

**POLITICAL SCIENCE 4213  
REGULATORY POLICY—FALL 2005**

**Professor:** Michael Givel  
**Office:** Dale Hall Tower 217  
**Phone:** 325-8878  
**Email:** [mgivel@ou.edu](mailto:mgivel@ou.edu)  
**Office Hours:** Tuesdays, 3-5 P.M. or by Appointment.

**General:** This course will examine the role and impact of public agency regulation of the market, organizations, individuals, and other government agencies. Included in this examination, will be an overview and analysis of the history and impact of regulatory policy, including current regulatory and deregulatory trends in the United States. This course will also examine the role and impact of formal agency written rule making in the development of regulatory policy. Emphasis will be also be given to understanding contemporary regulatory policy and political issues that are occurring in the areas of market competition, securities regulation, telecommunications, environmental protection, workplace regulation, consumer products, and energy. Finally, this course will also examine the role of accountability and open democratic participation in shaping regulatory policy making.

**Course Objectives:**

1. To provide an overview and understanding of the history of regulatory policy in the United States.
2. To assess and analyze contemporary deregulatory policy trends in the United States.
3. To comprehend and ascertain the role of written rule making in the regulatory policy making process.
4. To understand the dynamics of current U.S. regulatory policy issues in the areas of market competition, securities regulation, telecommunications, environmental protection, workplace regulation, consumer products, and energy.
5. To enhance research skills, including the design, information collecting, and analysis of written research reports.

**Required Texts:**

Kessler, David, 2001. *A Question of Intent*. New York: PublicAffairs

Palast, Greg, Oppenheim, J., and MacGregor, T., 2003. *Democracy and Regulation*.  
Sterling, Virginia: Pluto Press

Kerwin, Cornelius, 2003. *Rulemaking, 3<sup>rd</sup> Edition*. Washington, D.C.: CQ Press.

Eisner, Marc, 2000. *Regulatory Politics in Transition, 2<sup>nd</sup> Edition*. Baltimore: John Hopkins  
University Press

Eisner, Marc, Worsham, J., and Ringquist, E., 2000. *Contemporary Regulatory Policy*.  
Boulder, Colorado: Lynee Rienner Publishers

## Course Content:

- Aug. 25 Introduction to Course. Overview of Regulatory Policy Making. Understanding Regulatory Change. Progressivism and Regulatory Authority. Political Economy of Regulation.  
Read: Chapters 1-3, Eisner, Worsham, and Rinquist-- *Contemporary Regulatory Policy*
- Sept. 1 Early Regulation of Corporations. New Deal and Regulation. New Social Regulations. Regulating Risk.  
Read: Chapters 3-4, and 6-7 Eisner—*Regulatory Politics in Transition*
- 8 Secrecy, Democracy, and Regulation. Competition as Regulation.  
Read Chapters 1-4, Palast, et. al.
- 15 Open Regulatory Processes. Social Pricing and Regulation.  
Read Chapters 5-8, Palast, et. al.
- 22 Neo-classical Economics and Regulation. Regulation and Privatization.  
Read: Chapters 8, Eisner--*Regulatory Politics in Transition*; Chapters 11-14, Palast, et. al
- 29 Rulemaking.  
Read: Chapters 1-6, Kerwin  
Mid-Term examination covering all material in class lectures and readings from August 25, 2005 to September 22, 2005.
- Oct. 6 Rulemaking continued.  
Read: Chapters 1-6, Kerwin
- 13 Regulating Market Competition. Regulating Financial, Securities Markets, and Telecommunications.  
Read: Chapters 4-6, Eisner, Worsham, and Rinquist  
Written Analysis paper analyzing a Final Rule due this day.
- 20 Regulating Environmental Protection, Workplaces, Consumer Products, and Energy.  
Read: Chapters 7-10, Eisner, Worsham, and Rinquist
- 27 How It Works: Overview of U.S. Tobacco Regulatory Policies.  
Read: Teague, Claude, April 14, 1972. "Research Planning Memorandum On the Nature of the Tobacco Business and the Crucial Role of Nicotine Therein." R. J. Reynolds Tobacco document; and Givel, Michael, 2003. "A Comparison of US and Norwegian Regulation of

Coumarin in Tobacco Products.” *Tobacco Control*. 12: pp. 401-405; and “Tobacco Lobby Political Influence on State Legislatures in the 1990s.” *Tobacco Control*, 2001, Givel and Glantz

Nov. 3 How It Works: U.S. Food and Drug Administration and Big Tobacco.

Read: Parts I-IV, Kessler

Written Analysis paper on “Research Planning Memorandum On the Nature of the Tobacco Business and the Crucial Role of Nicotine Therein” document due this day.

10 Debates and Outlines

17 Debates and Outlines

Conclusion and Review for Final Exam.

Research Papers Due This Day.

Dec. 8 Final Exam

### Grading Policies:

Grades:

Research Paper:	30%
Debate:	25%
Outline:	5%
Written Analyses (5% each)	10%
Mid Term Exam	10%
Final Exam	20%
<b>Total</b>	<b>100%</b>

Each point that you receive equals one percentage point of your grade. You can receive a maximum total of 100 points, which would equal 100%, or a perfect score. I will be using the traditional 100-90 (A); 89-80 (B); 79-70 (C); 69-60 (D); and 59 and below (F) grading method.

