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This report is also available in pdf format on our website

www.lse.ac.uk/collections/carr/

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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 eighth year of ESRC funding.

CARR is based at the London School of Economics and Political Science and has been established as a cross-disciplinary research unit focusing on the organizational and institutional settings for risk management and regulatory practices. It is leading the development of the intellectual field of risk regulation studies. This involves building bridges between different intellectual traditions and developing social science approaches to risk regulation. 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 working in risk regulation studies.

CARR’s objectives are:

• to pursue a multi-disciplinary research programme on the organizational 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

This reporting period highlights the important contribution of CARR’s work on the topical debates in risk regulation. The current financial crisis and issues around transnational risk regulation were addressed from a cross-domain social science perspective. Our breadth of expertise enables us to comment on the interconnected themes in risk regulation debates and provide crucial analytical insights.
CARR research

The CARR agenda focuses on governance, accountability and the processing of risks, both within organizations as part of their risk management and compliance functions, and within regulatory and other agencies that constitute ‘risk regulation regimes’. It aims to produce multi-disciplinary and comparative research and has assembled a core staff from accounting, politics, psychology, socio-legal studies and sociology.

Core staff:
Bridget Hutter (Director)  Martin Lodge (20 per cent)
David Demortain  Sally Lloyd-Bostock
John Downer  Erika Mansnerus (from January 09)
Sharon Gilad (from October 08)  Peter Miller (50 per cent)
Jeanette Hofmann  Michael Power (50 per cent)
William Jennings (to September 08)

An important area of research progress this year has been transnational risk regulation. For instance, Demortain's research has found that the notion that standardization (the harmonization of practices of, for instance, monitoring and evaluation of products through international voluntary rules) is a transnationally emergent process: it results from the interactions between dispersed actors that are all (although at different degrees) versed into codifying and formalizing the way they act on products and their safety. These systems of standardization are drawn up by the circulation and collective work of scientific experts.

In the area of performance, accountability and information, Mennicken investigates how market-oriented concepts of risk and technologies of risk management have come to shape regulatory and management practices in the British Prison Service. She explains how privatization initiatives, financial accounting expertise and risk-based regulation tools challenge and redefine governmental accountability, ethical commitments and notions of punishment, crime and crime prevention.

Downer’s research examines the relationships between technical expertise, socio-epistemology and the regulation of complex technical systems. One finding is that regulators of complex technological systems are epistemologically dependent on the engineers who build and design those systems, and cannot make useful assessments without their input. Looking at the role of ‘design paradigms’ in high-reliability engineering and regulation, Downer finds that simplified ideas about ‘redundancy’ in engineering practice shape the way we build complex technologies and how we assess their risks.

The tensions between security and resilience are explored in an edited book by Hutter (Cambridge University Press forthcoming) that includes chapters by several CARR members. It focuses on risk as anticipation and explores the ways in which risk regulation in the twenty-first century struggles with new risks and finding better ways of organizing to anticipate and control them. It argues that we are witnessing attempts to re-position from expectations of total security and resilience to a more balanced/nuanced approach which accepts that zero tolerance is neither achievable nor even desirable.

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: Professor Peter Miller

This theme has retained its focus on the diverse ways in which performance can be assessed and accountability sought. In addition, it considers the varied information sources on which this depends, thus complementing the concerns of Theme 2. Work conducted within this theme builds on CARR’s existing concerns with legitimacy and accountability, by considering the ways in which risk control and regulation are understood and applied across a range of domains and national boundaries, with a particular focus on transnational risk regulation. Traditional techniques such as audit are included here, together with more public modes of accountability and assessment that go beyond compliance-based systems. Key issues considered here include:

- How do domain-specific practices and processes interact with more formalized systems such as audit and risk management?
- Under what circumstances do models for assessing performance and accountability achieve transnational status?
- What sort of interaction is there between regulatory agencies and the bodies they are required to regulate?
- How, and with what consequences, do some domains ‘escape’ formalized and compliance-based modes of assessing performance and accountability?
- What sort of interactions can we observe between performance indicators and risk indicators?
- What happens when formalized models of accountability interact with highly professionalized domains such as health and social care?

