

School of Government

MAPP 527
REGULATORY POLICY
(15 Points)

Trimester 1 / 2013

COURSE OUTLINE

Names and Contact Details

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| Course Coordinator: | Professor Claudia Scott Room RH 805, Level 8, Rutherford House, Pipitea Campus Telephone: (04) 463 5377 Email: claudia.scott@vuw.ac.nz |
| Other Contributors: | The course will draw on expertise from other academics, and practitioners from public sector agencies |
| Administrator: | Darren Morgan Room RH 821, Level 8, Rutherford House, Pipitea Campus Telephone: (04) 463 5458 Fax: (04) 463 5454 Email: darren.morgan@vuw.ac.nz |
| School Office Hours: | 8.30am to 5.00pm, Monday to Friday |

Trimester Dates

Tuesday 16 April – Monday 17 June 2013

Class Times and Room Numbers

This course is delivered in an intensive format, taught over four days.

Dates: Tuesday 16 - Wednesday 17 April 2013 and
Tuesday 28 - Wednesday 29 May 2013

Class Times: 9.00am – 5.00pm each day

Location: Room RWW 501, Level 5, Railway West Wing, Pipitea Campus
The timetable is also available to view on the Victoria University website (www.victoria.ac.nz/timetables/).

Attendance is required for all four teaching days

Withdrawal from Course

Formal notice of withdrawal must be in writing on a Course Add/Drop form (available from either of the Faculty's Student Customer Service Desks or from the course administrator). Not paying your fees, ceasing to attend lectures or verbally advising a member of staff will NOT be accepted as a formal notice of withdrawal.

1. Your fees will be refunded if you withdraw from this course on or before **Tuesday 16 April 2013**.
2. The standard last date for withdrawal from this course is **Wednesday 29 May 2013**. After this date, students forced to withdraw by circumstances beyond their control must apply for permission on an '*Application for Associate Dean's Permission to Withdraw Late*' including supporting documentation. The application form is available from either of the Faculty's Student Customer Service Desks.

Course Content

This course examines contemporary issues in regulatory policy, with emphasis on the roles of government and others in designing policies to contribute to enhanced economic, social, environmental and cultural outcomes. It will draw on international as well as New Zealand theory and practices.

Participants will be able to select a particular area of regulatory policy for in-depth study. The format will allow for discussion and debate and draw expertise from both academic and practitioners in the field. Participation is welcome from those seeking a broad overview of regulatory policy, as well as analysts and managers with specific regulatory expertise and experience.

Course Learning Objectives

- To enhance understanding of the key concepts, theories and frameworks relating to regulatory policy and their applicability and relevance to public sector managers and analysts working in the public sector;
- To gain better appreciation of contemporary developments in regulatory policy practice and reform, drawing on theories and experiences – including national and international trends and influences;
- To gain insights and appreciation of regulation and regulatory policy and the particular strengths and weaknesses of different approaches and policy settings/tools, and their suitability to a specific jurisdiction and policy context;
- To provide participants with the opportunity to undertake research on a particular regulatory policy topic and to enhance their understanding and policy insights.

Course Delivery

This course is delivered in an intensive format in two modules, taught over two consecutive days per module (four days in total).

Attendance is **required** for all four teaching days.

Expected Workload

The learning objectives set for each course are demanding and, to achieve them, candidates must make a significant commitment in time and effort to reading, studying, thinking, and completion of assessment items outside of contact time. Courses vary in design but all require preparation and learning before the first day of the course and regular learning is also necessary (students who leave everything to the last moment rarely achieve at a high level).

Expressed in input terms, on average, the time commitment required usually translates to approximately 150 hours for a 15-point course.

Group Work

Some group work will be included during the course; however, written assessments will be prepared and submitted on an individual basis.

Readings and Course Materials

The textbook for this course is Robert Baldwin, Martin Cave and Martin Lodge (2010) *The Oxford Handbook of Regulation*, Oxford University Press. This can be purchased from www.amazon.com as an e-book which can be downloaded immediately onto your computer.

