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.
CARR 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

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**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 Lisa 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: Oftel 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 Abenhaim**
  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 Ragnor Lofstedt**
  Risk Management and Regulation: Two years into the Barroso Commission
  November 2006
Appendix 5:

Key Performance Indicators

**A Publication and Dissemination**

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<td>Management Accounting and Sociology</td>
<td>Chapman, Hopwood and Shields</td>
<td>2006</td>
<td>Elsevier</td>
<td>Oxford</td>
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<tr>
<td>Rothstein</td>
<td>From Precautionary Bans to DIY ‘Poison’ Tasting: Constraints to the Reform of UK Food Safety Regulation</td>
<td>Ansell and Vogel</td>
<td>2006</td>
<td>MIT Press</td>
<td>Cambridge, MA, United States</td>
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## A3 Articles in Refereed Journal Papers

<table>
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<tr>
<th>Author(s)</th>
<th>Article title</th>
<th>Journal</th>
<th>Vol</th>
<th>Date</th>
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<tr>
<td>Black</td>
<td>‘Managing Regulatory Risks and Defining the Parameters of Blame: the Case of the Australian Prudential Regulation Authority’</td>
<td>Law and Policy</td>
<td>28(1)</td>
<td>2006</td>
<td>1-27</td>
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<tr>
<td>Hood and Bevan</td>
<td>What’s Measured is What Matters: Targets and Gaming in the English Public Health Care System</td>
<td>Public Administration</td>
<td>84(3)</td>
<td>2006</td>
<td>517-538</td>
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<td>Hood and Bevan</td>
<td>Have targets improved performance in the English NHS?</td>
<td>British Medical Journal</td>
<td>332(18)</td>
<td>2006</td>
<td>419-422</td>
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<td>Hood and Lodge</td>
<td>From Sir Humphrey to Sir Nigel: What Future for the Public Service Bargain after Blairworld?</td>
<td>Political Quarterly</td>
<td>77(3)</td>
<td>2006</td>
<td>360-8</td>
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<tr>
<td>Hutter</td>
<td>Managing Risks: Who influences Business?</td>
<td>Environmental Health Scotland</td>
<td>18(2)</td>
<td>2006</td>
<td>5-9</td>
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<td>Kaye</td>
<td>Regulated (Self-)Regulation: A New Paradigm for Controlling the Professions</td>
<td>Public Policy and Administration</td>
<td>21(3)</td>
<td>2006</td>
<td>105-119</td>
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<td>Lezaun</td>
<td>Creating a New Object of Government: Making Genetically Modified Organisms Traceable</td>
<td>Social Studies of Science</td>
<td>36(4)</td>
<td>2006</td>
<td>499-531</td>
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<tr>
<td>Lezaun and Groenleer</td>
<td>Food Control Emergencies and the Territorialization of the European Union</td>
<td>European Integration</td>
<td>28(5)</td>
<td>2006</td>
<td>437-455</td>
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<td>Lodge and Stirton</td>
<td>Withering in the heat? The regulatory state and reform in Jamaica and Trinidad and Tobago'</td>
<td>Governance</td>
<td>19(3)</td>
<td>2006</td>
<td>465-495</td>
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<td>Lodge, Boin and James</td>
<td>Revolution in Political Control of the Public Sector: Promises and Outcomes in Three European Prison Systems</td>
<td>Public Policy and</td>
<td>21(2)</td>
<td>2006</td>
<td>81-100</td>
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<td>Miller, O’Leary and Beccalli</td>
<td>Informazioni non Finanziarie e Discourse Tecnica nelle previsioni degli analisti finanziari</td>
<td>Banche e Banchieri</td>
<td>5(5)</td>
<td>2006</td>
<td>323-339</td>
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<td>Rothstein, Irving, Walden and Yearsley</td>
<td>The Risks of Risk-Based Regulation: Insights from the environmental policy domain</td>
<td>Environment International</td>
<td>32</td>
<td>2006</td>
<td>1056-1065</td>
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<td>Rothstein, Huber and Gaskell</td>
<td>A Theory of Risk Colonisation: The spiralling regulatory logics of societal and institutional risk</td>
<td>Economy and Society</td>
<td>35(1)</td>
<td>2006</td>
<td>91-112</td>
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<td>Willman et al</td>
<td>Noise Trading and Trader Behaviour</td>
<td>Journal of Management Studies</td>
<td>43(6)</td>
<td>2006</td>
<td>1357-75</td>
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### A4 Discussion Papers