The above issues have been examined empirically in a number of discrete yet related fields. Demortain has explored how new protocols have been created to improve the detection of serious adverse drug reactions. Gilad has examined the move toward more flexible forms of regulation, focusing in particular on Principles-Based-Regulation in the financial services industry. Hofmann has looked at how borderless communication without central control operates in the field of internet governance. Kurunmäki has explored the risks of placing excessive reliance on accounting numbers when regulating healthcare provision, and has also examined the dynamics of ‘failure regimes’ that have a preponderance of accounting numbers. Finally, Miller has examined how risk management and coordination practices have emerged in the microprocessor industry, yet without centralized control or formalized regulatory apparatuses; and, in joint work with Rose, he has explored changing modes of governing economic life, and the implications this has for risk management. In summary, these diverse studies highlight the varied ways in which performance and accountability can emerge, and the extent to which it can achieve transnational status, without necessarily being based on formal accountability processes and state-based regulatory apparatuses.
Theme 2: Knowledge, technology and expertise

Theme Director: Professor Michael Power

Within this research theme we address the supply side conditions of risk regulation and organizational responses to uncertainty. Specifically, we focus on how practices are shaped by bodies of knowledge, material technologies and associated experts. Drivers of risk management and regulatory practice include collective ideas, tools and routines which may be institutionalized local or transnational in form. There are many examples of efforts to define abstract principles and standards for risk management and regulation, and many varieties of risk-based regulation. Our key questions for investigation have become even more pertinent since the intensification of the financial crisis:

- What forms of knowledge shape risk management and regulatory processes in different fields?
- How do organizations conceptualize ‘operational’ risk management in different fields?
- How do the 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?
- What are the limits of risk-based approaches to regulation and internal control?

Demortain’s continuing research on risk analysis and the role of scientific elites in shaping regulatory processes has developed an exploratory typology of expertise in terms of the proximity to decision making and the stability of the regulatory structure. In addition, he was one of the first scholars to compare pharmaceutical and financial conceptions of ‘toxity’, suggesting that credit rating agencies failed to create the kind of common knowledge about the risks of structured financial products in the way that is visible in the development of new drugs. Downer’s work has drawn attention to the dependency of regulators on the engineers who build risky technologies. He also highlights the risks inherent in what he calls ‘design-paradigms’ for complex technologies. Hoffman has further developed the construct of ‘risk object’ (Hilgartner) in the context of her work on internet governance as a diverse policy community comes to recognize the threats posed by impending capacity limits. Hutter has embarked on comparative analysis of risk based approaches to regulation, including the applicability of the ‘risk society’ thesis within Asian societies. Lloyd-Bostock’s ongoing research focuses on the construction of databases for the purpose of risk-based regulation of doctors. Finally, Power continues to examine the impact of a ‘logic of auditability’ on risk management and regulatory practices, suggesting that this remains a powerful constraint on principles-based regulatory aspirations.
Theme 3: Reputation, security and trust

Theme Director: Dr Martin Lodge

This research theme looks at the way (public and private) organizations anticipate and respond to potential threats to their survival. The theme’s three organizing ideas point to different, but interrelated themes that dominate thinking about organizational behaviours in different settings. Reputation is often said to dominate the priorities of organizations, with implications on the way in which organizations try to avoid and shift blame. Security points to wider issues of intra- and inter-organizational strategies to anticipate and manage systems in the face of adverse circumstances, while Trust is regarded as an essential, albeit informal aspect of risk regulation, especially in an age where trust in authority is said to be declining. Levels of trust play an important role in the choice of risk regulation instruments, with important implications for the ways in which public organizations deal with individual citizens, for example, in times of crisis.

