TE WHARE WĀNANGA O TE ŪPOKO O TE IKA A MĀUI

VICTORIA
UNIVERSITY OF WELLINGTON

School of Government

GOVT 536
REGULATORY POLICY
(15 Points)

Trimester 1 / 2015

COURSE OUTLINE

Names and Contact Details

Course Coordinator:	**Professor Claudia Scott** Room RH 805, Level 8, Rutherford House, Pipitea Campus Telephone: (04) 463 5377 Email: claudia.scott@vuw.ac.nz
Contributors:	This course draws on academics and practitioners with expertise in regulatory policy and practices.
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

Monday 23 March – Monday 25 May 2015

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 **Thursday 2 April 2015**.

2. The standard last date for withdrawal from this course is **Thursday 7 May 2015**. 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 Delivery, Class Times and Room Numbers

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

Class Dates: Thursday 26 – Friday 27 March 2015 AND
Thursday 7 – Friday 8 May 2015

Class Times: 9.00am – 5.00pm each day

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

Attendance is <u>required</u> at all four teaching days

Expected Workload

The learning objectives set for each course are demanding and to achieve them participants 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 module of the course and some require assessments following the last module. Continuous learning is helpful to obtaining high achievement, and those who leave everything to the last moment rarely achieve to a high standard. Expressed in terms of time commitment per course, this 15-point course usually requires approximately 150 hours. Some of that is set contact time for modules. The rest is personal study time and we recommend a weekly commitment of 8 to 10 hours per course, on average.

Prescription

This course examines contemporary issues in regulatory policy, with emphasis on the roles of government and others in designing policies to secure enhanced economic, social, environmental and cultural outcomes. Particular areas of regulation are highlighted as are international as well as New Zealand approaches to theory and practice.

Course Learning Objectives

- Analyse 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;

- Describe and reflect on contemporary developments in regulatory policy practice and reform, drawing on theories and experiences – including national and international trends and influences;
- Evaluate 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;
- Undertake research on a particular regulatory policy topic and to enhance their understanding and policy insights.

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.

Readings

The required textbook for this course is:

Baldwin, R., Cave, M., & Lodge, M. (2010). *The Oxford handbook of regulation*. Oxford University Press.

It can be accessed from the VUW library as an e-book, a hard copy on Closed Reserve in the Law Library, or purchased through www.amazon.com .

A second core required reading is:

New Zealand Productivity Commission. (2014). *Regulatory institutions and practices*. Available at: www.productivity.govt.nz/sites/default/files/regulatory-institutions-and-practices-final-report.pdf .

Many other readings are available from the Victoria University of Wellington library databases or e-book collections. As a VUW student, you have complete and free access to these materials. University copyright licenses allow you to download and print these materials, so long as you use them for educational purposes only. Please ask your course convenor or a VUW librarian if you require help to access material, or if you run into any other problems.

If the library does not have database or e-book access to required readings (those with no asterisk in this course outline), a URL will be provided, or the readings will be available on Blackboard. Participants will have access to additional reading and resource materials which will be located on the Blackboard e-learning site. Some additional documents and handouts will be distributed in class.

Overview and Work Planner *

Description		Date
Day 1 and 2:	Regulatory policy course	26-27 March 2015
Assignment 1:	On-line task: introduction and comment on regulation	No later than 2 April 2015
Assignment 2:	Essay	16 April 2015
Assignment 3:	Submission of two-page progress report on regulatory Project	3 May 2015
Days 3 and 4:	Regulatory policy course	7-8 May 2015
Assignment 4:	Class presentation	7 or 8 May 2015
Assignment 5:	Regulatory Project Report	25 May 2015

* Further details on assignments and assessments will be provided on Blackboard and/or discussed in class.