Research Paper: This paper is designed to explore academic ideas and concepts associated with topics discussed in class. You need to select a topic such as history of regulation, regulating environmental protection, regulating the workplace, regulating consumer products, written rule making and public policy and research and write an academic paper.

All papers should be typewritten and double-spaced in 11 or 12-point font with one-inch margins. The paper should be at least 15 pages or more in length (not including footnotes, title page, and references). You should also utilize the American Psychological Association (APA) or Chicago Manual of Style or MLA formats in relation to style and format for such items as footnotes, bibliography, and so on. I will also take off some points for consistently improper grammar or spelling.

These papers should generally follow the following format (the development of a detailed outline before you write the paper is very helpful in doing this):

1. Give a brief introductory statement on your academic topic;
2. In the body of the paper, describe and explain in an internally consistent and logical fashion what your topic is. Be sure to provide an overview of the major themes and concepts related to your topic;
3. Offer examples and provide tables, graphs, and footnotes and endnotes (when appropriate) to bolster your discussion. All material that is quoted or not original should have an appropriate footnote or endnote;
4. If appropriate, provide and discuss contrasting and differing themes and concepts to the general themes and concepts included in your paper; and
5. Provide a conclusion to your discussion. This conclusion should succinctly summarize the main themes of your paper.

Debates and Outline: Toward the end of semester you will be in a group with five other members of the class in a debate. Three of you will argue in favor of a regulatory policy issue and three of you will argue against the same regulatory policy issue. The opening arguments should last no more than 10 minutes. Rebuttals to your opponents' position will also be 10 minutes. Finally, a closing statement should be 5 minutes.

On the second day of class you will select from a list of issues related to regulatory policy that I will provide and most interest you and then prepare to present a few key points, defend your position, and challenge your opponents' positions. This will require you to be familiar with the *Taking Sides* publication located at: <http://www.dushkin.com/usings/guide/ho01.mhtml> and do some outside research.

I will be assessing the group grade for the debate separately for the proponents and opponents for each issue based on the following criteria:

- Proper comprehension of the issue.
- Appropriate use of supporting empirical evidence.
- Identification of points of agreement and points of disagreement.
- Ability to challenge flaws in the opposition's arguments and research.
- Ability to make the discussion relevant to the audience.
- Civility in tone which avoids the use of ad hominem reasoning and other logical fallacies.

Before the debate you will need to hand in a one page logically organized outline of key points you plan to address and a bibliography of the sources you used.

Written Analyses: These papers should be no more than five pages and should be typewritten and double-spaced in 11 or 12-point font with one-inch margins. You should also utilize the American Psychological Association (APA) or Chicago Manual of Style or MLA formats in relation to style and format for such items as footnotes, bibliography, and so on. I will also take off some points for consistently improper grammar or spelling.

For the first paper, you will need to read an actual final regulation published in the *Federal Register*. This means that the regulation must be published as a Final Rule. For this paper please do the following. Provide a short summary of the regulation; the rationale for the regulation; the history of the regulation; a summary of the arguments for and against the regulation submitted by groups and individuals; and a conclusion based on your analysis how the agency handled the regulation.

For the second paper, please provide the following analysis of the assigned reading (on paper and electronic reserve) “Research Planning Memorandum on the Nature of the Tobacco Business and the Crucial Role of Nicotine Therein” by providing a short overview of the key points of the document. Then provide an analysis of how the position of the tobacco industry in this memorandum relates to the concept of new social regulation and regulation and self-regulation that we covered in class and your readings.

Mid Term Exam: This is a closed book essay style examination that will cover course concepts for the course as indicated in the Course Content section of this syllabus. In this exam, you will be responsible for all materials covered in reading assignments and class lectures.

Final Exam: This is a closed book essay style examination that will cover the entire course. In this exam, you will be responsible for all materials covered in reading assignments and class lectures.

**Attendance and Tardiness:** All students are expected to attend all scheduled class sessions on time.

**Assignments and Tests:** All assignments must be submitted on time in order to complete the course successfully. If you turn an assignment in after the date that it is due, and you do not have a valid reason for its late submittal, proportional points in relation to how late it is submitted will be deducted from the assignment. There are no extra credit assignments in this course. Make-up exams may be scheduled upon good cause reasons given by the student and approved by the instructor on a case-by-case basis. If there is not a good cause for an exam not being taken at its scheduled time, that exam cannot be made-up at a later date. All students are expected to complete the required reading assignments before the class period that the reading assignment is assigned.

**Accommodation for Students With Disabilities:** Any student in this course who has a disability that may prevent her or him from fully demonstrating her or his abilities should contact me personally as soon as possible so we can discuss accommodations necessary to ensure full participation and facilitate your educational opportunities.

**Religious Observance:** It is the policy of the University to excuse absences of students that result from religious observances and to provide without penalty for the rescheduling of examinations and additional required class work that may fall on religious holidays.

**Electronic Devices:** All audible electronic devices, including but not limited to cell phones and beepers, must remain off at all times while the class is in session.

**Cheating and Plagiarism:** Any student who willfully violates the cheating and plagiarism policy may be subject to disciplinary proceedings within the scope of university due process grievance and hearing rights. A full description of what constitutes academic misconduct and rights and responsibilities during academic misconduct proceedings is located at: <http://www.ou.edu/provost/pronew/content/integritymenu.html>.