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 ninth 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 has witnessed an increase in research capacity through the recruitment of two ESRC postdoctoral fellows and a Peacock Fellow who joined CARR in February 2010 and is funded for two years by the Peacock Trust. These appointments will extend CARR’s work on regulatory compliance and develop new areas of risk and forensic science and quality of life issues in healthcare regulation.
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)  
Matthias Benzer (from February 2010)  
David Demortain  
John Downer  
Julien Etienne (from October 2009)  
Sharon Gilad  
Jeanette Hofmann  
Chris Lawless (from September 2009)  
Martin Lodge (20 per cent)  
Sally Lloyd-Bostock  
Erika Mansnerus (to September 2009)  
Peter Miller (50 per cent)  
Michael Power (50 per cent)

An important task this year has been to develop areas of research which will become foci for CARR research in the future. One such area is our work on failing and failure. A number of projects are addressing this important area. Miller and Kurunmaki have focused on the categories of failing and failure, and how these have become prominent in public debate with regard to public services. Also, some preliminary work has been conducted on the tools that have been developed for identifying and managing failure, particularly in the healthcare context. Gilad completed the collection and analysis of data on financial firms’ internalization of the Financial Services Authority’s Treating Customers Fairly (TCF) initiative. This project explores firms and regulators’ negotiation of what entails failure and success to ‘treat customers fairly.’ Gilad’s research has contributed to Israeli regulators learning from the UK’s experience, as well as to Consumer Focus’s formulation of its emerging policy regarding the regulation of retail finance. In his new book Vibert discusses the vulnerability of international rule making to regulatory failure, illustrated by the 2008 international financial crisis. He analyses the causes of regulatory failure among the experts who are largely responsible for making the rules as well as the causes of the democratic deficit.

Hutter has expanded her research on risk regulation in Asia, and examines both the applicability of the risk society thesis for Asian societies and the impact of rapidly changing economies on risk regulation issues. The Co-Reach Social Science funding for a research collaboration on ‘Comparative research on Regulatory Law Enforcement in China and the EU’ is developing this work and has led to further policy making interest in China including an invitation to a major food governance conference in Beijing in September 2010. This interest in Asia has led to broader exchanges in China including links with Fudan University where CARR has recently secured a graduate exchange programme. Hutter and Lodge were both invited to the Shanghai Forum in 2009 and presented papers there arising from CARR research. Hutter and Lodge have developed plans for comparative work on regulation and resilience in China and Europe.
Theme 1: Performance, Accountability and Information

Theme Director: Professor Peter Miller

This theme retains its focus on the linking of performance, accountability and information. In particular, the extent to which risk-based regulation and performance assessment enhances accountability, and goes beyond mere compliance, remains very much to the fore in many projects. We continue to explore these issues across diverse domains and national settings, this year extending our remit to relatively unexplored fields such as forensic science and prisons. We have also extended our concern with performance to include organizational failing and failure, together with the failure regimes that seek to assess and regulate this set of issues. This means examining the types of information and the risk-based metrics that enable the identification of failing organizations and processes, while also allowing for ways of pronouncing on and managing the moment of failure itself. Key issues considered include:

- What roles can risk-based information play in assessing performance in domains characterized by very high levels of confidentiality and/or professionalism?
- To what extent, and in what domains, is international rule-making successful; and under what circumstances can models for assessing performance and accountability achieve transnational status?
- What are the limits of ‘failure regimes’ when applied to public services, and to what extent can models devised for the private sector be transferred to public services?
- How do regulatory bodies interact with the entities they are required to regulate?
- What can comparative studies tell us about the interrelation between performance, accountability and information?
- Under what circumstances can some domains ‘escape’ formalized and compliance based ways of assessing performance and accountability?
- What roles do ‘models’ play in stabilizing risk regulation regimes, and to what extent do they persist beyond the socio-political circumstances of their introduction?

These issues have been examined empirically in a number of discrete yet related fields. Demortain has examined modes of reduction of uncertainty in the domains of food safety and environmental health. Downer has addressed the roles of hybrids and related risk management practices in civil aviation. Gilad has extended her work on the regulation of retail financial services. Hofmann has continued to develop her work on risk management in the transnational field of internet governance. Mennicken has commenced work on examining what happens when risk management practices and taxonomies of risk are introduced into a field such as the UK prison service.