Emphasizing a comparative perspective, CARR research seeks to establish how:

• strategies to deal with risks to reputations operate alongside other risk regulation logics
• security and resilience are shaping key aspects of risk regulation regimes
• trust in its various expressions affects the outcomes of risk regulation regimes

In response to these objectives, research has continued on a variety of overlapping projects. Hutter has extended her interest in how diverse actors can help to mitigate disasters, thereby extending her work in risk regulation into crisis and disaster management. Lodge has similarly continued his interest in a ‘public management of risk’ and has explored this theme with Jennings in the context of mega-events, in particular the Olympics. Lodge has also continued his work on the ways in which resilience is framed in security of supply debates in energy policy. Power has continued his interest in the way in which reputation shapes risk management strategies.
Publications

In December 2008 CARR published a special issue of *Risk & Regulation* on the financial crisis. This issue assembled some early reflections and reactions from CARR staff. The topics covered went beyond finance and the financial sector and outside traditional academic comfort zones to address new questions about risk and rewards, regulation and failure. Some essays underline the importance of culture and values as the basis of all organizational life, and the socially constructed nature of failure. Others emphasize the dangers of rapid policy responses driven more by expedience than diagnosis, while some survey the transnational nature of the crisis, the limits of nation states acting in isolation, and the need to rethink regulatory practice so as to preserve the best elements of self-regulation. The essays discuss the incoherence of ascribing blame to individual people or institutions when it is interconnectedness that we should be attending to.

2008 saw the publication of *Governing the Present* (Polity Press, 2008) by Nikolas Rose and Peter Miller. The literature on governmentality has had a major impact across the social sciences over the past decade, and much of this has drawn upon the pioneering work by Miller and Rose. This volume brings together key papers from their work for the first time, including those that set out the basic frameworks, concepts and ethos of this approach to the analysis of political power and the state, and others that analyse specific domains of conduct, from marketing to accountancy, and from the psychological management of organizations to the government of economic life. Bringing together empirical papers on the government of economic, social and personal life, the volume demonstrates clearly the importance of analysing these as conjoint phenomena rather than separate domains, and questions some cherished boundaries between disciplines and topic areas. Linking programmes and strategies for the administration of these different domains with the formation of subjectivities and the transformation of ethics, the papers cast a new light on some of the leading issues in contemporary social science: modernity, democracy, reflexivity and individualization.
CARR impact

Communication and engagement – where to find our work

Dissemination and engagement with academic and non-academic communities are core features of CARR’s activities. Central to CARR’s dissemination and communication strategies are its website and the Risk & Regulation magazine. Over the 12-month period January 2008 to December 2008 the website was visited on 572,236 occasions, with visits between January and October showing an increase of 45,000 hits over the same period for 2007. The clear majority of these were visits external to LSE, suggesting a high level of interest in our activities. Risk & Regulation magazine website visits rose to 141,711, a 35% increase on 2007. The special issue on Financial Crisis alone received 9,200 hits on CARR’s website from late December through to the end of January and a first run of 1,700 print copies has been circulated.

Dissemination and engagement with non-academic communities are core features of CARR’s activities. Our work is highly topical and of great relevance to public and private sector practitioners. CARR engages with non-academic communities both within the UK and internationally. For example, 39% of contacts who received Risk & Regulation and CARR updates in the past year were from non-academic sectors such as regulatory bodies, business and government. Our academic workshops, such as the March ‘Close Calls’ conference, routinely involve practitioner participants. Our major public events involved practitioners and also attracted a great deal of non-academic and user interest.

Our Practitioner Fellows programme continued and CARR staff have given advice to various public bodies within the UK and abroad. These include the European Commission, HM Treasury, National Consumer Council and World Economic Forum and also to various inquiries around major risk events such as the Pitt Review on Floods and the Commission on 2020 Public Services.

Following are some instances of our staff’s work with public bodies.

- Hutter and a former CARR graduate, Amodu, were commissioned by the Pennington Inquiry into the 2005 E-Coli Outbreak in Wales to write a background report on Risk Regulation and Compliance: Food Safety in the UK.

- Hutter was also invited in May 2008 to be a member of the World Economic Forum Global Agenda Setting Council on the Mitigation of Natural Disasters. The Council has been created to identify principles and strategies for leadership and innovation for reducing risks from natural disasters.

- Hofmann has served three terms as member of the Multi-Stakeholder Advisory Committee that supports the UN Secretary-General in convening the Internet Governance Forum. This builds on her CARR research project on the management of Internet address space depletion.
Public events

In addition to its regular seminar series, CARR hosted the Global Risks workshop and the Close Calls conference.

