

**Research on Effective Government: Inspection and Compliance Workshop**  
*Bringing Academia and Agencies Together*

**June 1, 2015**

**UMD Economics Conference Room Downtown**  
**1400 16th Street, NW, Washington DC**

8:00	Continental breakfast
8:30	<p><b>Welcome</b></p> <ul style="list-style-type: none"> <li>▪ Prof. Ginger Jin, University of Maryland</li> </ul> <p><b>Why academics need this workshop</b></p> <ul style="list-style-type: none"> <li>▪ Prof. Mike Toffel, Harvard Business School</li> </ul>
8:45	<p><b>Why regulators need this workshop</b></p> <ul style="list-style-type: none"> <li>▪ Cynthia Giles, Assistant Administrator, US EPA Office of Enforcement and Compliance Assurance</li> </ul>
9:00	<p><b>Session 1. Effective targeting</b> <span style="float: right;">Session chair: Ginger Jin</span></p> <p>Agencies may choose to inspect every firm the same way, or target likely violators with more intense and more frequent inspections. What do we know about each approach? What is the trade-off between the two approaches? Is it possible to combine the two, for example, inspect every firm but target different violations in each inspection?</p> <ul style="list-style-type: none"> <li>▪ Prof. Mark Cohen, Vanderbilt Owen Graduate School of Management &amp; Vanderbilt Law School</li> <li>▪ Steve Solomon, Deputy Associate Commissioner for Regulatory Affairs, US FDA Office of Global Regulatory Operations and Policy</li> <li>▪ Karen Livingston, Director–Division of Strategic Planning and Performance, US DOL Wage and Hour Division</li> </ul>
10:00	<p><b>Session 2: Effective enforcement</b> <span style="float: right;">Session chair: Mike Toffel</span></p> <p>Enforcement measures such as fine, closure and legal actions are meant to punish and deter noncompliance behaviors revealed by inspections. What has academic research revealed—and what have regulatory agencies learned—about their effectiveness? When and how do these enforcement measures exhibit spillover effects to deter noncompliance among other regulated entities?</p> <ul style="list-style-type: none"> <li>▪ Prof. Jay Shimshack, University of Virginia Batten School of Public Policy &amp; Leadership</li> <li>▪ Daniel Engeljohn, Assistant Administrator, USDA Office of Policy and Program Development</li> <li>▪ Linda Daugherty, Deputy for Field Operations, US DOT Pipeline and Hazardous Materials Safety Administration</li> </ul>
11:00	Coffee break
11:15	<p><b>Session 3: Inspectors</b> <span style="float: right;">Session chair: Ginger Jin</span></p> <p>Inspection is a social process. Agencies determine the number of inspectors to send onsite, and the attributes of those inspectors. Inspectors engage with regulated entities during and after inspections. Do inspectors observe all noncompliance behavior? Do they seek to punish all infractions? What types of training have bolstered the effectiveness of inspectors? What has research revealed about when and how inspectors use discretion? Should inspectors assume a policing versus educating role?</p> <ul style="list-style-type: none"> <li>▪ Prof. Jodi Short, University of California Hastings School of Law</li> <li>▪ Kim Stille, Regional Administrator, US DOL Occupational Safety and Health Administration (OSHA)</li> <li>▪ Prof. Robert Gravani, Cornell Univ. Dept. of Food Science and Program Director-National Good Agricultural Practices Program</li> </ul>
12:15	<p><b>Lunch and roundtable discussions (participants seated by topic of interest)</b></p> <ul style="list-style-type: none"> <li>▪ <b>Interaction between regulators and industry</b> – hosted by Prof. Jay Shimshack, University of Virginia Batten School of Public Policy &amp; Leadership</li> <li>▪ <b>Transparency and disclosure</b> – hosted by Prof. Phillip Leslie, UCLA Anderson School of Management</li> <li>▪ <b>Public and private inspectors</b> – hosted by Prof. Jodi Short, University of California Hastings School of Law</li> <li>▪ <b>Cost-benefit analysis</b> – hosted by Prof. Mark Cohen, Vanderbilt Owen Graduate School of Management &amp; Vanderbilt Law School</li> <li>▪ <b>International issues</b> - hosted by John (Jay) Pendergrass, Senior Attorney, Environmental Law Institute.</li> <li>▪ <b>Use of technology / Remote monitoring</b> – hosted by David Hindin, Senior Policy Director for Innovation, US EPA Office of Enforcement &amp; Compliance Assurance</li> </ul>