A number of projects consider the health field. Kurunmäki has examined ‘regulatory hybrids’ in the context of the ‘modernising government’ initiative, while also starting work on examining attempts to develop a failure regime for NHS Foundation Trusts. Lloyd-Bostock is working on the problems and dilemmas that arise if risk-based approaches are applied in the area of professional regulation by the General Medical Council. Masnerus has examined the benefits and limitations of modeling at the interface of public health policy-making and epidemiological research. Miller has been working on the roles of ‘mediating instruments’ in the very diverse domains of healthcare and microprocessors, while beginning work on the metrics being deployed for identifying failing and failure in the healthcare field.

Taken together, these diverse studies have a common theme: they examine the varying ways in which performance, accountability and information are linked in the ongoing and increasingly transnational diffusion of risk-based approaches to regulation.
Theme 2: Knowledge, Technology and Expertise

Theme Director: Professor Michael Power

This research theme addresses the supply-side or knowledge-base of risk management and regulatory practices. Practices are shaped at the intersection of ideas, material technologies and agents, and exist in varying degrees of institutionalization. The financial crisis has heightened attention to the limits of risk management knowledge more generally and is shaping our enquiries to provide an improved understanding of knowledge failure and the organized nature of ignorance. Accordingly our key questions for investigation have evolved as follows:

- How is risk management and regulatory knowledge shaped in different fields?
- How do organizations, including regulators, conceptualize and implement choice spaces in terms of risk ‘appetite’ and tolerance?
- How do the tensions between expert judgement and standardized 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?

Our research has given rise to conceptual and analytical innovation coupled to empirical applications and insights. Demortain’s continuing research on risk analysis and the role of scientific elites in shaping regulatory processes has progressed. The main finding is that ‘risk analysis’ has evolved as a boundary object, enabling communication between social scientists and practitioners in the field of food safety. Similarly, Mennicken is exploring the influence of taxonomies of risk on regulatory design and operations, and Etienne has begun a study of incident knowledge and reporting in the chemical industry. Lawless’s work shows how competing conceptions of forensic science are constructed within police work. Hoffman has developed an analysis of the threats posed by impending capacity limits for internet addresses. In addition, she is exploring the tensions between commercial interests in digitizing books and legal copyright systems, and the new kind of ‘library risk’ to which this gives rise. Miller and Kurunmaki have been developing the idea of ‘failure regimes’ as an analytical construct and applying this to the case of hospitals (see above). Downer’s work similarly develops ‘epistemic failure’ as an analytical category distinct from normal accident theory, using cases to argue for its explanatory power. He argues that Epistemic failures are inherent in ‘design-paradigms’ for complex technologies. Finally, Power has been working on the fair value debate in the financial crisis, arguing that it represents an opposition between two contrasting cultures of knowledge at play within accounting measurement systems – auditing and financial economics. He is also working on ‘risk appetite’; early findings suggest it is as much an ethical as a technical construct.
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 for 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

Hood is due to publish his book on *The Blame Game* with Princeton University Press. This book will provide a landmark contribution to our understanding of how blame avoidance shapes political and organisational life and draws important implications for our understanding of accountability. Hutter's edited collection *Anticipating Risks* and *Organizing Risk Regulation* contains a number of chapters by CARR staff and associates centrally concerned with the research theme (see below). Hoffmann's work on the regulation of Internet address space raises fundamental issues regarding security and trust, and the research theme is also shaping her work on the information society. Hood has conducted further work (with Jennings) on scandals and 'blame games' in four countries. During her time at CARR, Mansnerus advanced her research on preparedness planning of pandemics. Lodge has continued his work on the ways in which resilience is framed in security of supply debates in energy policy, but has also continued his work on food regulation and (with Jennings) on the risk management of mega-events. Power has maintained his interest in the way in which reputation shapes risk management strategies.
Publications