Thursday 26 March 2015 Day 1: Topics	Required Readings
Introduction: key concepts, theories and approaches to regulation and regulatory policy	Text: Baldwin, Cave, & Lodge, Chapter 1 Frieberg, R. (2010). Who Regulates? In *The Tools of Regulation*, (Chapter 2). Annadale: The Federation Press.
Economic and Public Interest Theories of Regulation	Text: Baldwin, Cave, & Lodge, Chapters 2-4 Lodge, M., & Wegrich, K. (2012). *Managing regulation* (pp. 27–46). New York: Palgrave Macmillan.
Standard-based Principle-based and Performance-based Regulation	Text: Baldwin, Cave, & Lodge, Chapters 6, 7, 14 Mumford, P. (2011). Drivers for performance-based regulation and its limitations. In *Enhancing performance-based regulation: Lessons from New Zealand's building control system* (pp. 31–46). Wellington: Institute of Policy Studies.
Case Study: Leaky Buildings	ANZSOG. (2012). *A new future for the building industry* (and case study questions). ANZSOG: Case study series.

Friday 27 March 2015 Day 2: Topics	Required Readings
The Regulatory System: Strategy, Accountability and Practices	Text: Baldwin, Cave, & Lodge, Chapters 5, 8–10, 15
Telecommunications and Network Industry Regulation	Text: Baldwin, Cave, & Lodge, Chapter 20
Managing Regulatory Risks	Text: Baldwin, Cave & Lodge, Chapter 14 *Black, J., & Baldwin, R. (2012). When risk-based regulation aims low: Approaches and challenges. *Regulation and Governance*, 6(1), 2–22. *Black, J., & Baldwin, R. (2010). Really responsive risk-based regulation. *Law and Policy*, *32*(2), 181–213. ANZSOG. (2012). *Pike River* (and case study questions). ANZSOG: Case study series
Regulatory Impact Analysis and the Regulatory Quality System	Text: Baldwin, Cave, & Lodge, Chapters 11–13 New Zealand Treasury. (2015). *The best practice regulation model: Principles and assessments.* www.treasury.govt.nz/economy/regulation/bestpractice/bpregpa-feb15.pdf New Zealand Treasury. (2013). *Regulatory impact assessment (RIA) handbook.* www.treasury.govt.nz/publications/guidance/regulatory/impactanalysis/ria-handbk-jul13.pdf New Zealand Institute of Economic Research. (NZIER). (2011). *Be a whizz at writing a RIS*. Link on: http://nzier.org.nz/publication/be-a-whizz-at-writing-a-ris-nzier-insight-31 *Manch, K. (2014). Improving the implementation of regulation: Time for a systemic approach. *Policy Quarterly*, *10*(4), 7–22. *Ayto, J. (2014). Why departments need to be regulatory stewards. *Policy Quarterly, 10*(4), 23–28.

Thursday 7 May 2015 Day 3: Topics	Required Readings
Regulation of Specific Industries	Text: Baldwin, Cave, & Lodge, Chapters 10, 18, 22
Student Presentations	Relevant pre-circulated regulatory topic two-page summary
Priorities for Reforming the NZ Regulatory System	New Zealand Productivity Commission. (2014). *Regulatory institutions and practices*. Available at: www.productivity.govt.nz/sites/default/files/regulatory-institutions-and-practices-final-report.pdf Gill, D., & Frankel, S. (2014). Learning the way forward? The role of monitoring, evaluation and review. In S. Frankel & J. Yeabsley (Eds.), *Framing the Commons: Cross-cutting issues in regulation.* Wellington: Victoria University Press
Student Presentations	Relevant pre-circulated regulatory topic two-page summary

Friday 8 May 2015 Day 4: Topics	Required Readings
Trends in Regulatory Policy and Governance Reform	Text: Baldwin, Cave, & Lodge, Chapters 24–25 OECD (2012) *Recommendation of the Council on Regulatory Policy and Governance*. OECD: Paris. www.oecd.org/governance/regulatory-policy/49990817.pdf *Mumford, P. (2014). Regulatory coherence: Blending trade and regulatory policy, *Policy Quarterly*, *10*(4), 3–9 *Frankel, S. (2014). Emerging regulatory issues: Intellectual property and global value chains, *Policy Quarterly*, *10*(4), 28–32
Student Presentations	Relevant pre-circulated regulatory topic two-page summary
Reform in the Financial Services and Markets	Text: Baldwin, Cave, & Lodge, Chapter 18
Student Presentations	Relevant pre-circulated regulatory topic two-page summary

Assessment

Assessments include one on-line task, one essay, a two-page summary of a topic you have selected for your regulatory policy project, a presentation and a regulatory policy project. Class participation and group work is also assessed.

