Gubernatorial Use of the Item Veto for Narrative Deletion. *Public Administration Review* 64(2): 492-503.

29 OCT Budget Execution Phase

Schick, Chs. 10-11

Rubin, Ch. 7-8

Cothran, D. 1993. Entrepreneurial Budgeting: An Emerging Reform? *Public Administration Review* 53(5): 445-454.

DuPont-Morales, M. and Harris, J. 1994. Strengthening Accountability: Incorporating Strategic Planning and Performance Measurement into Budgeting. *Public Productivity & Management Review* 17(3): 231-239.

Lebovic, J. 1994. Riding the Waves or Making Waves? The Services and the U.S. Defense Budget, 1981-1993. *American Political Science Review* 88(4): 839-852.

- 05 NOV Accounting and The Audit/Capital Budgeting & Debt Management
Rubin, Ch. 9
- Anthony, R. 2000. The Fatal Defect in the Federal Auditing System. *Public Budgeting and Finance* 20(4): 1-10.
- Robbins, H. and Dungan, C. 2001. Debt Diligence: How States Manage the Borrowing Function. *Public Budgeting and Finance* 21(2): 88-105.
- Simonsen, B., Robbins, M., and Kittredge, B. 2001. Do Debt Politics Make a Difference in Financial Officers' Perceptions of the Importance of Debt Management Factors? *Public Budgeting and Finance* 21(1): 87-102.
- Engstrom, J. and Tidrick, D. 2001. Audit Issues Related to GASB Statement No. 34. *Public Budgeting and Finance* 21(3): 63-78.
- Rivenbark, W. and Pizzarella, C. 2002. Auditing Performance Data in Local Government. *Public Performance Management Review* 25(4): 413-420.
- 12 NOV Presentations
- 19 NOV Presentations
- 26 NOV No Class—Thanksgiving Day
- 03 DEC Presentations
- 10 DEC Unit Examination Due (Word processed hardcopy should be stapled and placed in my Departmental Mailbox in Department Main Office).
- Seminar Papers Due (Word processed hardcopy should be stapled and placed in my Departmental Mailbox in Department Main Office).