

# UNIVERSITY OF GEORGIA



## **PADP 8830** *Doctoral Seminar in Public Budgeting* #46696

Fall Semester, 2021  
Wednesdays, 7:10-9:55 pm  
Baldwin Hall, Room 104  
August 18-December 7, 2021  
**In Office and Online Hours:**  
Wednesdays, 2:00-6:00 pm

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*The course syllabus provides a general plan for the course; deviations may be necessary.*

This course\* is designed to provide students with academic immersion into public budgeting theory and research. Students in the course will analyze public budgeting literature, exploring the scholarly foundations as well as past and current reform efforts, both in the United States and abroad. Students will track the state of the practice in public budgeting for evidence of its intersection with theoretical perspective. Students should leave this course with a thorough understanding of the normative and descriptive considerations of public budgeting, the scholarly bases behind various orientations to process, and a strong knowledge base regarding the enduring issues surrounding this vital governmental process. The most important learning outcome of this class is student ability to conduct professionally researched critical analysis of public budgeting theory and explain its relationship to budgeting as practiced. And, at

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\*This course is being offered to doctoral students specializing in public budgeting and finance from a consortium of diverse university programs across the nation. The goal is to expose students to their cohorts studying at other universities, enhance in-class discussions from diverse perspectives, and by featuring faculty expertise from across the field throughout the semester.

the conclusion of this course, students should be able to knowledgeably communicate their interpretations of theoretical perspectives of budgeting, as developed through readings and research, via the written and spoken word.

### ***ZOOM Instructions***

This course is offered every Wednesday evening of the fall semester on Zoom for all students. Sessions will begin at 7:10 pm beginning August 18, 2021. Note that there is a passcode and students will be sent to a waiting room before being let into the classroom.

Join Zoom Meeting

<https://zoom.us/j/96865857290?pwd=YnBPeklMemFCMWowNzFQd2cwNlV5UT09>

Meeting ID: 968 6585 7290

Passcode: 937868

### ***Guest Lectures from Public Budgeting Experts***

Faculty experts will provide special lectures throughout the semester. This semester, faculty experts will include:

- **Dr. Yilin Hou**, Professor of Public Administration and International Affairs, Maxwell School of Citizenship & Public Affairs, Syracuse University lecturing on “Best Practice? Factors Advancing and Challenging Structural Balance of Public Budgets.”
- **Dr. Philip Joyce**, Professor and Senior Associate Dean, School of Public Policy, University of Maryland lecturing on “Congressional Budgeting or Not: Will Law Ever Support Process?”
- **Dr. Kurt Thurmaier**, Distinguished Engagement Professor and Department Chair, School of Public and Global Affairs, Northern Illinois University lecturing on “Budgetary Decision Making in the Age of Disasters (of all sorts): When Routines Break Down.”

### ***Required Class Texts and Readings***

Boyce, James K. and Madalene O’Donnell. 2007. Peace and the Public Purse: Economic Policies for Postwar Statebuilding. Boulder, CO: Lynne Rienner. ISBN 9781588265166.

Buchanan, James and Richard Musgrave. 1999. Public Finance and Public Choice: Two Contrasting Visions of the State. MIT Press. ISBN 13: 9780262024624.

Hou, Yilin. 2013. State Government Budget Stabilization: Policy, Tools and Impacts. New York: Springer. ISBN 9781461460619

Joyce, Philip G. 2011. The Congressional Budget Office: Honest Numbers, Power, and Policymaking. Washington, DC: Georgetown University Press. ISBN 9781589017573 (1589017579).

Lu, Elaine Yi and Katherine Willoughby. 2019. Public Performance Budgeting: Principles and Practice. New York: Routledge. **Book made available to students at the beginning of the term.**

Rubin, Irene S. 2016. The Politics of Public Budgeting, 8<sup>th</sup> edition. Washington, DC: CQ Press. ISBN 9781506354804 and ISBN 1506354807.

Thurmaier, Kurt and Katherine Willoughby. 2001. Policy and Politics in State Budgeting. Armonk, NY: M.E. Sharpe Publishers. ISBN 9780765602947.

Several of these books should be available to you online or in hardcopy from your University’s library. Other assigned readings are indicated with each class session below.

