

2006

csarr

**ESRC Centre for Analysis  
of Risk and Regulation**

Annual Report 2006

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## CARR: An introduction

The Centre for Analysis of Risk and Regulation (CARR) was established as an Economic and Social Research Council (ESRC) research centre in October 2000. This report is on the sixth year of ESRC funding and the first year of the second phase of funding.

CARR is based at the London School of Economics and Political Science (LSE). It was established as a cross-disciplinary research unit to focus on the organisational and institutional settings for risk management and regulatory practices. It leads development in the intellectual field of risk regulation studies, which involves building bridges between different intellectual traditions and developing social science approaches to regulation and risk management. It also entails capacity building initiatives such as state-private co-funding, programmes to establish national and international scholarship, workshops and conferences, and the development of younger scholars in risk regulation studies.



## CARR's objectives are:

- *To pursue a multidisciplinary research programme on the organisational and institutional aspects of risk regulation*
- *To conduct comparative research that bridges work in risk regulation*
- *To engage research users through seminars, supported by an extensive dissemination and publicity strategy*
- *To develop and implement an outreach strategy that establishes CARR as a national research resource within the UK*
- *To develop links with overseas research centres.*

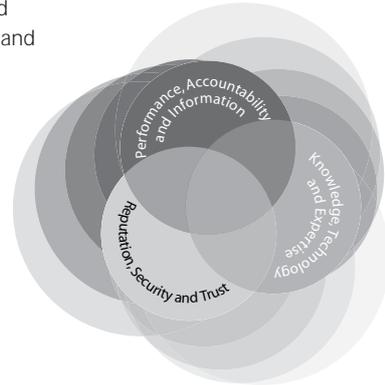


## Research highlights for 2006

The CARR agenda focuses on governance, accountability and the processing of risks, both within organisations as part of their risk management and compliance functions, and within regulatory and other agencies that constitute 'risk regulation regimes'. It aims to produce multidisciplinary and comparative research and has assembled a core staff from accounting, history, politics, psychology, socio-legal studies and sociology. It is ensuring a good disciplinary spread through new appointments, affiliations of LSE and non-LSE risk and regulation experts, and visiting appointments.

The Centre organises its work programmes around three themes (See Section 5):

- Performance, Accountability and Information
- Knowledge, Technology and Expertise
- Reputation, Security and Trust



This aims to foster interdisciplinary discussions across CARR and has been highly successful. The Centre has organised popular staff seminars and away days to discuss work against the three themes.

CARR staff look at risk regulation across various institutional settings and domains. Some studies focus on business organisations. **Hutter** and **Jones** examined the risk management practices of food retail and hospitality businesses in the UK across a number of comparative dimensions, namely sector, region and the size of businesses. **Macrae's** work on how organisations handle errors and interpret risk has considered the commercial airline industry. **Miller** has examined risk management practices in the microprocessor industry; risks associated with 'partnership working' in the public sector; and a more general issue – ways in which 'hybrids' are important for managing uncertainty when they reside beyond formalised risk management systems.



Staff examined state risk regulation regimes from a variety of perspectives. **Dry** focused on the history of the early Meteorological Department in Britain to understand how bureaucratic systems of information gathering and analysis contributed to the safety of British sailors and fishermen. **Jennings** completed a research project into immigration controls and asylum administration that considered questions of risk, control and opinion-responsiveness. **Lodge** worked on energy politics, utilities regulation and public service bargains (with **Hood**). **Rothstein** completed work on the impact of participative reforms introduced by the UK Food Standards Authority and considered with **Huber** and **Gaskell** the relationship between risk and regulation. **Lezaun** considered the role of the public in governing controversial science and technology, in particular the governance of biotechnology.

**Power's** work analyses the role of risk management standards as the embodiment and expression of a form of regulatory and governing knowledge. The argument is based on a new, more general, theory about the relationship between organisations and auditability. **Kaye's** research examines the emergence of a new 'paradigm' for professional UK regulation, in particular the creation of a new 'meso-' tier of regulation involving a significant re-orientation of regulatory regimes in the professions.

UK risk regulation practices were well researched and projects compared them with overseas developments. **Lodge's** work on 'Security of Supply' in the area of energy politics considered the jurisdictions of the UK, Germany, New Zealand and the European Union, and his work with **Stirton** focuses on Caribbean utilities regulation. **Black** and **Hutter** continued work on risk-based regulation, including consideration of areas where common approaches are being adopted internationally.

CARR staff employed various research methods. **Jennings** has been developing a measure of 'regulatory mood' to gauge public attitudes towards regulation and has extended the application of time series methodologies to model regulatory performance trends in Britain. Others used ethnographic research methods (**Macrae**) and a range of interviewing methodologies (**Hutter** and **Jones**; **Lodge**; **Miller**).