The expertise of CARR in the field of risk and regulation is underlined by the publication of a book on *Anticipating Risks and Organizing Risk Regulation* (Cambridge University Press, forthcoming July 2010). Edited by Hutter, the volume includes chapters by eight current or former members of staff. Its objective is to provide a high profile collection of papers by scholars from a variety of disciplines, including finance, history, law, management, political science, social psychology, sociology and disaster studies. Substantively it considers threats, vulnerabilities and insecurities alongside social and organizational sources of resilience and security. Of particular interest is an examination of the risk regulation dilemmas and innovations involved in managing these risks. The specific analytical focus of the volume is the notion of anticipation, more precisely the anticipation of risks and how the concerns they generate influence the way we organize our policy systems. This distinctive characteristic of the concept of risk is key to its understanding and relates to another intention of the collection, namely to address academic debates about risk and link them to policy concerns. This volume will generate further discussion and research on the concept of ‘anticipation’ and revitalize discussion of the policy choices between anticipation and resilience. We expect a number of the contributors to this volume to develop their work in this area.

CARR has published nine Discussion Papers during the current reporting period, eight of which were written by current members of staff. These papers cover a range of important and highly relevant topics. For example, Jennings and Lodge discuss ‘Governing mega-events: Tools of security risk management for the London 2012 Olympic Games and FIFA 2006 World Cup in Germany’ and CARR Research Officer Mansnerus has contributed two papers on pandemics (DPs 56 and 60). These are clearly works of contemporary relevance and they also push scientific learning in important risk regulation areas. Downer’s three DPs and Demortain’s work on the development of standard setting for food risk analysis are making significant contributions to our understandings of risk and policy making. An important aspect of the scientific impact is the impact on capacity building in the risk and regulation areas as most of these are early career researchers.
CARR impact

Communication and engagement – where to find our work

Dissemination and engagement with non-academic communities are core features of CARR’s activities: nearly 50 percent of contacts who received the Risk & Regulation magazine and CARR updates in the past year were from non-academic sectors such as regulatory bodies, business and government. Our public seminars (see below) regularly attract senior practitioners who often remain in contact with CARR.

Risk & Regulation continues to attract a great deal of interest. For example, the Summer 09 edition attracted 16,593 page views; and the Financial Crisis Special (December 08) continues to attract attention with 31,826 views to date.

CARR and the ESRC Public Services Programme published a report on Risk and Public Services, developed from a joint conference at the end of 2007. The report has been widely circulated to public bodies and early anecdotal evidence suggests it has been widely read, online it has received 2,311 views.

Our Practitioner Fellows programme continued and CARR staff have given advice to various public bodies within the UK and abroad. These include the Department of Health, the European Commission, HM Treasury, the Lottery Commission, the Nuffield Council on Bioethics and Scottish Ministers.

Key examples of our staff’s work with public bodies include:

- Power gave advice on the banking crisis to the Treasury Select Committee. His input is reflected in the Committee’s publication Banking Crisis. He has been invited by Auditing Practices Board, part of Financial Reporting Council, to help develop guidance for auditors.

- Hutter’s work with the World Economic Forum has continued. She attended the WEF Summit on the Global Agenda in Dubai in November 2009, and contributed to a book on learning from natural disasters and their relevance to other low-probability and high-impact events.

- Nine members of CARR met with senior staff from the Care Quality Commission to discuss risk-related work programmes.
Public events

In addition to its regular seminar series, CARR was involved in organising a workshop on Regulating Risk and Organising Markets, and the ESRC Social Science Week.

Regulating Risk and Organising Markets:
Market Functioning and Market Failure in the Public Services

In September 2009, CARR and the Stockholm Centre for Organisational Research (SCORE) hosted a workshop to explore the conditions and consequences of functioning and failing markets. The workshop looked at how risk regulation and risk management practices have reshaped the governance of markets, and it investigated how different market ideas and technologies have entered and transformed the regulation and organisation of public services. To this end, particular emphasis was placed on the notion of ‘failure’, and processes of failing in the regulation and organisation of markets, cutting across private and public sector regimes. The workshop examined different practices of calculating and commercialising risk and the proliferation of market-based regulatory mechanisms through such practices. The workshop looked at the rise of management knowledge in organising risk regulation, and it investigated the roles of economic and accounting expertise in the elaboration of new risk management schemes. Finally, the workshop explored implications that such developments have for the (re)definition of governmental accountability.