Global Risks workshop

Demortain and Hofmann organized a workshop on global risks in January 2009. The workshop addressed the emergence of risks in transnational fields of regulation. It sought to understand how regulatory actors act on global risks and legitimize their own role, and how global risks are framed and represented, measured and evaluated. In close relation to CARR themes, the workshop looked at the forms of representation that allow risks to cross borders and portray them as transnational regulatory issues, the configuration of actors by which this takes place and the circulation of regulatory and professional practices. The workshop explored this in a variety of cases, ranging from the regulation of the internet space, the avian flu, novel foods, financial risks and security. Speakers from various European countries were invited to present their case studies.

Close Calls Conference

CARR research on risk management practices has increasingly focused on the precursors of accidents and failures, and on the existence or otherwise of early warning and near miss systems. In order to progress this agenda across a wider range of fields, and to see how insights about practice in industrial settings might be applied to finance, Power and Downer organised a conference in March with the title: Close Calls: organizations, near misses, alarms and early warnings. Papers were presented from a wide variety of disciplines and John Downer of CARR discussed some of the foundational issues in near miss analysis. Leading US scholars Todd La Porte and Paul Shrivastava also attended and gave keynote addresses. In order to widen the impact of the event we held a practitioner panel focused on ‘Organizations under stress – what are the warning signals?’. Colleagues from UBS, Deloitte and Beachcroft Consulting gave their views before opening up for discussion. Representatives from the world of financial regulation attended and contributed to the debate. Early warnings are of acute policy interest at the present time and the conference contributed to thinking across fields and disciplines. It also provided a platform for further research in this area which would be of interest to scholars and regulators alike.
Capacity building and research environment

Academic career development

CARR’s research environment embraces a number of staff at all stages of their careers. CARR has increased its research capacity in the reporting period through the recruitment of a two Research Officers and a Postdoctoral Fellow. John Downer became a Research Officer with us in April, after initially starting as a Postdoctoral Fellow. Sharon Gilad joined us as a Research Officer in October, and Erika Mansnerus joined as a Postdoctoral Fellow in January. Our ESRC Professorial Fellow (Professor Sally Lloyd-Bostock) has had her project period extended from November 08 to May 09. We have also appointed a Senior Visiting Fellow (Frank Vibert, Founder Director, European Policy Forum).

Staff are encouraged to supplement their academic training and mentoring by taking advantage of opportunities to help organize events, edit publications, review papers and write news articles.

We have continued to run the CARR research student forum and contributed to capacity building at a national and international level through an intensive colloquium for graduates working on risk regulation issues. The forum, supported by ESRC and Deutsche Bank, contributes to training a new generation of risk and regulation academic researchers and practitioners. The colloquium replaced the conference format of previous years, giving participants greater access to CARR researchers and allowing for more in depth discussion on their research projects.

The destination of departing CARR staff shows the contribution of the Centre to the wider risk and regulation research environment, with a member of staff moving to a university lectureship in 2008.

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. Visitors included: Professor Neil Gunningham, Australian National University; Keith Hawkins, Professor Emeritus of Law and Society at Oxford University; Frans Osrecki, a doctoral fellow at the Institute for Science and Technology Studies (IWT), University of Bielefeld.
Forward look

CARR plans to consolidate its excellent base of young researchers for its second five-year term and to facilitate a high quality research environment for conducting world-leading research.

- New posts will start in September 2009 – one 2 year Peacock Fellowship Research Officer post and one 1 year Postdoctoral Fellow position.

- The active visitor programme will include Professor Hideaki Shiroyama, who specialises in Politics and is currently Director of the Science, Technology and Public Policy Study Unit at The University of Tokyo. Keith Hawkins will continue as Visiting Professor and Frank Vibert (Founder Director, European Policy Forum) as Visiting Fellow. Other visitors include Michael Spackman (retired transport economist), Chris Swinson (Jersey Comptroller and Auditor General) and James Strachan (member of two large PLC boards in two different regulated sectors).