## Publications

Published work this year demonstrated a pleasing trend towards joint publications involving existing and former CARR members who are now Research Associates. Of particular note was **Hood** and **Lodge's** book the '*Politics of Public Service Bargains: Reward, Competency, Loyalty – and Blame*' which considered relationships between public servants and the wider political system to suggest these have undergone considerable change. The book offers a distinct analytical perspective to account for diverse bargains within systems of executive government. One particular feature of this bargain is the capacity for political risk management. Traditionally, the bargain was understood to mean that politicians gave up the right to blame and fire civil servants at will, while civil servants gave up the right to an open political life. In return, politicians were said to receive better-informed and more acute advice about political risks than anyone else could provide, while civil servants gained a trusted role at the heart of government, job security, generous pensions and honours to compensate for relatively modest salaries.



This work traces changes to this traditional understanding. It suggests departmental civil servants in the UK are cast increasingly as 'deliverers', whereas special advisors have been assuming the role of 'political bodyguards'. Managerial structures have developed over the past two decades to blame senior bureaucrats for operational failures in government, rather than ministers. '*Politics of Public Service Bargains*' suggests it is unlikely we are seeing a new public service bargain to handle political risk in government, either in Britain or comparatively. Indeed, a key part of the problem has been to manage personal career risks when both politicians and civil servants have an incentive to cheat on their bargain. It seems likely that deals over who shoulders political risk at the top of central government will become further complicated, as it has over the past three decades, rather than shift once-and-for-all into a new and stable arrangement that reverses the traditional political risk bargain.

## Research

### Core staff:

Bridget Hutter (Director)

Sarah Dry (since November)

Will Jennings

Robert Kaye

Martin Lodge (20 per cent)

Javier Lezaun (until August)

Carl Macrae

Peter Miller (50 per cent)

Michael Power (50 per cent)

Henry Rothstein (until July)

CARR research is committed to developing work around three interlocking themes. Each project addresses at least one theme, and many address all three.

### Theme 1: Performance, Accountability and Information

Theme Director: [Peter Miller](#)



This theme focuses on how different conceptions of performance and accountability are built, and the information sources on which they depend – a link with Theme 2. It builds on CARR's existing concerns with legitimacy and accountability and considers ways in which risk control and regulation are understood and applied across both domains and national boundaries. This includes traditional techniques used to assess performance and make organisations accountable, such as through audits, but extends beyond that to consider informal practices and processes beyond formal compliance-based systems. The key questions being addressed are:

- How do domain-specific practices and information processes interact with formalised systems such as audit, accounting and risk management?
- How do particular models for assessing performance and delivering accountability achieve transnational status?
- How is the performance and accountability of regulatory agencies being constructed in different sectors?
- How do regulatory processes depend on different sources of external and self-created information?
- What is the relationship between performance indicators and risk indicators?
- What happens when regulated conceptions of accountable performance interact with highly professionalised domains, such as health care?



Specific research projects that touch on one or more of these themes are:

- **Hutter, Rothstein and Black's** work on risk-based regulation explores how the performance of regulators is increasingly conceptualised and represented in these terms. The critical issue is whether this creates an emerging 'bargain' with the state, such that regulatory systems are never perfect and can fail.
- **Power's** analysis of risk management developments suggests organisations are increasingly worried about their ability to demonstrate accountability to global standards that are operationally unrealistic but confer legitimacy. A preoccupation with appearance and recording of how work is undertaken – ready for possible adversarial or rating organisations – generates increasingly legalised internal control systems.
- **Jennings'** research extends the application of time series methodologies to model regulatory performance trends in Britain. The research compiles data to evaluate regulatory performance from agencies across various domains.
- **Miller and Kurunmäki** have examined the practice of 'partnership working' in the context of a UK 'modernising government' programme, looking with particular emphasis at attempts to use performance assessment to compare the very different activities of curing and caring. They also examined how partnership working can help manage systemic risk by using lateral information transfers and inter-organisational cooperation.
- **Kurunmäki** has started to investigate a risk regulation regime emerging from a reform of the UK National Health Service financial flows called 'Payment by Results' that embeds core performance and accountability issues and a range of different information types, including 'coding'.
- **Miller and O'Leary** have examined the practice of 'technology roadmapping' in the microprocessor industry and how this informs investment appraisal and coordination processes for the whole industry. Sharing expectations across entities for periods of up to 15 years ahead has produced a somewhat novel form of private sector uncertainty management.
- **Mennicken** has addressed the issue of audits, more specifically international audit standards. She has examined how such standards 'travel' in the context of post-Soviet audit practice, and focused on the use and circulation of international audit standards within a large audit firm in Russia. This project has important general implications for international standardisation projects.



## Theme 2: Knowledge Technology and Expertise

Theme Director: [Professor Michael Power](#)



This research theme addresses the way available forms of knowledge and expertise, including material technologies, condition organisations' responses to uncertainty. From this point of view, risk management and regulatory practices depend on ideas, tools and routines assembled for specific purposes. Risk management and regulation have spawned distinct forms of abstract knowledge and expertise in the form of best practice standards and guidelines. Key investigation questions are:

- What kinds of knowledge enters the risk management and regulatory processes in different fields? Which are common, which are different and where does the information come from?
- How do specific routines and techniques shape risk management conceptions and regulatory tasks in different settings?
- How do tensions between expert judgement and standard bodies of knowledge play out in risk management and regulation?
- What knowledge transfers, if any, flow between risk management and regulatory fields?