ESRC Social Science Week

In March CARR marked ESRC Social Science Week by hosting a seminar entitled ‘Risk, Technology and Disaster Management’. This focused on the technical and social risks associated with the use of science and technology in disaster response. It provided a forum for practitioners, policymakers and members of the public to discuss the technical, social and ethical aspects of disaster management. Presentations came from Professor Sue Black OBE, of the Centre for Anatomy and Human Identification at Dundee University, and Commander Nicholas Bracken OBE of the Metropolitan Police Service (MPS) and Roger Baldwin, a member of the senior management team of the MPS Directorate of Forensic Services, responded, followed by a panel discussion. This event was organised by Lawless who is developing CARR’s research into science and risk with a focus on forensic science.
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 two Postdoctoral Fellows: Chris Lawless joined us in September having recently completed his doctorate at Durham University. Julien Etienne joined us in October having recently completed his doctorate at the Picardie Jules Verne University, Amiens, France. Matthias Benzer joined as Peacock Fellow in February from the Sociology Department of Manchester University.

Staff are encouraged to supplement their academic training and mentoring by taking advantage of opportunities to help organise 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 members of staff moving to posts at Cambridge and Manchester Universities this year.

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: Keith Hawkins, Professor Emeritus of Law and Society, University of Oxford; Dr Carl Macrae, Special Advisor, National Patient Safety Agency; Professor Rune Premfors, Research Director of the Stockholm Centre for Organizational Research; Professor Hideaki Shiroyama, Director of the Science, Technology and Public Policy Study Unit, University of Tokyo; and Frank Vibert, Founder Director, European Policy Forum.
Forward look

CARR ESRC Centre funding comes to an end in September 2010 so we aim to complete our ESRC funded projects and develop future projects. We will continue an active events and visitor programme.

• Our events programme will continue with our public seminar series and a major conference in June, entitled ‘Working Across Boundaries: Analyzing Risk & Regulation’. The conference aims to mark our achievements as an ESRC Centre and to thank our sponsors. It will consider the development of the area since CARR’s establishment, and changes in risk environment which may suggest future research and policy directions. Speakers include Professor Lord Anthony Giddens, Sir Bill Callaghan, Dame Deirdre Hutton, Professor John Braithwaite, Professor Nick Pidgeon, Professor Arjen Boin, Dr Hugo Banziger, Will Hutton and Dr Alan Gillespie Chair of the ESRC.

• Co-Reach Social Science funding: Research collaboration on ‘Comparative research on regulatory law enforcement in China and the EU’. Hutter and colleagues from University of Amesterdam and the Chinese Academy of Social Sciences will hold their first workshop under this grant at the LSE in April 2010.

• Joint CARR/SCORE funding will support a joint workshop at Stockholm School of Economics in April.

• The visitor programme will include Dr Karen Kastenhofer, lecturer at the Institute of Anthropology, University of Vienna, and researcher at the Institute of Technology Assessment, Austrian Academy of Sciences, who will be visiting CARR during the period April to July 2010. She is currently working on a research project which analyses the techno-epistemic culture of systems biology, its societal implications and societal regulation/governance.

• We have active publication plans for the coming six months: 52 pieces have been accepted for future publications, amongst them four books (two edited and two sole authored), 31 book chapters, 15 journal articles and two edited journal issues. Some of these papers will form the basis of conference and workshop presentations.
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 Matthias Benzer
Peacock Fellow (from February 2010)

Dr David Demortain
ESRC Research Officer

Dr John Downer
ESRC Research Officer

Dr Julien Etienne
ESRC Postdoctoral Fellow (from October 2009)

Dr Sharon Glad
ESRC Research Officer

Dr Jeanette Hofmann
ESRC Research Officer

Dr Chris Lawless
ESRC Postdoctoral Fellow
(from September 2009)

Dr Erika Mansnerus
ESRC Postdoctoral Fellow (to September 2009)