- CARR will hold a practitioner/academic workshop in June 2009 on risk management for the London 2012 Olympics, as part of CARR Research Associate William Jennings’ ESRC funded fellowship ‘Going for Gold: the Olympics, risk and risk management.’

- In July 2009, CARR is hosting a workshop and providing mentoring support to research staff on University of East London project ‘Exhausting Risks? The car industry, CO2, and the regulatory state’.

- In collaboration with the Stockholm Centre for Organisational Research (SCORE), CARR will hold a workshop in September 2009 on ‘Risk Regulation and Markets: How Do Risk Management and Market Technologies Reshape Governance?’ This is part of CARR’s three-year joint project with SCORE which started in October 2008. The project, ‘Risk Regulation, Markets and Democracy: Reorganizing Economy and Society in the 21st Century’ will also involve a number of academic visits between the two Centres.

- Our events programme will continue with our public seminar series continuing and we plan a major event in 2010 the Spring which will bring together former CARR staff and key stakeholders to discuss CARR’s achievements and also to look forward.
Appendices

Appendix 1

Staff, Research Associates and students

Directors/Research Theme Directors

Professor Bridget Hutter
Centre Director
Professor of Risk Regulation

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

Professor Michael Power
Research Theme Director
Professor of Accounting

Dr Martin Lodge
Research Theme Director
Reader in Political Science and Public Policy

Research staff

Dr David Demortain
Research Officer

Dr John Downer
Research Officer

Dr Sharon Gilad
Research Officer (from October 08)

Dr Jeanette Hofmann
Research Officer

Dr William Jennings
British Academy Postdoctoral Fellowship
(to September 08)

Dr Erika Mansnerus
Postdoctoral Fellow (from January 09)

Professor Sally Lloyd-Bostock
LSE Professorial Fellow

Research Associates at LSE

Professor 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

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 Kurunmäki
Reader in Accounting

Dr Andrea Mennicken
Lecturer in Accounting

Dr Yuval Millo
Lecturer in Accounting

Professor Edward Page
Professor of Public Policy

Professor Judith Rees
Professor of Environmental and Resource Management
Dr Susan Scott  
Senior Lecturer in Information Systems

Professor Mark Thatcher  
Professor of 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

Dr Anneliese Dodds  
Lecturer in Public Policy, King’s College London

Professor Andy Gouldson  
Director, Sustainability Research Institute, University of Leeds

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

Professor Michael Huber  
Professor for Higher Education Research, Institute for Science and Technology Studies (IWT), Faculty for Sociology, Bielefeld University

Dr William Jennings (from October 2008)  
ESRC / Hallsworth Research Fellow, Institute for Political and Economic Governance, University of Manchester

Professor Roger King  
Visiting Professor, Centre for Higher Education Research and Information, Open University

Dr Javier Lezaun  
Lecturer, Law, Science and Technology Governance, Said Business School, University of Oxford

Professor Donald Mackenzie  
Professor of Sociology, University of Edinburgh

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, King’s College London

Professor Colin Scott  
Professor of EU Regulation and Governance, University College Dublin

Mr Jon Stern  
Honorary Senior Visiting Fellow, City University

Dr Lindsay Stirton  
Lecturer in Medical Law and Ethics, University of Manchester

Professor Peter Taylor-Gooby  
Professor of Social Policy, University of Kent

Professor Kai Wegrich  
Professor of Public Management, Hertie School of Governance, Berlin

Professor Brian Wynne  
Professor of Science Studies, Lancaster University
Visiting professors

Professor Keith Hawkins
Professor of Law and Society, University of Oxford

Mr Frank Vibert
Founder Director, European Policy Forum

Research students

Yasmine Chahed
The Regulation of Strategic Reporting in Britain and Germany

May Chu
Variations in regulatory regimes: A case study of food safety regulation in three food sectors across three Chinese provinces

Paolo Dasgupta
Independent regulatory agencies in Britain and France: Oftel and ART

Nao Kodate
Comparative Analysis of Public Sector Reforms (healthcare) in England, Japan and Sweden

Thiago Neto
Social and environmental accounting in project financing: investment appraisal under the Equator Principles in Brazil and the United Kingdom

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

Yassine Santissi
Regulation of Data Protection/Privacy and Capital of Electronic Material