Specific research projects at CARR over the past year have touched on many of these questions:

- [Dry's](#) history of the early years of Britain's Meteorological Department outlines how a government office, standard meteorological instruments, fishermen and Admiralty sailors contributed to achieving safety at sea, underlined by self-control and discipline.
- [Hutter and Jones'](#) project on food businesses' risk management practices considered types of risk knowledge used by different business types, showing how risk expertise varies between businesses according to size; location and sector and *within* businesses according to where players stand in the business hierarchies.
- [Kaye's](#) work on regulatory change in the professions examines an emerging paradigm for UK professional regulation, whereby front-line regulators are encouraged to become accountable to public institutions rather than to their professions, which has cultivated an identifiable generic form of 'regulatory expertise' and oversight skill.
- [Lezaun's](#) research focuses on the knowledge forms involved in the governance of biotechnology and the role of the public in governing controversial science and technology. He analyses the production of knowledge about the opinions and aspirations of lay citizens and the use of social-scientific research instruments to generate forecasts.
- [Macrae's](#) commercial aviation research suggests risk management is a process of an organisation's knowledge production and innovation in organisational practices around categories of 'error' and anomaly.
- [Power's](#) risk management work focuses on how risk management standards grow to incorporate and express regulatory and governing knowledge.

### Theme 3: Reputation, Security and Trust

Theme Director: [Martin Lodge](#)



This research theme looks at the way organisations anticipate and respond to potential threats to their survival. Reputation has become a dominant theme to explain the priorities of public and private organisations with substantial interest in 'blame allocation' and 'blame avoidance'. The security theme relates to wider risk and crisis issues and the way organisations anticipate and respond to disturbances in their environment. Trust is seen as an essential, often informal, aspect of risk and regulation, with trust in authority declining. Informal understandings caused by social and economic processes are becoming key drivers that create increasingly formalised regulatory regimes. CARR research under this theme seeks to establish how:

- strategies to deal with risks to reputations operate alongside other risk regulation logics, in particular in comparative perspective
- security and resilience are performing key aspects of risk regulation regimes in comparative perspective, and
- trust in its various features affects the performance of risk regulation.

Research over the year covered many aspects of this research theme, triggering a reconsideration of debates concerning resilience. Individual research contributions include:

- [Hutter](#) and [Jones](#) have shown how the management of a reputation in the British food sector was a key aspect to explain business responsiveness to risk management strategies.
- [Jennings](#) has developed an approach to measure 'regulatory mood', allowing him to assess the ways regulators respond (or do not) to public opinion swings. He finds opinion and regulatory activities tend to move together over time. Jennings also continued his work on major events, especially the Olympic Games, and the importance of reputation in risk managing them. He also worked with [Hood](#) on presentational blame management strategies in education.



- [Macrae's](#) work on how organisations handle errors and interpret risk in commercial aviation has furthered the literature on resilience.
- [Power](#) examined the emergence of reputational disciplines and practices, arguing that the field remains fragmented and no single body of expertise dominates.

## Communication and engagement – where to find our work

**Website:** The breadth of information available on the CARR website underlines the rich work at the Centre. All three research themes are represented in depth, ensuring that web users will find pages of relevance, whichever sector of the risk and regulation industry they come from.

Our website received 543,517 hits in 2006, a 25 per cent increase on last year. Most users accessed our Discussion Papers, a series that continued to attract considerable interest – there were almost 160,000 online readers this year. Our most popular titles demonstrate the relevance of CARR's work, with ongoing readership of 10,000 to 15,000 a year since first published. More than 60,000 readers have requested the most popular titles since they first appeared.



In 2006 CARR's bi-annual magazine *Risk & Regulation* was accessed online 74,284 times. Although the hardcopy readership continued to be important, CARR now finds online delivery has a far greater impact. Articles explored the breadth and depth of the risk sector, including pieces on the regulation of nanotechnology; environmental risk management in Venice; the implications of positioning company directors as business self-regulators; and the need for industry collaboration.

**Engagement:** engaging non-academic communities is a core feature of CARR's activities within the UK and internationally. Its academic workshops routinely involve practitioner participants and its two major public events in 2006 involved practitioners as panel members. These events attracted substantial non-academic and user interest (see below).

The Centre encourage practitioners to become involved in graduate activities; for example, a representative from the National Audit Office gave the keynote speech to our Annual Graduate Conference.

CARR was home to three Practitioner Fellows during 2006.

- Michael **Spackman**, a Practitioner Fellow in the first phase, remained with us through 2006. He worked in the HM Treasury until 1995, was Chief Economist at the Department of Transport and is a Special Advisor to National Economic Research Associates.
- Christopher **Swinson**, the Chair of our Policy Advisory Committee in Phase 1, joined as the second Practitioner Fellow. He is a former President of the ICAEW, a former senior partner at BDO Stoy Hayward and a former Comptroller and Auditor General States of Jersey.
- The third Practitioner Fellow is James **Strachan**, former Chair of the Audit Commission.