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  
Professor of Sociology, University of Munich

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, University of Bielefeld

Dr William Jennings  
Research Fellow, Institute for Political and Economic Governance, University of Manchester

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

Dr Javier Lezaun  
Lecturer in Science and Technology, 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
**Research students**

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

**Irina Iordachescu**  
Implications of the digital dividend for regulatory reform of radio spectrum management across EU member states

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

**Natalie Seaman**  
Explaining variation in transnational risk regulation regimes

**Umit Sonmez**  
Liberalization of the energy sector in Britain and Turkey: A comparative analysis of the role of regulatory institutions and interest groups

**Kevin Young**  
Global finance, domestic interests: Understanding the role of non-state actors in the formation of the Basell II Accord

**Johannes M Wolf**  
Procedural controls over bureaucracy: The case of Impact Assessments

**Centre support staff**

**Phil Lomas** (to June 2009)  
Centre Administrator

**Christine Sweed** (from July 2009)  
Centre Manager

**Pranav Bihari** (to September 2009)  
Web and Publications Administrator

**Yusuf Osman** (to September 2009)  
Events and Office Administrator

**Anna Phillips** (from October 2009)  
Web and Publications Administrator
Appendix 2

Visitors

Pierre-Marie Chauvin
PhD candidate, Victor Segalen University
Bordeaux September 2009

Professor Keith Hawkins
Professor Emeritus of Law and Society,
University of Oxford
April 2009 – March 2010

Professor Sally Lloyd-Bostock
Professorial Fellow
April 2009 – March 2010

Dr Carl Macrae
Special Advisor, National Patient Safety Agency
April – May 2009

Professor Rune Premfors
Research Director of the Stockholm Centre for
Organizational Research
November 2009

Dr Gregory Rolina
Researcher, Centre de gestion scientifique,
Mines ParisTech
September 2009

Professor Hideaki Shiroyama
Director of the Science, Technology and Public
Policy Study Unit, University of Tokyo
April – August 2009

Dr Ebba Sjogren
Assistant Professor, Stockholm School
of Economics
September 2009

Dr Renita Thedvall
Stockholm Centre for Organizational Research
March 2010

Zsuzsanna Vargha
PhD candidate, Department of Sociology,
Columbia University
August 2009

Mr Frank Vibert
Founder Director, European Policy Forum
April 2009 – March 2010
Appendix 3

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 Policy Advisory Committee for their support during 2009.

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, Professor 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 4

Conferences, Workshops, Lectures and Seminars

Conferences, Workshops and Lectures

- **CARR Graduate Colloquium**
  LSE, 18 September 2009

- **Regulating Risk and Organising Markets: Market Functioning and Market Failure in the Public Services**
  LSE, 24-25 September 2008

- **ESRC Social Science Week**
  Risk, Technology and Disaster Management
  LSE, 16 March 2010

Seminars

- **Dr Robert Falkner**
  Nanotechnology regulation: Prospects and problems of transatlantic convergence
  12 May 2009

- **Professor Hideaki Shiroyama**
  Risk governance for food and nuclear safety in Japan: Institutional reform and its implementation
  26 May 2009

- **Professor Tom Horlick-Jones**
  The GM nation? Public debate: What was it all about?
  27 October 2009

- **Professor Margaret Woods**
  Risk and performance management in major UK public and private sector organisations: A tale of contrasting cultures
  1 December 2009

- **Professor Erik Millstone**
  Risk assessment policy: A critical innovation for both scientific and democratic legitimacy
  9 February 2010

- **Professor Eileen Munro**
  Protecting children from maltreatment and protecting agencies from blame: Can they be compatible?
  9 March 2010
### Appendix 5

**Key Performance Indicators**

#### A – Publication and dissemination

##### A1 – Books

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<th>Edited/ Author(s) name</th>
<th>Title</th>
<th>Date</th>
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<tr>
<td>Author</td>
<td>Discipline in the Global Economy? International Finance and the End of Liberalism</td>
<td>2009</td>
<td>Routledge</td>
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<td>Accounting, Organisations and Institutions: Essays in Honour of Anthony Hopwood</td>
<td>2009</td>
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<td>Edited</td>
<td>Catastrophe: Law, Politics and the Humanitarian Impulse</td>
<td>2009</td>
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##### A2 – Chapters in books