## ***Course Requirements***

Students are responsible for completing the following assignments and activities for this course. Assignments and activities carry the following weights in determining the final grade:

10%	Class Participation
25%	Discussion Leader and Theoretical Assessment Paper
30%	Budget Reform Paper and Roundtable Discussion
35%	Conceptual Framework Paper and Presentation

## **Grading of Assignments**

Grades are assigned at the end of the semester based on each student's performance on the course requirements noted above, using the following scale:

93 – 100	A	78 - 79.99	C+
90 - 92.99	A-	73 - 77.99	C
88 - 89.99	B+	70 - 72.99	C-
83 - 87.99	B	60 - 69.99	D
80 - 82.99	B-	0 - 59.99	F

## ***Course Mechanics***

This is not a lecture oriented course. Topics will be explored using a discussion format with contributions by all of us to the conversation every week. Students must develop the ability to critically analyze the literature, develop a point of view regarding the topic, and persuasively argue that view. The best arguments are comprehensively constructed and professionally delivered. Public discourse is essential to realizing the learning objectives of this course and required for the development and understanding of public budgeting and finance policy and processes. It is anticipated that we will have spirited albeit friendly debate in the classroom and that you will be challenged to make exacting arguments that are thoroughly researched and effectively persuasive. Instructions for assignments are below. All work should be prepared in accordance with styles presented by Kate L. Turabian in *A Manual for Writers of Term Papers, Theses, and Dissertations*, 5th edition (Chicago, ILL: The University of Chicago Press, 1987).

### ***Discussion Leader and Theoretical Assessment Paper***

**Requirements:** (1) choose one class session below; (2) complete the readings for the day; (3) develop a theoretical assessment paper regarding the topic of the day. Your assessment should add at least two relevant and timely readings that contribute to knowledge building around the topic. Your assessment should be 5-6 pages, double spaced, 1-inch margins top, bottom, right and left, 10-12 point font only; (4) come to your class prepared to lead the discussion, considering questions of the day, any questions you have, and given your thoughts expressed in the paper. To allow students time to prepare for your class, send your paper to the professor to post to others by 6:00 pm on Tuesday before your Wednesday class.

### ***Budget Reform Paper***

**Requirements:** This assignment requires you to choose a budget reform effort that has been attempted in a government and analyze its "success" or "failure" juxtaposed against what the reform literature tells you regarding the reform's beneficial possibilities. This assignment requires that you become familiar with the government's attempt to initiate the reform, the implementation process, and any results (good and/or bad) once attempted or implemented. You should complete

a well-constructed written assessment (7-9 pages; double spaced; 1-inch margins top, bottom, right and left, 10-12 point font only) of the budget reform experience in the government and include the following sections:

- ✓ A description of the government and brief summary of its budgeting process and statistics
- ✓ A description of the history of budget reform in the government
- ✓ A description of the reform attempted/implemented; reasons reform was attempted; politics behind the effort; challenges for implementation and ongoing success
- ✓ Some literature review about the budget reform and possibilities for advancing budgeting in governments, generally
- ✓ An objective assessment of areas of success and lack of success of the budget reform effort in the government; you should be able to justify your assessment of success/lack of success
- ✓ Your assessment of the future regarding budgeting in the government as a result of its' form process and effort
- ✓ A complete reference and resources section

You are welcome but not required to contact past and/or current government officials, managers and/or analysts to gain knowledge about the reform effort. However, you must appropriately reference any such interviews.

### ***Conceptual Framework Paper***

From: Paul A. Sabatier, editor. (2007). Theories of the Policy Process, Westview Press, p. 6.

Elinor Ostrom has developed some very useful distinctions among three different sets of propositions (see Chapter 2 of this volume). (1) In her view, a “conceptual framework” identifies a set of variables and the relationships among them that presumably account for a set of phenomena. The framework can provide anything from a modest set of variables to something as extensive as a paradigm. It need not identify directions among relationships, although more developed frameworks will certainly specify some hypotheses. (2) A “theory” provides a denser and more logically coherent set of relationships. It applies values to some of the variables and usually specifies how relationships may vary depending upon the values of critical variables. Numerous theories may be consistent with the same conceptual framework. (3) A “model” is a representation of a specific situation. It is usually much narrower in scope, and more precise in its assumptions, than the underlying theory. Ideally, it is mathematical. Thus, frameworks, theories, and models can be conceptualized as operating along a continuum involving increasing logical interconnectedness and specificity but decreasing scope.