Natalie Seaman
Responses to Health and Safety Regulation by Companies in Transition Economies (South Africa and Brazil)

Umit Sonmez
Independent Regulatory Agencies

Kevin Young
International Financial Regulation, especially Banking; Basel II; Interest Groups in the Financial Sectors of Germany and the United States

Johannes M Wollf
Procedural controls over bureaucracy: the case of Impact Assessments
Government Department

Centre support staff

Phil Lomas
Centre Administrator

Pranav Bihari
Web and Publications Administrator

Yusuf Osman
Events and Office Administrator
Appendix 2

Policy Advisory Committee

The Policy Advisory Committee (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 PAC for their support during 2008.

Membership of the PAC was as follows:

Chair: Sir Bill Callaghan
Former 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, the London School of Economics and Political Sciences

Professor Bridget Hutter
Director of CARR, Chair of Risk Regulation, the London School of Economics and Political Science

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

Mr Frank Vibert
Founder Director, European Policy Forum
Appendix 3

Conferences, Workshops, Lectures and Seminars

Conferences, Workshops and Lectures

- HSE Roundtable – Compliance and Regulation: what can we learn?
  LSE, 19 May 2008
- CARR Graduate Colloquium
  LSE, 23 September 2008

Seminars

Professor Neil Gunningham
‘Culture eats systems for breakfast’: on the limitations of management based regulation
29 April 2008

Professor Andy Stirling
Science, precaution and participation in risk governance: from tension to synergy?
13 May 2008

Professor Noel Whitty
Human rights as risk: examining the risk-rights relationships in a new way
7 October 2008

Dr Alex Preda
Risk taking and action in online anonymous markets
11 November 2008

- Manufacturing global risks
  LSE, 8-9 January 2009
- Close Calls: organizations, near misses, alarms, and early warnings
  LSE, 26-27 March 2009

Professor Michael Bloor
Problems of governance of a globalised industry: the case of the enforcement of international regulations on seafarers’ health and safety, welfare and training
25 November 2008

Professor Mary Dixon-Woods
Regulating doctors and the custody of virtue
20 January 2009

Dr Michael Pryke
Seeing risks amongst the numbers: visualisation techniques in financial markets
17 February 2009
Appendix 4

Key Performance Indicators

A – Publication and dissemination

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<th>A1 – Books</th>
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<td><strong>Edited/Author(s) name</strong></td>
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<td>Author</td>
<td>Miller and Rose</td>
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<th>A2 – Chapters in books</th>
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<td><strong>Chapter title</strong></td>
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## Chapter作者 | Chapter标题 | 书籍标题 | 书籍作者 | 日期 | 出版商 | 地点
---|---|---|---|---|---|---

## A3 – Articles in refereed journal papers

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<th>Date</th>
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<td>Black and Baldwin</td>
<td>Really Responsive Regulation</td>
<td>Modern Law Review</td>
<td>71(1)</td>
<td>2008</td>
<td>59-74</td>
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<td>Black</td>
<td>Constructing and contesting legitimacy and accountability in polycentric regulatory regimes</td>
<td>Regulation and Governance</td>
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<td>2008</td>
<td>137-164</td>
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<td>Black</td>
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<td>Capital Markets Law Journal</td>
<td>3(4)</td>
<td>2008</td>
<td>425-458</td>
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<td>Black and Rouch</td>
<td>The development of the global markets as rule-makers: engagement and legitimacy</td>
<td>Law and Financial Markets Review</td>
<td>2(4)</td>
<td>2008</td>
<td>218-233</td>
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<td>Demortain</td>
<td>Standardising through concepts. The power of scientific experts in international standard-setting</td>
<td>Science and Public Policy</td>
<td>35(6)</td>
<td>2008</td>
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<td>Gilad</td>
<td>Accountability or expectations management: the role of the ombudsman in financial regulation</td>
<td>Law &amp; Policy</td>
<td>30(2)</td>
<td>2008</td>
<td>227-253</td>
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<td>Gilad</td>
<td>Exchange without capture: the UK financial ombudsman service’s struggle for accepted domain</td>
<td>Public Administration</td>
<td>86(4)</td>
<td>2008</td>
<td>907-924</td>
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<td>Macrae</td>
<td>Human factors at sea: common patterns of error in groundings and collisions</td>
<td>Maritime Policy and Management</td>
<td>36(1)</td>
<td>2009</td>
<td>21-38</td>
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Total: 17
### A4 – Discussion papers

