HIED 8230

Planning & Budgeting in Higher Education

3 credit hours; Spring 2020

**Instructor**

Karley A. Riffe, PhD

Assistant Professor of Higher Education

Office Location: Haley Center 4075

Office Hours: Wednesdays 1:00-5:00pm

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**Course Time & Location**

Thursdays, 12:00pm-2:50pm

January 8-May 1

Haley Center 2423

**Course Description**

This course is designed to introduce students to the planning, budgeting, and finance of higher education institutions. The material in this course facilitates students’ exploration of financial decision-making, strategic planning, revenues, expenditures, budgetary processes, and emerging issues in the financing of colleges and universities. Exploring scholarly research and professional practice, students will gain a better understanding of how colleges and universities function financially.

**Course Expectations**

This is a graduate course will be taught in a seminar format, so familiarity with course readings and active participation in class discussions are crucial to success in this course. Students in this course will be expected to incorporate and synthesize the readings, current issues in the planning and budgeting in higher education, and experiences in their professional roles to better understand and apply the concepts introduced in this course.

**Course Objectives**

* Examine how colleges and university financial planning and budgeting.
* Explore specific financial policies that influence college and university operations.
* Evaluate the implications of emerging financial issues in the higher education landscape for students, faculty, and other stakeholders.
* Review and evaluate literature and research studies on the organization, governance, and administration of higher education.
* Address issues of power and equity related to the planning and budgeting of higher education institutions.

**Required Texts**

Serna, G. R., & Weiler, S. C. (2016). *Higher education, fiscal administration, and budgeting: An applied approach*. Lanham, MD: Rowman & Littlefield.

Weisbrod, Burton A., Ballou, Jeffrey P., & Asch, Evelyn D. (2008). *Mission and money: Understanding the university*. New York, NY: Cambridge University Press.

**Course Requirements and Evaluation**

*Class Attendance & Participation – 30 points*

Each student is expected to contribute to attend each class session and contribute to class discussions, activities, and case analyses. Student participation in class and critical engagement with course reading materials are crucial to the success of this course. Students are also encouraged to bring other readings and professional experiences to the classroom to add to our collective knowledge.

*Issue Paper Proposal – 20 points*

**Due via Canvas by Midnight February 13th**

Students will submit a paper (2-4 pages) describing the topic of their final issue paper, a topic of the student’s choosing, and a preliminary list of scholarly articles that you plan to incorporate into your study. The proposal should discuss the following:

* Background on the issue
* How and why this issue is significant
* Institutional type and context of the issue
* Examine, evaluate, and critique scholarly resources surrounding the issue
* Discuss future developments related to this issue

*Financial Priorities Paper – 10 points*

**Due via Canvas by Midnight March 5th**

Students will choose a specific institution and choose 3-5 financial priorities for that institution (e.g. need-based financial aid, faculty incentives for research, a new athletics building). Students should provide evidence for the need for these recommendations and discuss the implications of their financial priorities for growth, but also how their decisions will affect other areas of university operations that will not receive funding. Students should come prepared to discuss their recommendations in class. Students should also prepare a written memo (5 pages maximum) for submission at the end of that class session that includes the following:

* + Context (institution type, number of students, etc.)
  + Discussion of 3-5 financial priorities
  + Justification for each financial priority
  + Implications of each financial priority

*Financial Issues Case Study – 10 points*

**Due via Canvas by Midnight March 26th**

Students will focus on a case study distributed in Session 9 (March 6th). Students should come prepared to discuss the case in Session 12 (March 27). Students should also prepare a written case analysis (5 pages maximum) for submission at the end of that class session that answers the following questions:

* + What are the basic facts and core problem of the case study?
  + What are the causes of this problem?
  + What kind of action is needed?

*Issue Paper Presentation – 10 points*

**In-class Presentations on Session 16 April 15th**

After submitting the final issue paper, students will present their work in a roundtable format with other students. These presentations will be 10 minutes long. Students will be expected to comment on other students’ work, raise questions, and actively engage while other students’ present their work. Successful presentations will be well thought out, discuss relevant scholarly resources, and must include a one-page handout.

*Issue Paper – 20 points*

**Due via Canvas on Session 16 April 28th**

Students will develop papers that examine a particular issue related to planning and budgeting in higher education. Issue papers will be assessed based on the importance of the issue discussed, incorporation of scholarly resources, clarity of writing and adherence to APA style, and analysis of the future implications of this issue for future research and practice in higher education. Each issue paper (15 pages) should follow APA format.