**Requirements:** This assignment requires completion of a research proposal (10-12 pages; double-spaced; 1-inch margins top, bottom, right and left; 10-12 point font) must have the following sections:

- ✓ A description of the budgeting behavior to be studied and the importance of the proposed research to extant theory and research; research questions to be addressed
- ✓ A thorough literature review
- ✓ A conceptual framework; explaining relationships among defined dependent and independent variables; a consideration of controls; hypotheses statements regarding the behavior(s) of interest
- ✓ A schematic model of the framework

- ✓ An explanation of the research methodology that might be pursued; data requirements, existing data sets to be used and an explanation of how primary data, if needed, will be collected; statistical methodologies to be used
- ✓ A complete reference and resources section

While it is not necessary to collect data for this project, data collection and analysis are not forbidden! Students completing this assignment should master the literature on a topic in public budgeting and finance, develop a framework for understanding the behavior of interest, and present a reasonable method of analysis to carry out the research.

## ***Class Schedule, Questions for the Day & Reading Assignments***

Required reading assignments have \*\* beside them. All others are recommended.

### **August 18 Public Budgeting Then, Now and Later**

#### ***Questions for the day***

Are there enduring concepts of public budgeting? If so, what are they?

Are there tenets of public budgeting in bygone days that are relevant today? Justify your response.

How has “traditional” public budgeting according to Aaron Wildavsky changed, or has it?

#### ***Readings for the day***

\*\*Burkhead, J. 1949. “The Outlook for Federal Budget-Making.” *National Tax Journal*, 2(4): 289-299.

\*\*Burkhead, J. 1954. “The Balanced Budget.” *The Quarterly Journal of Economics*, 68(2), 191-2016.

\*\*Caiden, N. 2010. “Challenges Confronting Contemporary Public Budgeting: Retrospectives/Prospectives from Allen Schick.” *Public Administration Review*, 70(2): 203-210.

Fleishman, Richard K. and Marquette, R. Penny. 1986. “The Origins of Public Budgeting: Municipal Reformers During the Progressive Era.” *Public Budgeting & Finance*, 6(1): 71-77.

\*\*Key, V. O. 1940. “The Lack of a Budgetary Theory.” *The American Political Science Review*, (December) 34(6):1137-1144.

Rubin, I. S. 1993. “Who Invented Budgeting in the United States?” *Public Administration Review*, 53(5): 438-444.

Tyer, C. and J. Willand. 1997. “Public Budgeting in America: A Twentieth Century Retrospective.” *Journal of Public Budgeting, Accounting & Financial Management*, 9(2): 189-219. Available at:

[http://www.ipspr.sc.edu/publication/budgeting\\_in\\_america.htm](http://www.ipspr.sc.edu/publication/budgeting_in_america.htm)

\*\*Wildavsky, A. 1978. “A Budget for All Seasons? Why the Traditional Budget Lasts.” *Public Administration Review*, 38(6): 501-509.

\*\*Willoughby, Katherine 2021. “Public Budgeting, Financial Management and Accountability: Ongoing Search for Control, Efficiency, Transparency and Results in Government.” Chapter 14 in the [Handbook of Public Administration, 4<sup>th</sup> edition](#), edited by Bart Hildreth, Jerry Miller and Evert Lindquist. Routledge Press, pp. 175-196. To rent online for 6 months: <https://www.routledge.com/Handbook-of-Public-Administration/Hildreth-Miller-Lindquist/p/book/9781498750035>

### **August 25 Budgeting Around the World**

#### ***Questions for the day***

How can budgeting of governments around the world be compared?

What are the challenges for budgeting in developing countries? Are these vastly different than those for budgeting in developed countries? If so, in what ways?

What are some important components necessary to budget successfully when state-building? Justify your response.

#### ***Readings for the day***

\*\*Boyce and O'Donnell, *Peace and the Public Purse*.

Students will be assigned one chapter each to read for the day.

## September 1 Budgetary Process and Real Time Budgeting

### *Questions for the day*

Is public budgeting anything other than a political process?