A listing of topics to be covered in the course follows, together with required readings. Some minor adjustments to topics and programmes may occur to cater to the particular interests of the participants. Required reading, other than from the textbook, will be placed on the Blackboard e-learning site.

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| Tuesday 16 April 2013 | |
| Day 1: Topics | Required Readings |
| Introduction: key concepts, and approaches to regulation and regulatory policy | Baldwin, Cave and Lodge (2010) chapter 1 |
| Economic and Public Interest Theories of Regulation | Baldwin, Cave and Lodge (2010) chapters 2-5 Lodge, M. and Wegrich, K. (2012) <i>Managing Regulation</i> , Palgrave Macmillan, pp. 27-46 |
| The 'Who' and 'How' of Regulation | Frieberg A. (2010) Restocking the Regulatory Toolkit in <i>Jerusalem Papers in Regulation & Governance</i> , Working Paper No 15. |
| Regulation and the New Zealand Productivity Commission | www.productivity.govt.nz Look at summaries of trans-Tasman integration, housing affordability and local government regulation |

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| Wednesday 17 April 2013 | |
| Day 2: Topics | Required Readings |
| The Regulatory State: Strategy, Accountability and Practices | Baldwin, Cave and Lodge (2010) chapters 6-10, 15 |
| Standards-Based and Performance-Based Regulations | ANZSOG Case Study (2012) A New Future for the Building Industry P. Mumford (2011) Drivers for Performance-based Regulation and its Limitations, Enhancing Performance-based Regulation: Lessons from New Zealand's building control system |
| Better Regulation | Baldwin, Cave and Lodge (2010) chapters 11-12 NZ Treasury (2012) The Best Practice Regulation Model: Principles and Assessments |
| Regulatory Impact Statements | Baldwin, Cave and Lodge (2010) chapters 13 NZ Treasury (2009) Regulatory Impact Analysis Handbook NZIER (2011) Be A Whizz at Writing a RIS |

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| Tuesday 28 May 2013 | |
| Day 3: Topics | Required Readings |
| Risk and Regulation | Baldwin, Cave and Lodge (2010) chapters 14 Bridget Hutter (2005) The Attractions of Risk-based Regulation: accounting for the emergence of risk ideas in regulation, Discussion Paper No 33, ESRC Centre for Analysis of Risk and Regulation, March 2005, pp. 1-17. |
| Case study | ANZSOG Case Study (2008): Regulatory Reform in the Road Transport Industry (A) |
| Student Presentations | |
| Bronwyn Howell (Institute for the Study of Regulation and Competition) | Topic: Telecommunications Regulation Baldwin, Cave and Lodge (2010) chapter 20 |

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| Wednesday 29 May 2013 | |
| Day 4: Topics | Required Readings |
| Trends in Regulatory Policy and Governance Reform | OECD (2012) Recommendation of the Council on Regulatory Policy and Governance, Paris. Baldwin, Cave and Lodge (2010) chapters 24-25 |
| Global Regulation | Baldwin, Cave and Lodge (2010) chapters 17 |
| Students Presentations | |
| Case Study: The Dairy Accord(s) | Notes for this session will be available on Blackboard |

Participants will have access to additional reading and resource materials relating to the topics which will be located on the Blackboard e-learning site. Some documents and handouts will be distributed in class.

This course will provide the opportunity for each student to examine a particular topic of interest in regulatory policy.

Blackboard is Victoria University's online environment that supports teaching and learning by making course information, materials and other learning activities available via the internet through the myVictoria student web portal.

To access the Blackboard site for this course:

1. Open a web browser and go to www.myvictoria.ac.nz .
2. Log into myVictoria using your ITS Username (on your Confirmation of Study) and password (if you've never used the Victoria University computer facilities before, your initial password is your student ID number, on your Confirmation of Study, Fees Assessment or student ID card – you may be asked to change it when you log in for the first time).
3. Once you've logged into myVictoria, select Blackboard (from the options along the top of the page) to go to your Blackboard homepage.
4. The "My Courses" section displays the courses you have access to – select the appropriate link to access the course-specific Blackboard site. Please note that only courses that are actually using Blackboard and have been made available to students by their respective course coordinator will be displayed.

