

**Carleton University  
School of Public Policy and Administration**

**Regulation and Public Policy  
PADM 5220/4220**

**Course Details**

Fall 2013  
Thursdays 5:35 pm - 8:25 pm  
Room 3228 RB

**Instructor**

Vlasios Melessanakis  
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**Description**

This course examines:

- The economic, political, social, and organizational theories of regulation, a key policy instrument of government; and
- Select processes and consequences of regulatory practice in certain public policy fields and jurisdictions.

## **Texts/Readings**

- 1.) **Understanding Regulation: Theory, Strategy, and Practice**  
Robert Baldwin and Martin Cave  
Oxford University Press; 2nd edition (2012)
- 2.) **The Regulatory Craft: Controlling Risks, Solving Problems, and Managing Compliance**  
Malcolm K. Sparrow  
University of British Columbia Press (2005)
- 3.) **Responsive Regulation: Transcending the Deregulation Debate**  
Ian Ayres and John Braithwaite  
Oxford University Press (1992)
- 4.) **Rules, Rules, Rules: Multi-Level Regulatory Governance**  
G. Bruce Doern and Robert Johnson  
University of Toronto Press (2006)

### *Optional*

- 5.) **Financial Regulation: Why, How and Where Now?**  
By Charles Goodhart et al (Bank of England)  
Routledge; 1st edition (1998)

### *To be provided by instructor*

- 6.) **Red Tape, Red Flags: Regulation for the Innovation Age**  
G. Bruce Doern  
Conference Board of Canada (2007)

### *To be provided by instructor*

## Grading

Mid-term exam	40%
Final exam	40%
Assignment	20%

Note: the final exam is not cumulative

## Academic Accommodation

You may need special arrangements to meet your academic obligations during the term. For an accommodation request the processes are as follows:

**Pregnancy obligation:** write to me with any requests for academic accommodation during the first two weeks of class, or as soon as possible after the need for accommodation is known to exist. For more details visit the Equity Services website:

<http://www.carleton.ca/equity/>

**Religious obligation:** write to me with any requests for academic accommodation during the first two weeks of class, or as soon as possible after the need for accommodation is known to exist. For more details visit the Equity Services website: <http://www.carleton.ca/equity/>

### Academic Accommodations for Students with Disabilities:

1. Identify your needs for disability-related academic accommodations to the Paul Menton Centre (PMC), supported by relevant and recent documentation from a registered health care professional, by booking an intake appointment with a PMC Coordinator. Documentation forms are available for download on the [PMC website](http://www.carleton.ca/pmc/) <http://www.carleton.ca/pmc/>.
2. With appropriate documentation and your input, your PMC Coordinator will formally evaluate your needs for accommodation by establishing a protocol. Factors taken into consideration when establishing an accommodation protocol are the specific impact of your disability on academic functioning, the degree of the impact, the extent in which your documentation supports your requests, and whether the accommodation will significantly compromise the essential requirements and/or academic integrity of the course or program.
3. You must request accommodations at the beginning of each academic term. New students are required to meet their PMC Coordinator in the Fall and Winter Terms. If you are a returning student, you may have the option of submitting your request for accommodation on line via myPMC.
4. You will be issued a “Letter of Accommodation” for each course, stating your documented accommodation needs. The Letter is sent by email to your course instructor and your Carleton email.
5. You are required to speak to your course instructor soon after receiving the Letter to discuss how best to implement your accommodations. Please note that a 2-week notice is required for instructors to make accommodation arrangements for any in-class scheduled tests/quizzes/midterm exams.

6. The deadline to request accommodations for formally scheduled exams each term is published on the PMC website, on the [Deadline Dates page](http://www.carleton.ca/pmc/students/dates-and-deadlines/) <http://www.carleton.ca/pmc/students/dates-and-deadlines/>.
7. If your course instructor does not agree to any or all of your accommodations as stated on your Letter of Accommodation, you should contact your PMC Coordinator to request that s/he initiates an informal review of the decision.

You can visit the Equity Services website to view the policies and to obtain more detailed information on academic accommodation at <http://www.carleton.ca/equity/>

## Content

Lecture	Date	Readings
1	Sept. 5	<b>Introduction</b>
2	Sept. 12	<b>Why regulate?</b> <b>Explaining regulation</b>  Baldwin and Cave 1, 2, 4
3	Sept. 19	<b>What is “good” regulation?</b> <b>Regulatory failure</b>  Baldwin and Cave 3, 5
4, 5	Sept. 26 Oct. 3	<b>Regulatory strategies and institutions</b>  Baldwin and Cave 7, 8, 9, 10
6	Oct. 10	<b>Enforcement</b> <b>Responsive regulation</b>  Baldwin and Cave 11, 12 Ayres and Braithwaite Doern
7	Oct. 17	<i>Mid-term exam (in-class)</i>
8	Oct. 24	<b>Risk-based regulation</b> <b>Principles-based regulation</b>  Baldwin and Cave 6, 13, 14 Sparrow  <i>Assignment to be distributed</i>

9	Oct. 31	<i>Fall Break</i>
10	Nov. 7	<b>Natural monopolies and competition</b> Baldwin and Cave 22, 23, 24, 25, 26
11	Nov. 14	<b>Financial regulation</b> Goodhart 1

12	Nov. 21	<b>Multi-level regulation and coordination</b>  Baldwin and Cave 18, 21 Doern and Johnson  <i>Assignment due</i>
13	Nov. 28	<b><i>Final Exam</i></b>
14	Dec. 5	<b><i>Flex/No Class</i></b>