Should public budgeting be more than a political process?

Define budgetary efficiency and effectiveness.

What is real-time budgeting? What are the implications for budget reforms that seek to boost efficiency and effectiveness if real-time budgeting is an accurate model of budgeting as practiced?

### *Readings for the day*

\*\*Rubin, *The Politics of Public Budgeting*.

## September 8 Allocative Theory of the Public Sector

### *Questions for the day*

What are opposing theoretical approaches to public finance?

How do either, neither, or both approaches advance democratic governance?

How do questions of tax policy affect decisions about government expenditures?

### *Readings for the day*

\*\*Buchanan and Musgrave, *Public Finance and Public Choice*.

Chapters 1-4 in Burkhead, Jesse and J. Miner. 1971. *Public Expenditure*. (Chicago: Aldine, Atherton).

## September 15 The Nexus between Public Finance and Public Budgeting

### *Questions for the day*

How are public finance and public budgeting related?

How do economic factors and policies affect budgetary politics?

### *Readings for the day*

\*\*Borcherding, Thomas. 1985. "The Causes of Government Expenditure Growth: A Survey of the U.S. Evidence." *Journal of Public Economics*, (December): 359-82.

Borcherding, Thomas and Robert Deacon. 1972. "The Demand for the Services of Non-Federal Governments." *The American Economic Review*, (December) 62(5): 891-901.

Durevall, Dick, and Magnus Henrekson. 2011. "The Futile Quest for a Grand Explanation of Long-Run Government Expenditure." *Journal of Public Economics*, 95(7-8): 708-722.  
<https://doi.org/10.1016/j.jpubeco.2011.02.004>

\*\*Oates, Wallace E. 1985. "Searching for Leviathan: An Empirical Study." *The American Economic Review*, (September) 75(4): 748-757.

\*\*Oates, Wallace E. 1989. "Searching for Leviathan: A Reply and Some Further Reflections." *The American Economic Review*, (June) 79(3): 578-583.

Peacock, Alan T., and Jack Wiseman. 1979. "Approaches to the Analysis of Government Expenditure Growth." *Public Finance Quarterly*, 7(1): 3-23.

<https://journals.sagepub.com/doi/pdf/10.1177/109114217900700101>

\*\*Tiebout, Charles. 1956. "A Pure Theory of Local Expenditures." *The Journal of Political Economy*, (October) 64(5): 416-424.

Schultze, Charles L. 1992. "Is There a Bias Toward Excess in U.S. Government Budgets or Deficits?" *Journal of Economic Perspectives*, (Spring) 6(2): 25-43.

\*\*Shelton, Cameron A. 2007. "The Size and Composition of Government Expenditure." *Journal of Public Economics*, 91(11-12): 2230-2260. <https://doi.org/10.1016/j.jpubeco.2007.01.003>



## September 22 National Budgeting: Can Broken Systems Be Repaired?

**Dr. Philip Joyce**, Professor and Senior Associate Dean, School of Public Policy, University of Maryland lecturing on “Congressional Budgeting or Not: Will Law Ever Support Process?”

### *Questions for the day*

What are perennial challenges to budgeting well at the national level in any country?

What principal theoretical developments have arisen from national government budgeting as practiced?

Discuss budgetary sustainability, given the budget problems of many governments around the world.

### *Readings for the day*

\*\*Joyce, *The Congressional Budget Office*.

Students will be assigned one chapter each to read for the day.

\*\*Barnes, A. James. 2009. “Implementing Presidential Policy Agendas Administratively: A View from the Inside.” *Public Administration Review*, (July/August) 69(4): 586-594.

Berman, Larry. 1977. “The Office of Management and Budget that Almost Wasn’t.” *Public Science Quarterly*, (Summer) 92(2): 281-303.

Berman, Larry. 1978. “OMB and the Hazards of Presidential Staff Work.” *Public Administration Review*, (November/December) 38(6): 520-524.

\*\*Durant, Robert F. 2009. “Getting Dirty-Minded: Implementing Presidential Policy Agendas Administratively.” *Public Administration Review*, (July/August) 69(4): 569-585.

\*\*Rubin, Irene. 2007. “The Great Unraveling: Federal Budgeting, 1998-2006.” *Public Administration Review*, (July/August) 67(4): 608-617.