<table>
<thead>
<tr>
<th>Author</th>
<th>Title</th>
<th>Number</th>
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<tr>
<td>Hutter</td>
<td>The Role of Non-State Actors in Regulation</td>
<td>37</td>
</tr>
<tr>
<td>Hutter and Jones</td>
<td>Business Risk Management Practices: The Influence of State Regulatory Agencies and Non-State Sources</td>
<td>41</td>
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<td>Lezaun and Soneryd</td>
<td>Government by Elicitation: Engaging Stakeholders or Listening to the Idiots?</td>
<td>34</td>
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<td>Miller, Kurunmaki and O’Leary</td>
<td>Accounting, Hybrids and Management of Risk</td>
<td>40</td>
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<td>Mennicken</td>
<td>Translation and Standardization: Audit World Building in Post-Soviet Russia</td>
<td>36</td>
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<td>King</td>
<td>Analysing the Higher Education Regulatory State</td>
<td>38</td>
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### A5 Other Publications (Working Papers, Monographs, Pamphlets)

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

#### B1 External Visitors

<table>
<thead>
<tr>
<th>Name</th>
<th>Title and Affiliation</th>
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<tbody>
<tr>
<td>Joanna Gray</td>
<td>Professor, School of Law, Newcastle University</td>
<td>March 2006</td>
</tr>
<tr>
<td>Yvette Taminiou</td>
<td>Dr, Department of Public Administration and Communication Sciences University of Amsterdam</td>
<td>April and May 2006</td>
</tr>
<tr>
<td>Sally Lloyd-Bostock</td>
<td>Professor, School of Law, University of Birmingham</td>
<td>September to December 2006</td>
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<tr>
<td>Keith Hawkins</td>
<td>Professor of Law and Society, Oxford University</td>
<td>October to December 2006</td>
</tr>
<tr>
<td>Didier Torny</td>
<td>Dr, French National Institute for Agricultural Research, Paris</td>
<td>October 2006</td>
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#### B.2 Events Organised by CARR

<table>
<thead>
<tr>
<th>Conference, workshops and lectures</th>
<th>Venue</th>
<th>Date</th>
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<tr>
<td>Risk based Regulation Roundtable Discussion</td>
<td>CARR</td>
<td>18/01/06</td>
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<tr>
<td>ESRC Public Debate - Outbreak?</td>
<td>CARR</td>
<td>14/03/06</td>
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<tr>
<td>‘BSE... 10 Years on’</td>
<td>CARR</td>
<td>21/03/06</td>
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<tr>
<td>Risk and Regulation: Sixth annual research student conference</td>
<td>CARR</td>
<td>21/09/06</td>
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<tr>
<td>Leiden Conference - Risk, Crisis and Blame Management in Europe</td>
<td>CARR</td>
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Appendix 6:

Statement of Expenditure for the 12 Months ended 31 December 2006

<table>
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<tr>
<th>Funding source</th>
<th>Jan '06 to Dec '06</th>
<th>Expenditure</th>
<th>Jan '06 to Dec '06</th>
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<tr>
<td>Economic and Social Research Council (ESRC)</td>
<td>432</td>
<td>Staff Costs</td>
<td>413</td>
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<td>Deutsche Bank / British Academy / PWC</td>
<td>55</td>
<td>Travel and Subsistence</td>
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<td></td>
<td></td>
<td>Other Research Costs</td>
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<td></td>
<td></td>
<td>Equipment</td>
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<tr>
<td></td>
<td></td>
<td>Consumables</td>
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<td><strong>Grand Total</strong></td>
<td><strong>487</strong></td>
<td><strong>Grand Total</strong></td>
<td><strong>487</strong></td>
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</tbody>
</table>

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:

[Logo: Economic & Social Research Council]

Deutsche Bank