



Course Information:

Time: Tuesday 10:00am – 12:20pm

Room: 104 Taubman

Office Hours:

Tues: 2:00pm – 4:00pm

& by appointment

Office: Taubman Center #206, 67 George St.

Email: erik_godwin@brown.edu

Course Objectives:

This course is designed to prepare students for work in heavily regulated policy arenas (which is pretty much all of them). You will receive training in the disciplines necessary to design regulations, evaluate compliance options, and generate regulatory analyses that policymakers will find persuasive. This is a practitioner's course. Familiarity with the basic concepts of microeconomics and statistics is assumed.

Upon completion of the semester, students will have the tools necessary to:

- Identify when regulations are necessary, and which regulatory architectures best lend themselves to the actions under consideration;
- Evaluate regulatory options and communicate those findings in both written and oral formats; and
- Conduct retrospective analyses of regulatory impacts on regulated entities and society.

Course Overview:

Half of each class will focus on the readings. The second half will require students to apply lessons learned to case study examples. Some of the regulatory cases will come from federal agencies and others from state efforts. Students are expected to have completed the week's readings prior to attending that week's class. With only 12 scheduled class meetings, preparation is critical..

Required Readings:

- Kerwin, Cornelius and Scott Furlong. 2011. *Rulemaking*. 4th Edition. CQ Press. ISBN-13: 978-0872893375
- Gormley, William and Steven Balla. 2013. *Bureaucracy and Democracy*. 3rd Edition. CQ Press. ISBN-13: 978-160871717
- Fischbeck, Paul and Scott Farrow. 2001. *Improving Regulation*. Resources for the Future. ISBN-13: 978-1891853111
- US EPA. *Guidelines for Preparing Economic Analyses*, 2010. (Free online).
 - <http://yosemite.epa.gov/ee/epa/eed.nsf/pages/guidelines.html>
- OMB Circular A-4: http://www.whitehouse.gov/omb/circulars_a004_a-4



Other Readings:

Additional readings are available on Canvas or can be found online. If a reading in electronic format will not open it is the responsibility of the student to find a usable copy.

Grading:

Final grades will be earned via the following sources:

Quizzes	25%
Policy Memo and Presentation #1	25%
Policy Memo and Presentation #2	25%
Policy Memo and Presentation #3	25%

Quizzes

Quizzes will be administered at the beginning of class, and are timed. They may cover the readings assigned for that week and/or the quantitative techniques currently under discussion. As this is a second-year course, the penalty for incorrect information will be twice the value of the question. For example, consider a question with a value of five points. If the student answers correctly, she receives five points. If she leaves the question blank, he receives no points. If he answers incorrectly, however, she receives a score of **negative** five points.

Policy Memos

Writing policy memos is a demanding skill. Brevity, accuracy, and strategy play critical roles in crafting documents capable of defining viable policy/management decisions. For each memo use one-inch margins, single-spaced, Times New Roman, 12-point font, and footnotes. I deduct two points for every error in grammar and inconsistency in formatting. I will remove a letter grade if the paper is not turned in on time, and then another letter grade for every additional hour it is late.

Presentations

A significant portion of each student's grade stems from his or her ability to generate professional-quality presentations. These presentations will range widely in terms of time and scope, but each will be graded on the effectiveness of communication.

Makeup/Late Quiz or Memo Policy

Makeups for late memos require a university-approved excuse that is consistent with Brown's General Regulations (see: <http://bulletin.brown.edu/generalregulations/>) or, at my discretion, a pre-approved absence for professional development.

Grading Scale

This is a practitioner's course. As such, it places a premium on professional-quality work products. I will use the following grade cutoffs when determining letter grades:

A	90.0% and above
B	80.0% - 89.99%
C	70.0% - 79.99%
D	below 70.0%

**Academic Honesty:**

You are expected to follow Brown's academic code.¹ According to the code, "Students who submit academic work that uses others' ideas, words, research, or images without proper attribution and documentation are in violation of the academic code. Infringement of the academic code entails penalties ranging from reprimand to suspension, dismissal, or expulsion from the University." If you have any questions about proper citation, talk to a reference librarian, someone at the Writing Center, or myself.

Students with Disabilities:

Please inform me if you have a disability or other condition that might require some modification of any of these course procedures. You may speak with me after class or during office hours. For more information, contact Student and Employee Accessibility Services at 401-863-9588 or SEAS@brown.edu.

Email:

For the purposes of this class email will be used for administrative purposes. Questions about the content of class are best addressed during office hours. Please come by and I will be happy to speak with you about the ideas we discuss in class.

Course Schedule

Date	Topics	Readings
9/9	Introduction	
9/16	Why Regulate?	OMB Circular A-4 <i>Rulemaking (Chapters 1-3)</i>
9/23	Capture Theory	Huntington, Samuel P. 1952. "The Marasmus of the ICC: The Commission, the Railroads, and the Public Interest." <i>Yale Law Journal</i> ; 61:467-503. Laffont, Jean Jacques, and Jean Tirole. 1991. "The Politics of Government Decision-Making: A Theory of Regulatory Capture." <i>Quarterly Journal of Economics</i> ; 4:1089-1127. Peltzman, Sam. 1976. "Toward a More General Theory of Regulation." <i>Journal of Law and Economics</i> ; 19:211-240.
9/30	TBD	Memo #1 Due
10/7	Regulatory Oversight and Principal-Agent Models	<i>Rulemaking (Chapters 4-7)</i>

¹ You can and should read the code in its entirety here:

http://www.brown.edu/Administration/Dean_of_the_College/curriculum/documents/principles.pdf



		Whitford, Andrew. 2005. "The Pursuit of Political Control by Multiple Principals." <i>Journal of Politics</i> ; 67:39-49.
10/14	Principal-Agent II	McCubbins, Mathew, Roger Noll, and Barry Weingast. 1989. "Structure and Process, Politics and Policy: Administrative Arrangements and the Political Control of Agencies." <i>Virginia Law Review</i> ; 75:431-82. Canes-Wrone, Brandice. 2003. "Bureaucratic Decisions and the Composition of Lower Courts." <i>American Journal of Political Science</i> ; 47:205-214.
10/21	Politics and Regulation	<i>Bureaucracy and Democracy</i>
10/28	Politics and Regulation II	Carpenter, Dan. 2002. "Groups, the Media, Agency Waiting Costs, and FDA Drug Approval." <i>American Journal of Political Science</i> . Gordon and Hafer. 2005. "Flexing Muscle: Corporate Political Expenditures as Signals to the Bureaucracy." <i>American Political Science Review</i> , 99.
11/4	Regulatory Systems Management	Memo #2 Due <i>Improving Regulation (chapters 1-12)</i> Chay, Kenneth and Michael Greenstone. 2005. "Does Air Quality Matter? Evidence from the Housing Market." <i>Journal of Political Economy</i> ; 113.
11/11	RSM II	<i>Improving Regulation (chapters 13-20)</i> Gayer, Ted, James Hamilton, and Kip Viscousi. 2000. "Private Values of Risk Tradeoffs at Superfund Sites: Housing Market Evidence on Learning About Risk." <i>Review of Economics and Statistics</i> ; 82:439-451.
11/18	Interest Group Influence	<i>Lobbying and Policy Change</i>
11/25	Final Presentations	
12/2	Memo #3 Due Final Presentations	
12/9	Final Presentations	