CARR staff gave advice to public bodies at home and abroad during the year, including in the UK the National Audit Office, Better Regulation Executive, the Chief Medical Officer and the House of Commons Standards and Privileges Committee. The business sector took advice also, for example feedback to the food industry from survey results and interviews that **Hutter** and **Jones** undertook during research into food hygiene and safety risks management in the UK retailing and hospitality industries.

Overseas, the World Health Organisation, the European Accounting Association, the European Health Policy Group and Switzerland's air regulators, Foca, all absorbed CARR input, ranging from membership of international committees to presentations at workshops where policymakers were considering the adoption of risk regulation approaches.

## Public events

In addition to its regular seminar series, CARR hosted two powerful public events in March 2006. The first was a public debate entitled '*Outbreak? Pandemic Risk and Risk Management in the 21st Century*', part of the ESRC Social Science Week 2006. Perhaps inevitably, it became focused on the possibility of a flu pandemic and the likely consequence. Discussion concentrated on the possible public response to an outbreak and the panel included:



- Peter Baldwin, Professor of History at the University of California, Los Angeles
- John Oxford, Professor of Virology at St. Bartholomew's and the Royal London Hospital, and Queen Mary's School of Medicine and Dentistry
- Professor Thomas Abraham, Director of Public Health Media Project, University of Hong Kong, and a former journalist
- David Frediani, Executive Director of MMC International, a unit of Marsh & McLennan.



Professor Oxford predicted an outbreak would last about five to six weeks but would affect only about five percent of the population at any one time. Professor Abraham suggested individuals would adjust ultimately but it was important to recognise some element of panic was inevitable because when SARS hit Hong Kong 'people were genuinely scared'. This suggested the panic would be most acute in the first one or two weeks and Mr Frediani suggested this was when the media would play an important role in allaying public concern and ignorance.

The debate was opened to the audience of academics, policymakers and members of the public, who expressed considerably more concern. A closing straw poll showed the debate had done little to allay people's fears, but nor had it greatly disturbed them.

Also in March, CARR hosted a public lecture on *Risk Regulation and Food Safety* by Professor Sir Hugh Pennington, Emeritus Professor of Medical Microbiology at the University of Aberdeen. Sir Pennington chaired a 1996 public inquiry into an E.coli O157 outbreak that killed 17 people in Lanarkshire. He said this marked a low point for the British food industry because Health Secretary Stephen Dorrell also announced a probable link between BSE and vCJD to the House of Commons on March 20th that year.

Sir Pennington argued that progress in checking food-borne diseases had been patchy over the past decade and it had proved particularly difficult to reduce E.coli and Campylobacter. He argued that food safety, and avoiding cross-contamination in particular, demanded priority at every point on the journey from 'stable to table'. It was even harder to control the behaviour of members of the public, who were not necessarily good at judging risk.

Dame Deidre Hutton, Chair of the Food Standards Agency, responded by stressing that food safety depended on the responsibilities of senior private sector managers, her agency's attempts to bring together diverse inspection regimes confronting firms, and public willingness to engage in a reasoned debate over food safety risks.

## Capacity building and research environment

### Academic Career Development

CARR's research environment embraces a number of staff at all stages of their academic careers. A great deal of effort was injected into attracting younger scholars to postdoctoral appointments. Carl Macrae joined us as ESRC Postdoctoral Fellow in January 2006. In November, historian Dr Sarah Dry joined us from Cambridge University to complement our multi-disciplinary portfolio and two other postdoctoral fellows were appointed for January 2007. Within CARR, staff are encouraged to supplement their academic training and mentoring by taking advantage of opportunities to help organise events, chair seminars, edit publications and review papers.

CARR staff help run the *CARR Research Student Forum* supported by ESRC and Deutsche Bank which contributes to training a new generation of risk and regulation academic researchers and practitioners. This involves a seminar programme, participation in CARR events and access to support funds for research and to attend conferences.

CARR contributes to national and international capacity building through its *Annual Research Student Conference* on risk and regulation. The fifth conference in September again attracted a high number of participants and garnered excellent feedback. The event highlights included two classes at which CARR staff discussed methodology and offered advice on how to have works published. However, the event's main focus remained student presentations and this year again featured a wide variety of disciplines, including law, sociology, political science, economics and science and technology studies. All this suggests a distinctive field of 'risk regulation' is beginning to crystallise, with CARR's work an important driver and this annual event particularly important.



The destinations of departing CARR staff shows the contribution of the Centre to the wider risk and regulation research environment, with the two staff who left during this period moving to University lectureships, as did one of our completing graduates.

### Visitors

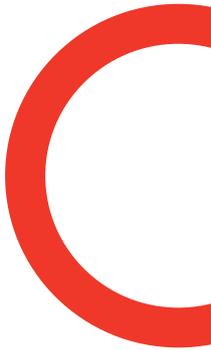
The ESRC requires CARR to function as a national and international centre for risk regulation studies in the UK. The centre hosted visitors from both the UK and abroad and national and international scholars passing through London for shorter periods paid many visits.