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<tr>
<th>Author(s)</th>
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<td>Demortain</td>
<td>Institutional Polymorphism: The Designing of the European Food Safety Authority with regard to the European Medicines Agency</td>
<td>50</td>
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<td>Hofmann and Botzem</td>
<td>Transnational Institution Building as Public-Private Interaction – the case of standard setting on the internet and in corporate financial reporting</td>
<td>51</td>
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<tr>
<td>Wegrich</td>
<td>The Administrative Burden Reduction Policy Boom in Europe: comparing mechanisms of policy diffusion</td>
<td>52</td>
</tr>
</tbody>
</table>

### A5 – Other publications (working papers, monographs, pamphlets)

<table>
<thead>
<tr>
<th>Author</th>
<th>Title</th>
<th>Series</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>Demortain</td>
<td>Credit rating agencies and the faulty marketing authorisation of toxic products</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<tr>
<td>Downer</td>
<td>What finance could learn from rocket science</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Downer</td>
<td>On evaluating one's self: the implications of asymmetrical expertise in aviation regulation</td>
<td>Risk and Regulation, Winter</td>
<td>2008</td>
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<tr>
<td>Gilad</td>
<td>Is transparency good for consumers? Assessing the proposals for publishing comparative complaints data for financial services</td>
<td>Risk and Regulation, Winter</td>
<td>2008</td>
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<td>Gilad and McDermont</td>
<td>Responsible lending and borrowing: targeting the wrong problem?</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Author</td>
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<tr>
<td>Hofmann, Antal,</td>
<td>Entwicklung und Ergebnisse eines Abteilungsprogramms – Von 'Organisation und Technikgenese' zu 'Innovation und Organisation' [Development and results of a departmental program – from ‘organization and technology’ to ‘innovation and organization’]</td>
<td>Program, Results and Perspectives</td>
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<td>Canzler, Knie, Marz,</td>
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<td>and Oppen</td>
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<td>Antal, Oppens</td>
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<td>Hofmann</td>
<td>Cyclic dreams of a strong state</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Hutter and Dodd</td>
<td>Social systems failure? Trust and the credit crunch</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Hutter and Amodu</td>
<td>Risk Regulation and Compliance: Food Safety in the UK</td>
<td>Pennington Inquiry into the 2005 South Wales E.coli outbreak, 2008</td>
<td>2009</td>
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<td>Jennings and Lodge</td>
<td>Security and risk management for sporting mega-events</td>
<td>Risk and Regulation, Winter</td>
<td>2008</td>
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<td>Kurunmaki and</td>
<td>Accounting for failure</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Mennicken</td>
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<td>Lodge</td>
<td>Towards a new age of regulation?</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Miller</td>
<td>When markets and models fail: rethinking risk, regulation and the state</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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<td>Miller</td>
<td>Accounting for Economic Sociology</td>
<td>Economic Sociology: The European Electronic Newsletter 10 (1)</td>
<td>2008</td>
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<tr>
<td>Power</td>
<td>The risk management of nothing</td>
<td>Risk and Regulation, Financial Crisis Special</td>
<td>2009</td>
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</table>
B – External interrelationships
B1 – External visitors