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<td>Demortain</td>
<td>Standards of scientific advice</td>
<td>Scientific Advice to Policy-Making: International Comparisons</td>
<td>Lentsch and Weingart</td>
<td>2008</td>
<td>Barbara Budrich</td>
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<td>Hutter</td>
<td>The role of regulation in mitigating the risks of natural disasters</td>
<td>Learning from Catastrophes: Strategies for Reaction and Response</td>
<td>Kuneuther and Usem</td>
<td>2009</td>
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<td>Lodge and Wegrich</td>
<td>O enraizamento da regulação de qualidade: fazer as perguntas difíceis éa resposta</td>
<td>Desafios da Regulação no Brasil</td>
<td>Proença, Montagner and Costa</td>
<td>2009</td>
<td>ENAP</td>
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<td>Macrae</td>
<td>From risk to resilience: assessing flight safety incidents in airlines</td>
<td>Learning from high reliability organisations</td>
<td>Hopkins</td>
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<td>Accounting, Organisations and Institutions: Essays in Honour of Anthony Hopwood</td>
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<td>Accounting, Organizations and Institutions</td>
<td>Chapman, Cooper and Miller</td>
<td>2009</td>
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<td>Rothstein</td>
<td>The origins of regulatory uncertainty in the UK food safety regime</td>
<td>Uncertain Risks Regulated: National, EU and International Regulatory Models Compared</td>
<td>Vos, Evison and Scott</td>
<td>2009</td>
<td>Routledge-Cavendish</td>
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<td>Article title</td>
<td>Journal</td>
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<td></td>
<td>Legitimation by standards. Transnational experts, European Commission and the regulation of novel food</td>
<td>Sociologie du Travail</td>
<td>51(2)</td>
<td>2009</td>
<td>104-16</td>
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<td></td>
<td>Trust and technology: The social foundations of aviation regulation</td>
<td>British Journal of Sociology</td>
<td>61(1)</td>
<td>2010</td>
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<td></td>
<td>Juggling conflicting demands: The case of the UK Financial Ombudsman Service</td>
<td>Journal of Public Administration Research and Theory</td>
<td>19(3)</td>
<td>2009</td>
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<td></td>
<td>Testing times: Exploring staged responses and the impact of blame management strategies in two exam fiasco cases</td>
<td>European Journal of Political Research</td>
<td>48(6)</td>
<td>2009</td>
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<td>Was ist ‘systemisches Risiko”? Anmerkungen zu den Risiken der Risikokommunikation</td>
<td>GAIA</td>
<td>18(1)</td>
<td>2009</td>
<td>9-12</td>
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<td></td>
<td>Hochschule als Organisationsproblem</td>
<td>Soziologische Revue</td>
<td>32(1)</td>
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<td>The public thermostat, political responsiveness and error-correction: border control and asylum in Britain, 1994-2007</td>
<td>British Journal of Political Science</td>
<td>39(4)</td>
<td>2009</td>
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<td>The dynamics of political attention: Public opinion and the Queen’s speech in the United Kingdom</td>
<td>American Journal of Political Science</td>
<td>53(4)</td>
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<td>The public management of risk</td>
<td>Review of Policy Research</td>
<td>26(4)</td>
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<td></td>
<td>Public Service Bargains, New Public Management und Variationen in Verwaltungsreformen</td>
<td>Der Moderne Staat</td>
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<td></td>
<td>High quality regulation: Its popularity, its tools and its future</td>
<td>Public Money &amp; Management</td>
<td>29(3)</td>
<td>2009</td>
<td>145-52</td>
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<td>Beyond the ‘inherited model’: Public service bargains in the Commonwealth Caribbean</td>
<td>Social and Economic Studies</td>
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<td>Dodgy kebabs everywhere? Argumentation and worldviews</td>
<td>Public Administration</td>
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<td></td>
<td>Making risks visible: Identifying and interpreting threats to airline flight safety</td>
<td>Journal of Occupational and Organizational Psychology</td>
<td>82(2)</td>
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<td>Mansnerus</td>
<td>The lives of ‘facts’ in mathematical models: A story of population-level disease transmission of haemophilus influenzae type b bacteria</td>
<td>BioSocieties</td>
<td>4(2-3)</td>
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<td>Mennicken, Preda and Vollmer</td>
<td>Tracking the numbers: Across accounting and finance, organizations and markets</td>
<td>Accounting, Organizations and Society</td>
<td>34(5)</td>
<td>2009</td>
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<td>Power</td>
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<td>Power</td>
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<td>Hurly-Burly: The International Lacanian Journal of Psychoanalysis</td>
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<td>Bankrupt: Global lawmakers and systemic financial crisis</td>
<td>Canadian Journal of Sociology</td>
<td>34(4)</td>
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<td>Vestergaard</td>
<td>‘More heat than light’. On the regulation of international finance</td>
<td>Economic Sociology</td>
<td>10(2)</td>
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**A4 – Discussion papers**  
**Total: 8**