## Forward look

In its second five-year term, CARR will be capitalising on its existing achievements with the recruitment of new staff and ongoing opportunities for improving external engagement and communication. We are committed to the continual operation of a high quality environment for world-leading research.

Specific highlights will include:

- CARR plans a major website overhaul to increase its dissemination capacity
- The active visitor programme will include Professors Sally Lloyd-Bostock and Keith Hawkins. Visitors in 2007 will include Morten Broberg, University of Copenhagen; Professor Joni Young, University of New Mexico; and Professor Neil Fligstein, University of California. Numerous research student visits are planned.
- CARR will host an ESRC Festival of Social Science week Public Debate On '*Assessing the Costs and Benefits of Regulation*' with representatives from the Better Regulation Executive, Confederation of British Industry, Institute of Directors and National Consumer Council
- A major international conference will be held in March. '*Organising risk regulation: Current Dilemmas, Future Directions*' will create opportunities to engage leaders in the risk and regulation field, offering delegates a chance to stay abreast of developments, forge professional networks and participate in topical debate
- The Annual Research Student Conference will be held in September.
- CARR will collaborate with the ESRC Public Services Programme to hold a joint conference on Risk and Public Services.



## Appendices

# Appendix 1: Staff employed

## Staff and Research Associates

### Directors/Research Theme Directors

**Professor Bridget Hutter**, Centre Director  
Professor of Risk Management

**Professor Michael Power**, Research Theme Director  
Professor of Accounting

**Professor Peter Miller**, Deputy Director and  
Research Theme Director  
Professor of Management Accounting

**Dr Martin Lodge**, Research Theme Director

### Research Staff

**Dr Sarah Dry**  
Postdoctoral Fellow (from November 06)

**Dr William Jennings**  
Postdoctoral Fellow

**Dr Robert Kaye**  
Research Officer

**Dr Javier Lezaun**  
Research Officer (to August)

**Dr Carl Macrae**  
Postdoctoral Fellow

**Dr Henry Rothstein**  
Research Fellow (to July)

**Clive Jones**  
Research Assistant (to November)

### Research Associates at LSE

**Dr Michael Barzelay**  
Professor of Public Management

**Professor Gwyn Bevan**  
Professor of Management Science

**Professor Julia Black**  
Professor of Law

**Professor Damian Chalmers**  
Professor in European Union law

**Dr Anneliese Dodds** (from October)  
ESRC Postdoctoral Fellow, Department  
of Government

**Professor George Gaskell**  
Professor of Social Psychology

**Professor Maitreesh Ghatak**  
Professor of Economics

**Dr Terence Gourvish**  
Director, Business History Unit

**Professor Carol Harlow**  
Emeritus Professor of Public Law

**Dr Liisa Kurunmaki**  
Reader in Accounting

**Dr Andrea Mennicken**  
Lecturer in Accounting

**Professor Edward Page**  
Professor of Public Policy

**Professor Judith Rees**  
Professor of Environmental and  
Resource Management

**Dr Susan Scott**  
Lecturer in Information Systems

**Dr Mark Thatcher**  
Reader in Public Administration and Public Policy

**Professor Paul Willman**  
Professor in Employment Relations and  
Organisational Behaviour

**Research Associates: External**

**Professor Ulrich Beck**

Director, Institute for Sociology, Munich University

**Professor Simon Deakin**

Professor of Corporate Governance, University of Cambridge

**Professor Richard Ericson**

Director, Centre for Criminology, University of Toronto

**Dr Sharon Gilad**

Lecturer, Social Science and Public Policy, Kings College

**Professor Andy Gouldson,**

Director, Sustainability Research Institute, University of Leeds

**Professor Christopher Hood**

Professor of Government and Fellow, All Souls College, University of Oxford

**Dr Michael Huber**

Research Associate, Institute for Science and Technology Studies, Bielefeld University

**Dr Javier Lezaun**

Lecturer, Law, Amherst College

**Professor Donald Mackenzie**

Professor of Sociology, University of Edinburgh

**Dr Yuval Millo**

Lecturer, Accounting, University of Essex

**Professor Nick Pidgeon**

Professor of Applied Psychology, University of Cardiff

**Professor Tony Prosser**

Professor of Public Law, Bristol University

**Dr Henry Rothstein**

Lecturer, Centre for Risk Management, Kings College

**Professor Colin Scott**

Professor of EU Regulation and Governance, University College Dublin

**Lindsay Stirton**

Lecturer in Law, University of East Anglia

**Professor Peter Taylor-Gooby**

Professor of Social Policy, University of Kent

**Professor Brian Wynne**

Professor of Science Studies, Lancaster University

**Visiting Professors**

**Professor Keith Hawkins**

Professor of Law and Society, University of Oxford

**Professor Sally Lloyd-Bostock**

Professor of law and Psychology, University of Birmingham

**Centre Support Staff**

**Phil Lomas**

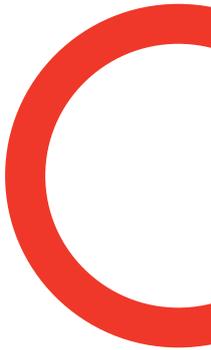
Centre Administrator

**Amy Greenwood**

Communications and Publications Administrator (from November)