30 points Class Attendance & Participation

10 points Financial Priorities Paper

10 points Financial Issues Case Study

20 points Issue Paper Proposal

10 points Issue Paper Presentation

20 points Issue Paper

100 points

Grading Scale

A 90-100 points

B 80-89 points

C 70-79 points

D 60-69 points

F Below 60

**Student Support**

*Disability Accommodations*: “Students who need accommodations are asked to electronically submit their approved accommodations through AU Access and to arrange a meeting during office hours the first week of classes, or as soon as possible if accommodations are needed immediately. If you have a conflict with my office hours, an alternate time can be arranged. To set up this meeting, please contact me by e-mail. If you have not established accommodations through the Office of Accessibility, but need accommodations, make an appointment with the Office of Accessibility, 1228 Haley Center, 844-2096 (V/TT).”

*Basic Needs Accommodations*: Any student who faces challenges securing their food or housing and believes this may affect their performance in the course is urged to contact the Dean of Students for support. Furthermore, please notify the professor if you are comfortable in doing so. This will enable her to provide any resources that she may possess.

**Respect for Diversity**

*Non-Discrimination Policy*: Auburn University is committed to providing an environment that is free from discrimination and harassment based on protected class.  If you believe you have been the victim of harassment or discrimination based on race, color, religion, national origin, disability, age, or sex (including sexual orientation, gender identity, or gender expression), we encourage you to report it.  If you report sexual assault or sexual misconduct to a faculty member, the faculty member is obligated to notify the University’s Title IX Coordinator about the basic facts of the incident so that you can be made aware of resources, accommodations, and reporting options available to you.  For more information about our Title IX reporting and resource options at Auburn University, please go to [www.auburn.edu/titleix](http://www.auburn.edu/titleix) .

Not all students use their legal names or sex/gender assigned at birth, I am happy to use the name and/or pronouns you use. Additionally, if these change at any point during the semester, please let me know and we can develop a way to share this information with others in a way that is comfortable and safe for you.

**Course Schedule\***

Session 1 – January 9 *Introduction to the Course*

Introductions

Syllabus

Session 2 – January 16 *Background*

Serna & Weiler Chapters 1 & 2

Zumeta Chapter 3

Wellman, J. V. (2008). Spending More, Getting Less. Change, 40(6), 18–25.

Session 3 – January 23\* *Financial Overview of Higher Education*

Weisbrod, Ballou, & Asch Chapter 4

McMahon, W.W. (2010). The private and social benefits of higher education: The evidence, their value, and policy implications. New York: TIAA-CREF Institute Report.

Winston, G.C. (1999). Subsidies, hierarchy and peers: The awkward economics of higher education. Journal of Economic Perspectives, 13 (1), 13-36.

Session 4 – January 30\* *University Costs*

Serna & Weiler Chapter 3

Weisbrod, Ballou, & Asch Chapter 3

McPherson, P. & Shulenburger, D. (2010). Understanding the cost of public higher education. Planning for Higher Education, 38 (3), 15-24.

Harris, D.N. & Goldrick-Rab, S. (2010). The (un)productivity of American higher education: From “cost disease” to cost-effectiveness. WISCAPE Working Paper, December, 2010. Madison, WI: University of Wisconsin. **SKIM**

Session 5 – February 6 *University Revenues*

Hearn, J.C. (2003). Diversifying campus revenue streams: Opportunities and risks. Report for the American Council on Education series Informed Practice: Syntheses of Higher Education Research for Campus Leaders. Washington, DC: American Council on Education. **SKIM**

McGrath, M. (2014). The invisible force behind college admissions. Forbes Magazine, August 8.

Wesibrod, Ballou, Asch Chapters 6-9 (Choose two of those chapters)

Session 6 – February 13 *Financial Constraints*

Massy, W.F. (1996). Reengineering resource allocation systems. In Massy, W.F. (Ed.), Resource Allocation in Higher Education (pp. 15-47). Lawrenceville, NJ: Peterson’s Guides.

Michigan, University of. (2014). Cost containment efforts. White Paper available at http://www.vpcomm.umich.edu/pa/key/budget/documents/Cost-Containment\_August-2014.pdf .

Jones, D. & Wellman, J. (2010). Breaking bad habits: Navigating the financial crisis. Change, 42 (3), 6-13.

Recommended Reading

Jones, D. & Wellman, J. (2009). Rethinking conventional wisdom about higher ed finance. National Center for Higher Education Management Systems.

Pérez-Peña, R. (2013). College enrollment falls as economy recovers. New York Times, July 25. Available at http://www.nytimes.com/2013/07/26/education/ina-recovering-economy-a-decline-in-college-enrollment.html?\_r=0.