You are recommended to ensure that your computer access to Victoria University's computer facilities, such as myVictoria and Blackboard, is working BEFORE your course starts. If you have any problems, you should contact the ITS Service Desk on (04) 463 5050 or its-service@vuw.ac.nz . See www.victoria.ac.nz/its/student-services/ for more information.

Materials and Equipment

No special materials and equipment are required.

Assessment

| Assignment | Due Date | Weight | Guidelines |
|--|---|--------|---|
| 1. Essay | Wednesday 8 May 2013 | 35% | 1,500 words maximum |
| 2. 1-2 page outline and short presentation (5 minutes max) on day 3 or 4 | Tuesday 28 or Wednesday 29 May 2013 | 10% | Brief report on 1-2 regulatory issues relating to your project topic |
| 3. Regulatory Project Report | Monday 17 June 2013 | 40% | 3,000 words maximum |
| 4. Contribution to class discussion | N/A | 15% | |

Please submit ALL assignments by email attachment to sog-assignments@vuw.ac.nz and be sure to keep a copy of everything that you send. Provide a word count on the cover sheet of each assignment and **DO NOT** exceed the word limit.

Further details on the assessments will be placed on Blackboard and will be discussed in class.

There is no final exam for this course.

Students should keep a copy of all submitted work.

Penalties

The ability to plan for and meet deadlines is a core competency of both advanced study and public management. Failure to meet deadlines disrupts course planning and is unfair on students who do submit their work on time. It is expected therefore that you will complete and hand in assignments by the due date. Marks will be deducted at the rate of five per cent for every day by which the assignment is late and no assignments will be accepted after five working days beyond the date they are due. For example, if you get 65% for an assignment, but you handed it in on Monday when it was due the previous Friday, you will get a mark of 50%.

If ill-health, family bereavement or other personal circumstances beyond your control prevent you from meeting the deadline for submitting a piece of written work or from attending class to make a presentation, you can apply for and may be granted an extension to the due date. You should let your course coordinator know as soon as possible in advance of the deadline (if circumstances permit) if you are seeking an extension. Where an extension is sought, evidence, by way of a medical certificate or similar, may be required by the course coordinator.

Mandatory Course Requirements

You must submit or participate in all pieces of assessment required for this course.

Communication of Additional Information

The Course Coordinator is available to communicate with students by email and telephone, and to meet by appointment. Additional information will be conveyed to students via email and Blackboard to all class members.

NOTE: Information emailed to you via Blackboard can only be sent to your @myvu.ac.nz email address (the free email address created for you when you enrol and accessed via the myVictoria student web portal). If you want to receive these emails at your preferred email address (e.g. your home or work email address), it is **essential** that you activate your @myvu.ac.nz email address before the start of the course and you modify the settings so all emails sent to it are automatically forwarded to your preferred email address. Please go to www.victoria.ac.nz/its/student-services/FAQs.aspx#Email_Foward for more information.

You are recommended to ensure that your computer access to Victoria University's computer facilities, such as myVictoria, Blackboard and email, is working BEFORE your course starts. If you have any problems, you should contact the ITS Service Desk on (04) 463 5050 or its-service@vu.ac.nz. See www.victoria.ac.nz/its/student-services/ for more information.

School of Government Service Standards

Good learning and teaching outcomes for students in School of Government courses depend on many factors, including open, transparent and accountable relationships between teaching and support staff, and students in their various activities. The following service standards indicate some of the key expectations that teaching staff and students can have of each other. In all cases, they represent what the School believes should be 'normal' practice; exceptional circumstances can and will be negotiated as required.

Please note that there are University-wide policies relating to assessment – including rights of review and appeal. Details may be found in the Assessment Handbook (which is reviewed and updated from time to time –

www.victoria.ac.nz/home/about/avcacademic/publications/assessment-handbook.pdf).