**Sonia Malkani**

Events, Finance and Director's Administrator (to November)



## Appendix 2:

### Research students

**Tola Amodu**

*The Planning Obligation and its Significance as a Form of Public Law Regulation*

**Alberto Asquer**

(to July 06, then Lecturer. Faculty of Economics. University of Cagliari)

*Public Management and Policy Implementation: the case of the Italian water reform*

**Yasmine Chahed**

*The Regulation of strategic reporting in Britain and Germany*

**Paolo Dasgupta**

*Independent Regulatory Agencies in Britain and France: Ofcom and ART*

**Ritanjan Das**

(to July 06, then changed PhD subject at LSE)  
*New Age Terrorism: A Comparative Analysis of the Range of Risks Modern Society Faces*

**Anneliese Dodds**

(to Sept 06, then ESRC Post Doctoral Fellow Dept of Government, LSE)

*A comparison between British & French state involvement in trade in higher education services*

**Monica Garcia-Quesada**

*Political Economy, Utilities Regulation, Natural Resource Regulation, European Environmental Policy, Privatisation*

**Clive Jones**

(from December 2006)  
*Reputation risk and regulatory compliance*

**Sue Kerrison**

*The Regulation of Nursing Homes*

**Nao Kodate**

(from July 06)  
*Comparative analysis of public sector reforms (health care) in England, Japan and Sweden*

**Niki Panourgias**

*Clearing and settlement of risk management in the financial markets Information Systems*

**Rita Samiolo**

*Accounting in the Collective Management of Risk: the case of the defence of Venice from high waters*

**Yasmine Santissi**

*Regulation of data protection/privacy and capital of electronic material*

**Umit Sonmez**

*Independent Regulatory Agencies*

**Kevin Young**

(from July)  
*International financial regulation, especially banking; Basel II; interest groups in the financial sectors of Germany and the United States*

## Appendix 3:

### Policy Advisory Committee

The PAC is CARR's external governance structure. Its key responsibilities are:

- a** to advise the Director and Research Theme Directors on aspects of risk and regulation research, their financial implications, and potential sources of funding for such research;
- b** to assist the Director in co-operation with outside bodies in furthering the Centre's programme of research;
- c** to receive reports of research conducted within the Centre and an annual statement of the Centre's financial position.

CARR is grateful to the members of its Policy Advisory Committee for their support during 2006. Membership of the PAC was as follows:

Chair: **Bill Callaghan**

Chair of the Health and Safety Commission

**Professor Ron Amann**

Emeritus Professor, University of Birmingham

**Sir Anthony Battishill**

Governor, and Vice-Chairman of the Court and Council, London School of Economics

**Professor Bridget Hutter**

Director of CARR. Chair of Risk Regulation, London School of Economics and Political Science

**Mary Keegan**

Managing Director of Government Financial Management, HM Treasury. Head of the Government Accountancy Service and Finance Director, HM Treasury

**Professor Michael Moran**

Professor of Government, School of Social Sciences, University of Manchester

**Professor Nick Pidgeon**

Professor, School of Psychology, Cardiff University

**Professor Tony Prosser**

Professor of Public Law, University of Bristol

**Frank Vibert**

Director, European Policy Forum



## Appendix 4:

### Conferences, Workshops, Lectures and Seminars

#### Conference, Workshops and Seminars

- **Risk-based Regulation Roundtable Discussion**

LSE; January 2006

- **ESRC Public Debate – Outbreak?**

LSE; March 2006

- **'BSE...10 Years on'**

LSE; March 2006

- **Risk and Regulation: Fifth Annual Research Student Conference**

LSE; September 2006

- **Leiden Conference – Risk, Crisis and Blame Management in Europe**

LSE; October 2006

#### Seminars

**Stuart Hogarth**

The Regulation of genetic testing – a case study in the difficulties of constructing and operating risk-based regulatory regimes  
January 2006

**Dr Liz Fisher**

Risk regulation and administrative constitutionalism: exploring the interface between technological risk decision-making and administrative law  
February 2006

**Professor Roger King**

Analysing the higher education regulatory state  
February 2006

**Professor Joanna Gray**

Risk, Regulation and the BCCI Litigation  
March 2006

**Dr Wouter Poortinga**

Public perceptions and trust in the regulation of genetically modified food  
May 2006

**Professor Charles Vincent**

The Evolution of Patient Safety  
May 2006

**Professor Jon Stern**

Evaluating the Performance of Infrastructure Regulators: A World Bank Handbook  
May 2006

**Dr Yvette Taminiau**

The struggle for dominant design between accountants and engineers: The process of standardization in CSR assurance  
June 2006

**Dr Didier Torny**

The Normalisation of sanitary alarms – a sociological analysis of the revision of WHO International Health Regulations  
October 2006