**Issue Paper Proposal Due by Midnight in Canvas**

Session 7 – February 20 *Budgeting*

Serna & Weiler Chapter 6

Lasher, W.F. & Greene, D.L. (2001). College and university budgeting: What do we know and what do we need to know? Original article and epilogue. In M.B. Paulsen and J.C. Smart (Eds.), The finance of higher education: Theory, research, policy, and practice (pp. 501-542). New York, NY: Agathon Press.

Strauss, J., Curry, J., & Whalen, E., (1996). Revenue responsibility budgeting. In Massy, W. (Ed.), Resource allocation in higher education (pp. 163-190). Ann Arbor, MI: University of Michigan Press.

Session 8 – February 27 *Financial Planning*

Serna & Weiler Chapter 10

Chabotar, K.J. (2006). Chapter 5 of K.J. Chabotar, Strategic finance: Planning and budgeting for boards, chief executives, and finance officers. Washington, DC: Association of Governing Boards of Universities and Colleges.

Brinkman, P. & Morgan, A.W. (2010). Financial planning: Strategies and lessons learned. Planning for Higher Education, 38 (3), 5-14.

Session 9 – March 5 *Financial Policies*

Time to work on final papers

**Financial Priorities Paper Due by Midnight in Canvas**

Session 10 – March 12

No Class – Spring Break

Session 11 – March 19 *Students*

Heller, D.E. (2011). The financial aid picture: Realism, surrealism, or cubism? Higher education: Handbook of theory and research, Volume 26 (pp. 125-160). Netherlands: Springer.

Hearn, J.C. (2001). Access to postsecondary education: Financing equity in an evolving context. In M.B. Paulsen and J.C. Smart (Eds.), The finance of higher education: Theory, research, policy, and practice, Volume XVI (pp. 439-460). New York, NY: Agathon Press.

Goldrick-Rab, S. Harris, D.N., & Trostel, P.A. (2009). Why financial aid matters in student success: Toward an interdisciplinary perspective. In Smart, J.C. (Ed.), Higher education: Handbook of theory and research, Volume XXIV (pp. 1-45). Netherlands: Springer.

Broton, K., & Goldrick-Rab, S. (2016). The dark side of college (un) affordability: Food and housing insecurity in higher education. *Change: The Magazine of Higher Learning*, *48*(1), 16-25.

Session 12 – March 26  *Financial Policy & Performance-based Funding*

Weisbrod, Ballou, Asch Chapter 15 **SKIM**

Orphan, C. M., Laderman, S., & Gildersleeve, R. E. (2018). The role of intermediary public policy organizations in shaping the policy agenda for higher education: A research brief. Denver, CO: University of Denver

Kaikkonen, D. (2016). Shifting from enrollment- to performance-based funding in higher education: What can we learn from Washington’s experience? Education Finance and Policy, 11(4), 482–498.

Jones, T. (2014). Performance funding at MSIs: Considerations and possible measures for public minority-serving institutions. Atlanta, GA: Southern Education Foundation. Retrieved from <http://www.southerneducation.org/Our-Strategies/Research-and-Publications/Performance-Funding-at-MSIs.aspx>

**Financial Priorities Paper Due by Midnight in Canvas**

Session 13 – April 2 *Academic Capitalism*

Guest Speaker TBD

Barrett J. Taylor, Sondra N. Barringer & Jarrett B. Warshaw (2018) Affiliated nonprofit organizations: Strategic action and research Universities. *The Journal of Higher Education,*  *89*(4), 422-452.

Slaughter, S., & Leslie, L. L. (2001). Expanding and elaborating the concept of academic capitalism. *Organization*, *8*(2), 154-161.

Session 14 – April 9 *Emerging Issues in Financing Higher Education*

Blumenstyk, G. (2013). More than 150 private colleges flunked financial-health test, U.S. says. Chronicle of Higher Education, July 23.

Hearn, J.C. (2008). Higher education’s new economics: The risks and rewards of emerging operational reforms. Report for the American Council on Education. Washington, DC: American Council on Education.

Free College Debates in NYT – Choose 3

<https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free>

Kelly, A. P. (January 20, 2016). The problem is that free college isn’t free. The New York Times. Retrieved from  
<https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/the-problem-is-that-free-college-isnt-free>.

Goldrick-Rab, S. (January 20, 2016). Public higher education should be universal and free. *The New York Times*. Retrieved from <https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/public-higher-education-should-be-universal-and-free>.

Petrilli, M. J. (January 20, 2016). Free tuition is a needless windfall for affluent voters and state institutions. *The New York Times*. Retrieved from <https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/free-tuition-is-a-needless-windfall-for-affluent-voters-and-state-institutions>.