Thomkin, Shelley Lynne, 1998. *Inside OMB: Politics and Process in the President’s Budget Office*. NY: M.E. Sharpe, Inc.

## September 29 ABFM CONFERENCE—NO CLASS

### October 6 Public Budgeting Process and Effects: By Whom and For Whom?

#### *Questions for the day*

For whom does budget process and outcome matter? For whom should process and outcome matter?

What should be the goal(s) of a public budgeting process? What should be the goal(s) of public budgeting outcomes?

How does budgetary process affect budgetary outcomes?

Does a human rights perspective reorient traditional public budgeting values of efficiency and economy? Explain your view.

#### *Readings for the day*

\*\*Blyberg, Ann. 2009. “The Case of the Mislaid Allocation: Economic and Social Rights and Budget Work.” *SUR-International Journal on Human Rights*, 11: 123-140.

\*\*Bozeman, Barry, and Jeffrey Straussman. 1982. “Shrinking Budgets and the Shrinkage of Budget Theory.” *Public Administration Review*, (September/October) 42: 509-515.

\*\*Cabannes, Yves, and Barbara Lipietz. 2015. *The Democratic Contribution of Participatory Budgeting*. No. 15-168. Working Paper Series. <https://www.econstor.eu/bitstream/10419/224794/1/wp168.pdf>

\*\*Davis, Otto A., M.A.H. Dempster, and Aaron Wildavsky. 1966. “A Theory of Budgetary Process.” *American Political Science Review*, (September) 60: 529-547.

Elson, Diane. 2012. “The Reduction of the UK Budget Deficit: A Human Rights Perspective.” *International Review of Applied Economics*, 26(2): 177-190.

<https://www.tandfonline.com/doi/pdf/10.1080/02692171.2011.640315>

Gibran, Joan M. and Alex Sekwat. 2009. “Continuing the Search for a Theory of Public Budgeting.” *Journal of Public Budgeting, Accounting & Financial Management*, 21(4): 617-644.

\*\*Martinez-Vazquez, Jorge, and Robert McNab. 1997. “Fiscal Decentralization, Economic Growth, and Democratic Governance.” In *USAID Conference on Economic Growth and Democratic Governance, Washington, DC, October*, pp. 9-10. <https://www.issuelab.org/resources/5268/5268.pdf>

O'Connell, Rory, Aoife Nolan, Colin Harvey, Mira Dutschke, and Eoin Rooney. 2019. Applying an International Human Rights Framework to State Budget Allocations: Rights and Resources. Routledge.

## October 13 Organization Theories of Budgeting

### *Questions for the day*

What do these theories contribute to our knowledge about how budgeting is conducted?  
Given technological advancements, how are the principals of these theories affected or changed?  
How might current administrations use these theories to be successful in budgeting in the future?

### *Readings for the day*

- \*\* Forrester, John and Guy B. Adams. 1991. "Budget Reform Through Organizational Learning: Toward an Organizational Theory of Budgeting." *Administration & Society*, (February): 466-488.
- \*\*Gianakis, Gerasimos and Clifford McCue. 2002. "Budget Theory for Public Administration...and Public Administrators," in Albert C. Hyde (ed.) *Government Budgeting: Theory, Process, Politics* (3rd edition).
- Gibran, Joan M. and Alex Sekwat. 2009. "Continuing the Search for a Theory of Public Budgeting." *Journal of Public Budgeting, Accounting & Financial Management*, 21(4): 617-644.
- \*\*Padgett, John F. 1981. "Hierarchy and Ecological Control in Federal Budgetary Decision Making." *American Journal of Sociology*, 87(1): 75-129.
- \*\*Pfeffer, Jeffrey, and Gerald R. Salancik. 1974. "Organizational Decision Making as a Political Process: The Case of a University Budget." *Administrative Science Quarterly*, (June): 135-151.
- \*\*Thompson, Fred and Mark Green. 2001. "Organizational Process Models of Budgeting," in John Bartle (ed.) *Evolving Theories of Public Budgeting*. Volume 6: 55-82.