<table>
<thead>
<tr>
<th>Name</th>
<th>Title and affiliation</th>
<th>Visited</th>
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<tbody>
<tr>
<td>Gunningham, Neil</td>
<td>Professor of Occupational Health and Safety Regulation, The Australian National University</td>
<td>2008</td>
</tr>
<tr>
<td>Hawkins, Keith</td>
<td>Professor Emeritus of Law and Society, Oxford University and Fellow Emeritus of Oriel College, Oxford</td>
<td>2007-2010</td>
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<tr>
<td>Huber, Michael</td>
<td>Professor for Higher Education Research, Institute for Science and Technology Studies, University of Bielefeld</td>
<td>2009</td>
</tr>
<tr>
<td>Larsen, Lotta Björklund</td>
<td>PhD Student, Stockholm Centre for Organizational Research</td>
<td>2009</td>
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<tr>
<td>Macrae, Carl</td>
<td>Special Advisor, National Reporting and Learning Service, National Patient Safety Agency</td>
<td>2009</td>
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<tr>
<td>Osrecki, Fran</td>
<td>PhD Student, Institute for Science and Technology Studies, University of Bielefeld</td>
<td>2008-2009</td>
</tr>
<tr>
<td>Vibert, Frank</td>
<td>Founder Director of the European Policy Forum</td>
<td>2008-2010</td>
</tr>
<tr>
<td>Vifell, Åsa</td>
<td>Researcher, Stockholm Centre for Organizational Research</td>
<td>2009</td>
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</tbody>
</table>

B2 – Events organized by CARR

Conferences, workshops and lectures

<table>
<thead>
<tr>
<th>Title</th>
<th>Venue</th>
<th>Date</th>
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<tbody>
<tr>
<td>AHSE Roundtable – Compliance and Regulation: what can we learn?</td>
<td>LSE</td>
<td>19 May 2008</td>
</tr>
<tr>
<td>CARR Graduate Colloquium</td>
<td>LSE</td>
<td>23 September 2008</td>
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<tr>
<td>Manufacturing global risks</td>
<td>LSE</td>
<td>8-9 January 2009</td>
</tr>
<tr>
<td>Close Calls: organizations, near misses, alarms, and early warnings</td>
<td>LSE</td>
<td>26-27 March 2009</td>
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Seminars

<table>
<thead>
<tr>
<th>Title</th>
<th>Speaker</th>
<th>Date</th>
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<tbody>
<tr>
<td>'Culture eats systems for breakfast': on the limitations of management based regulation</td>
<td>Neil Gunningham</td>
<td>29 April 2008</td>
</tr>
<tr>
<td>Science, precaution and participation in risk governance: from tension to synergy?</td>
<td>Andy Stirling</td>
<td>13 May 2008</td>
</tr>
<tr>
<td>Human rights as risk: examining the risk-rights relationships in a new way</td>
<td>Noel Whitty</td>
<td>7 October 2008</td>
</tr>
<tr>
<td>Risk taking and action in online anonymous markets</td>
<td>Alex Preda</td>
<td>11 November 2008</td>
</tr>
<tr>
<td>Problems of governance of a globalised industry: the case of the enforcement of international regulations on seafarers’ health and safety, welfare and training</td>
<td>Michael Bloor</td>
<td>25 November 2008</td>
</tr>
<tr>
<td>Regulating doctors and the custody of virtue</td>
<td>Mary Dixon-Woods</td>
<td>20 January 2009</td>
</tr>
<tr>
<td>Seeing risks amongst the numbers: visualisation techniques in financial markets</td>
<td>Michael Pryke</td>
<td>17 February 2009</td>
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</table>
Appendix 5

Statement of Expenditure for the 12 months ending 31 March 2009

<table>
<thead>
<tr>
<th>Funding source</th>
<th>April ’08 to March ’09 £000’s</th>
<th>Expenditure</th>
<th>April ’08 to March ’09 £000’s</th>
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<tbody>
<tr>
<td>Economic and Social Research Council (ESRC)</td>
<td>633</td>
<td>Staff costs</td>
<td>561</td>
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<td>Deutsche Bank / British Academy / PWC</td>
<td>26</td>
<td>Travel and subsistence</td>
<td>22</td>
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<td></td>
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<td>Other research costs</td>
<td>70</td>
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<td></td>
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<td>Equipment</td>
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<tr>
<td></td>
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<td>Consumables</td>
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<tr>
<td>Grand total</td>
<td>659</td>
<td>Grand total</td>
<td>659</td>
</tr>
</tbody>
</table>

Notes to the CARR Statement of Expenditure for 12 months ending 31 March 2009:

1. The statement of expenditure has been prepared on a cash payments and receipts basis.

2. 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.