**Professor Lucien Abenheim**

Drug Risks: A Brave new world?  
October 2006

**Professor Laura Spira**

Black Boxes, Red Herrings and White Powder – perspectives on the audit committee  
November 2006

**Professor Ragnar Lofstedt**

Risk Management and Regulation: Two years into the Barroso Commission  
November 2006

## Appendix 5:

### Key Performance Indicators

#### A Publication and Dissemination

##### A1 Books Total: 2

Edited/ Authored	Author(s) Name	Title	Date	Publisher	Where
Authored	Hood and Lodge Service Bargains	The Politics of Public	2006	Oxford University Press	Oxford
Edited	Hood and Heald	Transparency: the Key to Better Governance	2006	Oxford University Press	Oxford

##### A2 Chapters in Books Total: 9

Chapter Author	Chapter title	Book title	Book author	Date	Publisher	Where
Hood	Transparency in Historical Perspective	Transparency: The Key to Better Governance?	Hood and Heald (eds)	2006	Oxford University Press	Oxford
Hood	Beyond Exchanging First Principles? Some Closing Comments	Transparency: The Key to Better Governance?	Hood and	2006	Oxford University Press	Oxford
Hood	The Tools of Government in the Information Age	The Oxford Handbook of Public Policy	Moran, Rein and Goodin	2006	Oxford University Press	Oxford
Hutter	Risk, Regulation and Management	Risk in Social Science	Taylor-Gooby and Zinn	2006	Oxford University Press	Oxford
Hutter	The Role of Non-State Actors in Regulation	Contributions to Governance, Volume 4	Schuppert	2006	Nomos	Berlin
Lodge	The Europeanisation of Governance: Top Down, Bottom Up, or Both?	The Europeanisation of Governance	Schuppert	2006	Nomos	Baden-Baden
Miller and Kurunmaki	Modernising Government: The Calculating Self, Hybridisation and Performance Measurement	Contemporary Issues in Management Accounting	A Bhimani	2006	Oxford University Press	Oxford
Miller	Management Accounting and Sociology	Handbook of Management Accounting Research	Chapman, Hopwood and Shields	2006	Elsevier	Oxford
Rothstein	From Precautionary Bans to DIY 'Poison' Tasting: Constraints to the Reform of UK Food Safety Regulation	Why the Beef? The Contented Governance of European Food Safety	Ansell and Vogel	2006	MIT States	Cambridge, MA, United

**A3 Articles in Refereed Journal Papers** **Total: 18**

Author(s)	Article title	Journal	Vol	Date	Pages
Black	'Managing Regulatory Risks and Defining the Parameters of Blame: the Case of the Australian Prudential Regulation Authority'	<i>Law and Policy</i>	28(1)	2006	1-27
Hood	Gaming in Targetworld: The Targets Approach to Managing British Public Services'	Public Administration Review	Jul/Aug	2006	515-521
Hood and Bevan	What's Measured is What Matters: Targets and Gaming in the English Public Health Care System	Public Administration Public Administration	84(3)	2006	517-538
Hood and Bevan	Have targets improved performance in the English NHS?	British Medical Journal	332(18)	2006	419-422
Hood and Lodge	From Sir Humphrey to Sir Nigel: What Future for the Public Service Bargain after Blairworld?	Political Quarterly	77(3)	2006	360-8
Hutter	Managing Risks: Who influences Business?	Environmental Health Scotland	18(2)	2006	5-9
Kaye	Regulated (Self-)Regulation: a New Paradigm for Controlling the Professions	Public Policy and Administration	21(3)	2006	105-119
Kurunmaki and Miller	'Modernising Government: The Calculating Self, Hybridisation and Performance Measurement'	Financial Accountability and Management	22	2006	65-84
Lezaun	Creating a New Object of Government: Making Genetically Modified Organisms Traceable	Social Studies of Science	36(4)	2006	499-531
Lezaun and Groenleer	Food Control Emergencies and the Territorialization of the European Union	European Integration	28(5)	2006	437-455
Lodge and Stirton	'Withering in the heat? The regulatory state and reform in Jamaica and Trinidad and Tobago'	Governance	19(3)	2006	465-495
Lodge, Boin and James	The New Public Management 'Revolution' in Political Control of the Public Sector: Promises and Outcomes in Three European Prison Systems	Public Policy and	21(2)	2006	81-100
Miller, O'Leary and Beccalli	Informazioni non Finanziarie e Disclosure Tecnica nelle previsioni degli analisti finanziari	Banche e Banchieri	5(5)	2006	323-339
Power, Scheytt, Soin and Sahlin-Andersson	Editorial: Risk, Regulation and Organizations'	Journal of Management Studies	43(6)	2006	1131-1337
Rothstein	The Institutional Origins of Risk: A new agenda for risk research	Health, Risk and Society	8(3)	2006	215-221
Rothstein, Irving, Walden and Yearsley	The Risks of Risk-Based Regulation: Insights from the environmental policy domain	Environment International	32	2006	1056-1065
Rothstein, Huber and Gaskell	A Theory of Risk Colonisation: The spiralling regulatory logics of societal and institutional risk	Economy and Society	35(1)	2006	91-112
Willman et al	Noise Trading and Trader Behaviour	Journal of Management Studies	43(6)	2006	1357-75