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<tr>
<td>Downer</td>
<td>When failure IS an option: Redundancy, reliability and risk</td>
<td>53</td>
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<td>Downer</td>
<td>Watching the watchmaker: On regulating the social in lieu of the technical</td>
<td>54</td>
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<td>Jennings and Lodge</td>
<td>Governing mega-events: Tools of security risk management for the London 2012 Olympic Games and FIFA 2006 World Cup in Germany</td>
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<td>Mansnerus</td>
<td>Modelled encounters with public health risks: How do we predict the ‘unpredictable’?</td>
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<td>Demortain</td>
<td>The many meanings of standard. The politics of the international standard for food risk analysis</td>
<td>58</td>
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<td>Etienne</td>
<td>The impact of regulatory policy on individual behaviour: A goal framing theory approach</td>
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<td>Mansnerus</td>
<td>Silence of evidence in the case of pandemic influenza risk assessment</td>
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<td>Downer</td>
<td>Anatomy of a disaster: Why some accidents are unavoidable</td>
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### A5 – Other publications (working papers, monographs, pamphlets)  
**Total: 18**

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<td>Legitimacy and the competition for regulatory share</td>
<td>LSE Law Department WP Series 14</td>
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<td>Discourses that standardise. Why management models are useful instruments</td>
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<td>The perils of perfection</td>
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<td>Cabinet Magazine 34</td>
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<td>Hofmann</td>
<td>Risk, transnational regulation and the public good. Insights from Internet address management</td>
<td>Risk &amp; Regulation 18</td>
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<td>Hofmann</td>
<td>Zukunft der digitalen Bibliothek (Future of the digital library)</td>
<td>Aus Politik und Zeitgeschichte 42-3</td>
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<td>Hood and Miller</td>
<td>Risk and public services</td>
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<td>Universitätsreform und Entdemokratisierung.</td>
<td>Pwision 2: 9-11</td>
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<td>Hutter</td>
<td>Why organizations need to be regulated: Lessons from history</td>
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<td>Accepting risk in society</td>
<td>Society Now, spring 2010, issue 6</td>
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<td>Security and risk management for sporting mega-events</td>
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<td>Jennings</td>
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<td>Lawless, Shaw and Mennell</td>
<td>The current position of fingerprint evidence – A literature review</td>
<td>Submitted to Fingerprint Inquiry Scotland, Scottish Ministers</td>
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<td>Lloyd-Bostock</td>
<td>An analysis of data on registration and fitness to practise cases held by the GMC in the context of risk-based approaches to medical regulation</td>
<td>End of Award Report to ESRC</td>
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<td>Mansnerus and Torny</td>
<td>Avoidable Catastrophes? The assessment and management of global pandemic risks</td>
<td>Risk &amp; Regulation 17</td>
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## Appendix 6

### Statement of Expenditure for the 12 months ending 31 March 2010

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<th>Expenditure</th>
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<td>Consumables</td>
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<td><strong>Grand total</strong></td>
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<td><strong>Grand total</strong></td>
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Notes to the CARR Statement of Expenditure for 12 months ending 31 March 2010:

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.