## October 20 Incrementalism, Garbage Can, Punctuations – Budgetary Decision Making Frameworks

### *Questions for the day*

How has incrementalism contributed to our understanding budgetary decision making?  
Have other considerations of decision making strengthened or weakened incrementalism as a reasonable explanation of description of budgetary decision making?  
Given the current state of affairs around the world, can any of these frameworks of budgetary decision making inform public budgeting as practiced? If so, explain how.

### *Readings for the day*

- Anderson, S. and L. Harbridge. 2010. "Incrementalism in Appropriations: Small Aggregation, Big Changes." *Public Administration Review*, 70(3): 464-474.
- \*\*Bromiley, P. 1981. "Task Environments and Budgetary Decision Making." *Academy of Management Review*, (April) 6: 277-288.
- \*\*Cohen, M. D., J. G. March, and J. P. Olsen, 1972. "A Garbage Can Model of Organizational Choice." *Administrative Science Quarterly*, 22: 1-25.
- Crecine, John P. 1967. "A Computer Simulation Model of Municipal Budgeting." *Management Science*, (July) 13: 786-815.
- Jones, B.D. 2003. "Bounded Rationality and Political Science: Lessons from Public Administration and Public Policy." *Journal of Public Administration Research and Theory*, 13(4): 395-412.
- \*\*Lindblom, Charles. 1959. "The Science of Muddling Through." *Public Administration Review*, (Spring) 19: 79-88.
- \*\*Lindblom, Charles. 1979. "Still Muddling, Not Yet Through." *Public Administration Review*, 39: 517-526.
- McCaffery, Jerry and Keith G. Baker. 1990. "Optimizing Choice in Resource Decisions: Staying within the Boundary of the Comprehensive-Rational Method." *Public Administration Quarterly*, (Summer) 14: 142-172.
- \*\*Padgett, John F. 1980. "Bounded Rationality in Budgetary Research." *American Political Science Review*, (June) 74: 354-372.
- \*\*Baumgartner, F.R., B.D. Jones and J.L. True. 1998. "Policy Punctuations: U.S. Budget Authority, 1947- 1995." *The Journal of Politics*, 60(1): 1-33.
- Wildavsky, Aaron. 1984. The Politics of the Budgetary Process, 4<sup>th</sup> ed. Boston: Little, Brown.



## October 27 Macro-Budgeting—The Legislative View

**Dr. Yilin Hou**, Professor of Public Administration and International Affairs, Maxwell School of Citizenship & Public Affairs, Syracuse University lecturing on “Best Practice? Factors Advancing and Challenging Structural Balance of Public Budgets.”

### *Questions for the day*

What is meant by “legislative budgeting”?

How does legislative budgeting vary with respect to level of government?

Is it important to consider political balance between legislative and executive branches of government? Why?

Distinguish among various systems of legislative budgeting.

### *Readings for the day*

\*\*Hou, *State Government Budget Stabilization*.

Students will be assigned one chapter each to read for the day.

\*\*Bourdeaux, Carolyn. 2006. “Do Legislatures Matter in Budgetary Reform?” *Public Budgeting and Finance*, 26(1): 120-142.

Brouthers, Lance and Jerry L. Yeric. 1987. “City Managers, Councilmembers, and Budgets: The Texas Experience.” *American Review of Public Administration*, 17(4): 39-46.

\*\*Caiden, Naomi. 1984. “An Interview with Alan Post, Legislative Analyst for the State of California, 1950-77.” *Public Budgeting & Finance*, (Autumn) 4: 75-90.

\*\*Donahue, Leo. 1982. “You Can’t Take Politics Out of Budgeting.” *Public Budgeting & Finance*, (Summer) 2:62-72.

Ippolito, Dennis S. 1981. *Congressional Spending*. Ithaca, NY: Cornell University Press.

Stanford, Karen A. 1992. “State Budget Deliberations: Do Legislators Have a Strategy?” *Public Administration Review*, 52(1): 16-25.

\*\*Willoughby, Katherine G. and Mary A. Finn. 1996. “Decision Strategies of the Legislative Budget Analyst: Economist or Politician?” *Journal of Public Administration Research and Theory*, (October) 6(4): 523-546.

## October 25 Withdrawal Deadline

## November 3 Micro-Budgeting—Insider Roles and Routines

**Dr. Kurt Thurmaier**, Distinguished Engagement Professor and Department Chair, School of Public and Global Affairs, Northern Illinois University lecturing on “Budgetary Decision Making in the Age of Disasters (of all sorts): When Routines Break Down.”