1:30	<p><b>Session 4: Enhancing compliance by leveraging forces beyond inspections and enforcement actions</b> <span style="float: right;">Session chair: Mike Toffel</span></p> <p>How can regulators enhance the compliance of regulated entities by harnessing other stakeholders including regulated entities' customers and employees – and the regulated entities themselves?</p> <ul style="list-style-type: none"> <li>▪ Prof. Phillip Leslie, UCLA Anderson School of Management</li> <li>▪ David Hindin, Senior Policy Director for Innovation, US EPA Office of Enforcement &amp; Compliance Assurance</li> <li>▪ Deborah Berkowitz, Senior Policy Advisor, US DOL Occupational Safety and Health Administration (OSHA)</li> </ul>
2:30	<p><b>Panel 1: Future compliance challenges</b> <span style="float: right;">Session chair: Ginger Jin</span></p> <p>This session will provide an opportunity for several regulatory agencies to describe new an ongoing compliance challenges they expect to face in the coming decade.</p> <ul style="list-style-type: none"> <li>▪ Clark Nardinelli, Director–Economics Staff, US FDA Office of Planning</li> <li>▪ Bernadette Juarez, Director, Investigative and Enforcement Services, USDA Animal and Plant Health Inspection Service</li> <li>▪ John (Jay) Pendergrass, Senior Attorney, Environmental Law Institute.</li> <li>▪ Brian W. Hall, Assistant Chief, Division of Surface Water, Ohio EPA</li> </ul>
3:30	Coffee break
3:45	<p><b>Panel 2: Data developments</b> <span style="float: right;">Session chair: Mike Toffel</span></p> <p>This session discuss current and emerging datasets.</p> <ul style="list-style-type: none"> <li>▪ Data analytics: David Hindin, Senior Policy Director for Innovation, US EPA Office of Enforcement &amp; Compliance Assurance</li> <li>▪ Federal datasets: Prof. Katharine Abraham, University of Maryland</li> <li>▪ Retail food safety inspection database – Prof. Ginger Jin, University of Maryland</li> <li>▪ Datasets from private inspectors and ARCS data repository – Prof. Mike Toffel, Harvard Business School</li> </ul>
4:45	<p><b>Panel 3: Looking ahead</b> <span style="float: right;">Session chair: Ginger Jin</span></p> <p>This session will foster an open discussion about how to continue today’s conversation, and will begin by highlighting some ongoing related efforts.</p> <p>Sample government initiatives</p> <ul style="list-style-type: none"> <li>▪ US DOL Clearinghouse for Labor Evaluation and Research – Demetra Nightingale, US DOL Chief Evaluation Office</li> <li>▪ US EPA National Center for Environmental Economics – Al McGartland, NCEE Office Director</li> <li>▪ White House Social and Behavioral Sciences Team –Nathaniel Higgins, Fellow</li> <li>▪ Administrative Conference of the US – Reeve Bull, Senior Attorney</li> </ul> <p>Some academic initiatives – Katharine Abraham, University of Maryland</p> <ul style="list-style-type: none"> <li>▪ Duke: Rethinking Regulation</li> <li>▪ Georgetown: Center for Business and Public Policy</li> <li>▪ Harvard: Behavioral Insights Group, Regulatory Policy Program</li> <li>▪ NYU Law: Program on Corporate Compliance and Enforcement</li> <li>▪ Penn Law School: Penn Program on Regulation</li> <li>▪ Tobin Project: Government &amp; Markets initiative</li> <li>▪ University of Maryland: Maryland Center for Economics and Policy</li> </ul>
5:45	<p><b>Closing remarks</b></p> <p>Ginger Jin (University of Maryland) and Mike Toffel (Harvard)</p>
5:50	Conference close