**A4 Discussion Papers****Total: 6**

Author	Title	Number
Hutter	The Role of Non-State Actors in Regulation	37
Hutter and Jones	Business Risk Management Practices: The Influence of State Regulatory Agencies and Non-State Sources	41
Lezaun and Soneryd	Government by Elicitation: Engaging Stakeholders or Listening to the Idiots?	34
Miller, Kurunmaki and O'Leary	Accounting, Hybrids and Management of Risk	40
Mennicken	Translation and Standardization: Audit World Building in Post-Soviet Russia	36
King	Analysing the Higher Education Regulatory State	38

**A5 Other Publications (Working Papers, Monographs, Pamphlets)****Total: 5**

Author	Title	Series	Date
Hood, Rothstein and Baldwin	El Gobierno del Riesgo	Ariel, Spain	2006
Kaye and Peele	Regulating Conflict of Interest: Securing accountability in the modern state	'Investigaciones': Laboratorio de Documentación y Análisis de la corrupción y la Transparencia, UNAM	2006
Kurunmaki, Lapsley and Melia	Costs, Care and Rationing: A Comparative Study of Intensive Care in the UK and Finland	CIMA Research Reports	2006
Lezaun	Experiment	Blackwell Encyclopaedia of Sociology	2006
Lezaun	Science Speaks Power to Truth	Blackwell Encyclopaedia of Sociology	2006

**B External Relationships****B1 External Visitors****Total: 5**

Name	Title and Affiliation	Visited
Joanna Gray	Professor, School of Law, Newcastle University	March 2006
Yvette Taminiau	Dr, Department of Public Administration and Communication Sciences University of Amsterdam	April and May 2006
Sally Lloyd-Bostock	Professor, School of Law, University of Birmingham	September to December 2006
Keith Hawkins	Professor of Law and Society, Oxford University	October to December 2006
Didier Torney	Dr, French National Institute for Agricultural Research, Paris	October 2006

**B.2 Events Organised by CARR****Conferences, workshops and lectures****Total: 5**

Title	Venue	Date
Risk based Regulation Roundtable Discussion	CARR	18/01/06
ESRC Public Debate – Outbreak?	CARR	14/03/06
'BSE...10 Years on'	CARR	21/03/06
Risk and Regulation: Sixth annual research student conference	CARR	21/09/06
Leiden Conference – Risk, Crisis and Blame Management in Europe	CARR	13/10/06

<b>Seminars</b>		<b>Total: 12</b>
<b>Title</b>	<b>Speaker</b>	<b>Date</b>
The Regulation of genetic testing- a case study in the difficulties of constructing and operating risk-based regulatory regimes	Stuart Hogarth	17/01/06
Risk regulation and administrative constitutionalism: exploring the interface between technological risk decision-making and administrative law	Liz Fisher	14/02/06
Analysing the higher education regulatory state	Roger King	28/02/06
Risk, Regulation and the BCCI Litigation	Joanna Gray	14/03/06
Public perceptions and trust in the regulation of genetically modified food	Wouter Poortinga	02/05/06
The Evolution of Patient Safety	Charles Vincent	16/05/06
Evaluating the Performance of Infrastructure Regulators: A World Bank Handbook	Jon Stern	30/05/06
The struggle for dominant design between accountants and engineers: The process of standardization in CSR assurance	Yvette Taminiau	21/06/06
The Normalisation of sanitary alarms – a sociological analysis of the revision of WHO International Health Regulations	Didier Tornay	10/10/06
Drug Risks: A Brave new world?	Lucien Abenheim	24/10/06
Black Boxes, Red Herrings and White Powder – perspectives on the audit committee	Laura Spira	07/11/06
Risk Management and Regulation: Two years into the Barroso Commission	Ragnor Lofstedt	21/11/06

## Appendix 6:

### Statement of Expenditure for the 12 Months ended 31 December 2006

<b>Funding source</b>	<b>Jan '06 to Dec '06 £000's</b>	<b>Expenditure</b>	<b>Jan '06 to Dec '06 £000's</b>
Economic and Social Research Council (ESRC)	432	Staff Costs	413
Deutsche Bank / British Academy / PWC	55	Travel and Subsistence	14
		Other Research Costs	45
		Equipment	13
		Consumables	2
<b>Grand Total</b>	<b>487</b>	<b>Grand Total</b>	<b>487</b>

Notes to the CARR Statement of Expenditure for 12 months ending 31 December 2006:

1. The statement of expenditure has been prepared on a cash payments and receipts basis.
2. The ESRC reporting period for research centres is for the year ending 31 December. The ESRC financial and budgetary year end is 31 March.
3. In the opinion of the Management Team, the statement of expenditure is not materially misstated. The statement is not independently audited at the CARR research centre level.

# Sponsors:



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