### *Questions for the day*

How does the executive and agency view of budgeting differ from that of the legislature?

How have public budgeting roles changed from traditional ones of the past? Explain factors that have contributed to changed roles.

### *Readings for the day*

\*\*Thurmaier and Willoughby, *Policy and Politics in State Budgeting*.

Students will be assigned one chapter each to read for the day.

\*\*Bromiley, P., and John P. Crecine. 1980. “Budget Development in OMB: Aggregate Influences of the Problem and Information Environment.” *The Journal of Politics*, (November) 42: 1031-1064.

\*\*LeLoup, Lance T., and William B. Moreland. 1978. “Agency Strategies and Executive Review: The Hidden Politics of Budgeting.” *Public Administration Review*, (May/June) 38: 232-239.

Persil, H.G. 1998. “Federal Agency Budget Officers: Who Needs Them?” *Public Budgeting & Finance*, (December) 18(4): 114-121.

\*\*Sharkansky, Ira. 1968. “Agency Requests, Gubernatorial Support and Budget Success in State Legislatures.” *American Political Science Review*, 62(4): 1220-1231.

## November 10 Performance Budgeting—Focusing on Results

### *Questions for the day*

How have conceptions of performance budgeting changed in the last century?

How does performance budgeting change the budget process?

Is a focus on results realistic in the current economic environment?

### *Readings for the day*

\*\*Lu and Willoughby, *Public Performance Budgeting*

\*\*Ho, Alfred. 2011. "PBB in American Local Government: It's More than a Management Tool." *Public Administration Review*, 71(3): 391-404.

\*\*Hou, Yilin et al. 2011. "State Performance-Based Budgeting in Boom and Bust Years: An Analytical Framework." *Public Administration Review*, 71(3): 370-390.

\*\*Joyce, Philip. 2011. "The Obama Administration and PBB: Building on the Legacy of Federal Performance-Informed Budgeting?" *Public Administration Review*, 71(3): 356-369.

Melkers, Julia, and Katherine G. Willoughby. 2001. "Budgeters Views of State Performance Budgeting Systems." *Public Administration Review*, (January/February) 61(1): 54- 64.

Melkers, Julia and Katherine G. Willoughby. 2005. "Models of Performance Measurement Use in Local Governments: Understanding Budgeting, Communication and Lasting Effects." *Public Administration Review*, (March/April) 65(2): 180-190.

## November 17 Roundtable Discussion—Channeling Budget Reform

**EMAIL PAPER TO PROFESSOR BEFORE CLASS.** *Students should come to class prepared to participate in a round table discussion about public budgeting reforms. Some questions to consider:*

- Why reform public budgeting?
- Are there enduring public budgeting values that can be emphasized with specific reforms? If so, explain how certain reforms support particular values.
- What factors are necessary to successfully reform public budgeting processes? To reform public budgeting outcomes?
- Who is responsible for reforming public budgeting?

## December 1 Extending Theory—Presentation of Conceptual Framework Papers

**EMAIL PAPER TO PROFESSOR BY TUESDAY, DECEMBER 14 MIDNIGHT.** *Students should come to class prepared to answer the following questions as they present their conceptual framework papers:*

- What models of budgeting have contributed most to your understanding of public budgeting?
- How can you improve models of budgeting to advance their predictive qualities and further understanding about the process?
- Explain if and how budgeting theory has impacted the budgeting process as currently practiced in the United States or in other governments around the world.
- What research methods provide the most promise to help us understand public budgeting as practiced today?

### *Readings that may inform your research*

Caiden, Naomi. 1981. "Public Budgeting Amidst Uncertainty and Instability." *Public Budgeting & Finance*, (Spring) 1(1): 6-19.

Lewis, Verne B. 1981. "Toward a Theory of Budgeting." *Public Budgeting & Finance*, 1(3): 69-82.

Mikesell, John L. and Mullins, Daniel R. 2011. "Reforms for Improved Efficiency in Public Budgeting and Finance: Improvements, Disappointments, and Work-in-Progress." *Public Budgeting & Finance*, 31(4): 1-30.