In general terms, any concerns that a student or students may have should be raised with the course coordinator in the first instance. If that course of action is not appropriate, the School's programme support staff will direct you to the relevant Programme Director/Coordinator.

Standards relating to staff timeliness of responses to email and phone queries:

- Email or phone queries from students will be responded to in 48 hours

Standards relating to availability of course materials:

- Students on modular or intensive courses will usually have course materials at least 4 weeks before the course starts
- Students on weekly courses will usually have course materials available on the first day of the course

Standards relating to attendance:

- It is expected that students will attend all contact teaching sessions for a course. If a student is aware that they will be unable to attend part of a course prior to it commencing, they are required to advise the course coordinator. In such a situation, the student may be declined entry into the course.
- Where a course coordinator approves some non-attendance before the class commences, the course coordinator may set additional item(s) of assessment of learning and teaching objectives for the course for students unable to attend. Advice relating to the submission and assessment of any such additional assessment will be provided by the course coordinator.

Variations to the assessment details provided in the course outline:

- Any variation to the assessment details in the course outline will be formally agreed between the course coordinator and students at the earliest possible time, preferably at the beginning of the course.

Standards relating to assignments – turnaround and feedback:

- Unless otherwise agreed between students and the course coordinator, items of assessment will be marked within 15 working days of submission.
- Comments on pieces of assessment will allow students to understand the reasons for the mark awarded, relative to the teaching and learning objectives specified in the course outline, and will usually include advice on how the student can improve their grades in future assignments.

Academic Integrity, Plagiarism, and the use of Turnitin

Plagiarism is presenting someone else's work as if it were your own, whether you mean to or not.

'Someone else's work' means anything that is not your own idea. Even if it is presented in your own style, you must still acknowledge your sources fully and appropriately. This includes:

- material from books, journals or any other printed source
- the work of other students or staff
- information from the Internet
- software programs and other electronic material
- designs and ideas
- the organisation or structuring of any such material.

Acknowledgement is required for *all* material in any work submitted for assessment unless it is a 'fact' that is well-known in the context (such as "Wellington is the capital of New Zealand") or your own ideas in your own words. Everything else that derives from one of the sources above and ends up in your work – whether it is directly quoted, paraphrased, or put into a table or figure, needs to be acknowledged with a reference that is sufficient for your reader to locate the original source.

Plagiarism undermines academic integrity simply because it is a form of lying, stealing and mistreating others. Plagiarism involves stealing other people's intellectual property and lying about whose work it is. This is why plagiarism is prohibited at Victoria.

If you are found guilty of plagiarism, you may be penalised under the Statute on Student Conduct. You should be aware of your obligations under the Statute, which can be downloaded from the policy website (www.victoria.ac.nz/home/about/policy/students.aspx). You could fail your course or even be suspended from the University.

Plagiarism is easy to detect. The University has systems in place to identify it.

Student work provided for assessment in this course may be checked for academic integrity by the electronic search engine www.turnitin.com . Turnitin is an on-line plagiarism prevention tool which compares submitted work with a very large database of existing material. At the discretion of the Head of School, handwritten work may be copy-typed by the School and subject to checking by Turnitin. Turnitin will retain a copy of submitted materials on behalf of the University for detection of future plagiarism, but access to the full text of submissions will not be made available to any other party.

There is guidance available to students on how to avoid plagiarism by way of sound study skills and the proper and consistent use of a recognised referencing system. This guidance may be found at the following website www.victoria.ac.nz/home/study/plagiarism.aspx .

If in doubt, seek the advice of your course coordinator.

Plagiarism is simply not worth the risk.

Link to General Information

For general information about course-related matters, go to www.victoria.ac.nz/vbs/studenthelp/general-course-information .

Note to Students

Your assessed work may also be used for quality assurance purposes, such as to assess the level of achievement of learning objectives as required for accreditation and academic audit. The findings may be used to inform changes aimed at improving the quality of VBS programmes. All material used for such processes will be treated as confidential, and the outcome will not affect your grade for the course.