Further details of all assessments will be discussed in class and this information will also be posted on Blackboard.

Assessment Items Overview		Due Date	Length	%	CLOs
1	Online task	No later than 2 April 2015	500 words	5	1
2	Essay	16 April 2015	2,000 words	30	1, 2
3	Regulatory policy project topic summary	3 May 2015	Two-page summary	5	3, 4
4	Presentation	7 or 8 May 2015	8 minute (maximum)	5	3, 4
5	Regulatory policy project	25 May 2015	2,500 words (maximum)	40	3, 4
6	Class participation/group work	Ongoing		15	1, 2, 3

Provide a word count on the cover sheet for relevant assessment items and **DO NOT** exceed the word limit. Word limits do not count references and may not be exceeded.

Please submit ALL assignments by email attachment to sog-assignments@vuw.ac.nz and to claudia.scott@vuw.ac.nz . **DO NOT SUBMIT PDFs. You should keep a copy of all submitted work.**

For general information on assessment at VUW, please see the Assessment Handbook, which applies to all VUW courses: see www.victoria.ac.nz/documents/policy/staff-policy/assessment-handbook.pdf .

There is no final exam for this course.

Note on Quality Assurance

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.

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.

Computation of Grades

The translation from numerical marks to letter grades is set by the following grade ranges.

Pass/Fail	Grade	Normal range	Indicative characterisation
Pass	A+	90% - 100%	Outstanding performance
	A	85% - 89%	Excellent performance
	A-	80% - 84%	Excellent performance in most respects
	B+	75% - 79%	Very good performance
	B	70% - 74%	Good performance
	B-	65% - 69%	Good performance overall, but some weaknesses
	C+	60% - 64%	Satisfactory to good performance
	C	55% - 59%	Satisfactory performance
	C-	50% - 54%	Adequate evidence of learning
Fail	D	40% - 49%	Poor performance overall; some evidence of learning
	E	0 - 39%	Well below the standard required
	K	Fail due to not satisfying mandatory course requirements, even though the student's numerical course mark reached the level specified for a pass, usually 50%. A student whose course mark is below 50 should be given a D (40-49) or E (0-39), regardless of whether they met the mandatory course requirements	
Pass	P	Overall Pass (for a course classified as Pass/Fail)	
Fail	F	Fail (for a Pass/Fail course)	

Access to Blackboard

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. Ensure that you can access Blackboard before the course begins.

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.

If you have any problems gaining access to Victoria University's computer facilities, such as myVictoria and Blackboard, 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.

Power-point slides and other lecture materials that are posted on Blackboard may differ from the presentations used in class, as the copyright rules for archived presentations differ somewhat from those for live presentation.

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.**

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/about/governance/dvc-academic/publications).

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.

Mandatory Course Requirements

In addition to obtaining an overall course mark of 50 or better, students must submit or participate in all pieces of assessment required for this course.

If you cannot complete an assignment or sit a test or examination, refer to www.victoria.ac.nz/home/study/exams-and-assessments/aegrotat .

Communication of Additional Information

Information will be communicated via Blackboard. It is essential, therefore, that you activate your @myvuw.ac.nz email account (the free email account created for you when you enrol and accessed via the myVictoria student web portal) before the start of the course. Once you have activated your @myvuw.ac.nz email account, if you want to receive these emails at your preferred email address (e.g. your home or work email address), you must modify the settings so all emails sent to it are automatically forwarded to your preferred email address. For more information, please go to www.victoria.ac.nz/its/student-services/FAQs.aspx#Email_Forward .

Student Feedback

This course is offered for the third time, this year as GOVT 536, but for the previous two years as MAPP 527.

Student feedback on University courses may be found at www.cad.vuw.ac.nz/feedback/feedback_display.php .

Link to General Information

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

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