Carruthers, C. (January 20, 2016). Tennessee is showing how free tuition community college works. *The New York Times*. Retrieved from <https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/tennessee-is-showing-how-free-tuition-community-college-works>.

Edgecombe, N. (January 20, 2016). Aid low-income students and colleges that serve them. *The New York Times*. Retrieved from <https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/aid-low-income-students-and-colleges-that-serve-them>.

Santiago, D. (January 20, 2016). Free tuition can boost Latinos college access and completion rates. *The New York Times*. Retrieved from <https://www.nytimes.com/roomfordebate/2016/01/20/should-college-be-free/free-tuition-can-boost-latinos-college-access-and-completion-rates>.

Session 15 – April 15 *Final Class Session*

Issue Paper Roundtable Presentations

\*Syllabus and class sessions are subject to change.

**General Course Information**

Class Attendance: Class participation is a critical aspect of this course, and therefore your course grade. In the event that you cannot attend a class session, please notify me as soon as possible.

I will take attendance each class session.  If you are absent on a day that work is due, you must make sure that it was submitted ON TIME via Canvas.  Then, when you return to class, you should bring your documentation for absence to me in order for me to determine whether the assignment will be accepted.  **Students who are absent for “excused” reasons (please see the Student Policy eHandbook for specific information regarding excused absences) must provide the instructor with appropriate documentation within one (1) week from the date of the absence.**  For classes that meet once per week, that means that the documentation must be provided to the instructor **no later than the end of the class session following the date of the absence.** If the reason for the absence is such that this is not possible, it is the student’s responsibility to communicate with the instructor and make other arrangements.

Other unavoidable absences (e.g. pre-scheduled medical appointments, travel for university sponsored events/organizations, etc.) from campus must be documented and cleared with the instructor in advance.  ***Please note:*** Simply informing the instructor of an absence does not automatically cause that absence to be considered “excused.”  It is the student’s responsibility to provide appropriate documentation of excused absences.  In the case of travel for University sponsored events, you will need to provide documentation from the sponsor/faculty member in charge on University letterhead to authenticate the reason for the absence.  Failure to provide documentation within 1 week of return to class will result in a 0 being entered in the gradebook for any missed work or examinations.

“Excused” absences are defined as absences that have been documented as occurring for University approved reasons.  **ALL absences will be considered to be “Unexcused” until and unless the instructor is in possession of the appropriate documentation for that absence.**

*Assignments*: Assignments and written papers are due at the date and time listed under the respective assignment description. Full credit will not be given for late assignments. Extensions will only be considered under extraordinary circumstances.

**Academic Integrity**

All portions of the Auburn University student academic honesty code (Title XII) found in the [*Student Policy eHandbook*](http://www.auburn.edu/student_info/student_policies/)will apply to this class.  All academic honesty violations or alleged violations of the SGA Code of Laws will be reported to the Office of the Provost, which will then refer the case to the Academic Honesty Committee.

**Additional Resources**

**Websites**

Change Magazine (www.changemag.org)

The Chronicle of Higher Education (www.chronicle.com)

Higher Ed Jobs (www.higheredjobs.com)

Inside Higher Ed (www.insidehighered.com)

Integrated Postsecondary Education Data System (<http://nces.ed.gov/ipeds/)>

National Center for Education Statistics (nces.ed.gov)

**Organizations**

American College Personnel Association ([www.myacpa.org)](http://www.myacpa.org))

American Educational Research Association ([www.aera.net)](http://www.aera.net))

Association for Institutional Research (www.airweb.org)

Association for the Study of Higher Education ([www.ashe.ws)](http://www.ashe.ws))

Student Affairs Administrators in Higher Education (www.naspa.org)

American Association of University Professors (www.aaup.org)

American Council on Education (www.acenet.edu)

Association of American Colleges & Universities ([www.aacu.org)](http://www.aacu.org))

Association of Governing Boards of Universities and Colleges ([www.agb.org)](http://www.agb.org))

Association of Public and Land Grant Universities (www.aplu.org)

National Association of College and University Business Officers ([www.nacubo.org)](http://www.nacubo.org))

Society for College and University Planning (www.scup.org)

**Higher Education Journals**

Educational Researcher

Higher Education

Innovative Higher Education

The Journal of Higher Education

The Journal of Higher Education Management

The Journal of Higher Education Policy and Management

Planning for Higher Education

Research in Higher Education

The Review of Higher Education

Journal of College Student Development

Journal of Student Affairs Research and Practice