

ESRC Centre for Analysis of Risk and Regulation

Annual Report **2007-08**



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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 seventh year of ESRC 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 organizational 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.



Professor Bridget Hutter
Director, CARR

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 once again the crucial importance of CARR's work on risk regulation. Debates about environmental and financial risks and the uncertainties generated around genetic engineering all underline the breadth of risk regulation decisions public and private organizations face on a daily basis. Our comparative advantage is a social science analysis of these issues and the cross-cultural and cross-domain knowledge transfer this can offer.



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, history, politics, psychology, socio-legal studies and sociology.

Core staff:

Bridget Hutter (Director)
Sarah Dry (to October 07)
David Demortain
John Downer (from February 08)
Jeanette Hofmann (from October 07)
William Jennings
Robert Kaye (to May 07)

Martin Lodge (20 per cent)
Sally Lloyd-Bostock (from Nov 07)
Carl Macrae (to March 08)
Peter Miller (50 per cent)
Michael Power (50 per cent)
Jakob Vestergaard (to Sept 07)

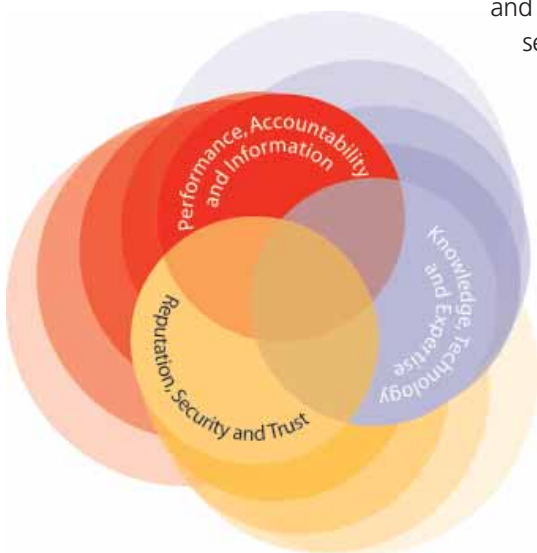
Comparative work on risk regulation has been conducted across a variety of dimensions. Macrae's work on cognitive processes and organizational practices around errors and near-miss risk events has considered different risk regulation **domains**. He has found significant differences between the way safety information is handled in healthcare and aviation. Aviation near-miss reporting systems are designed to support participative risk regulation by collecting and distributing detailed information on organizational performance. Current designs of healthcare reporting systems are more centralized in their handling and processing of information, which constrains worker participation in risk regulation.

Hood and Jennings have considered **regional** comparisons in the effect of blame management strategies by ministers and bureaucrats over the English 'A' level marking crisis of 2002 which was very different to that observable in the corresponding Scottish higher marking crisis of 2000. Their analysis reveals that blame management techniques used by ministers seemed to have less effect on subsequent media heat in Scotland than they did in England.

Other work considers **public private** comparisons. For example, Hofmann's comparison of transnational norm setting in the fields of accounting and Internet regulation shows that private and public actors depend on each other's specific resources in implementing and enforcing norms or standards. Such interdependencies account for seesaw changes between publicly and privately dominated forms of risk regulation.

Dry's work brought an **historical** dimension to CARR's work. She found that networks of scientific information-gathering are essential to understanding how issues of risk and safety get framed. A key conclusion from her work on Victorian safety is that within such networks there can be symbiotic relations between nominally independent local actors (eg, fishermen) and centralized scientific administrators (those who run central offices such as the Meteorological Department).

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 addresses the varied ways in which performance can be assessed and accountability sought. It also addresses the diverse types of information sources on which this depends, thereby complementing the concerns of Theme 2. It builds on CARR's existing concerns with legitimacy and accountability, and considers the ways in which risk control and regulation are understood and applied across a range of domains and national boundaries. This includes traditional techniques used to assess performance and make organizations accountable, such as audits that aspire to neutrality, but extends beyond those to consider more public and politicized modes of accountability and performance assessment that differ from compliance-based systems. The key questions addressed are:

- How do domain-specific practices and information processes interact with formalized systems such as audit, accounting and risk management?
- How do particular models for assessing performance and delivering accountability achieve transnational status?
- How do some domains 'escape' formalized and compliance-based modes of assessing performance and accountability?
- How do regulatory processes depend on different sources of external and self-created information?
- What is the relationship between performance indicators and risk indicators?

These issues are examined in a range of distinct yet related areas. For instance, [Demortain](#) examines the impact of risk management and the use of indicators of risk on health agencies. [Dry](#) has examined the variety of disciplinary perspectives involved in 'climate science'. [Hofmann](#) is examining the complex networks and extended chains of accountability involved in internet regulation, and how these can give rise to contradictory expectations, logic or rationalities. [Jennings](#) has conducted research into the opinion-responsiveness of the UK asylum system, and is currently examining the budgeting and risk management for the London Olympics, and in particular the role of politicization, optimism bias and loss aversion. [Kurunmäki](#) is examining the potential of accounting-based risk-regulation in the inter-professional domain of healthcare provision in the UK. [Millo](#) is examining the recent phenomenon of 'activist' investors in UK quoted companies, and its implications for the regulation of corporate governance. Relatedly, [Vestergaard](#) has focused on international financial regulation, and the extent to which it reduces rather than increases the resilience of the international financial system. Taken together, these diverse studies raise important questions about modes of accountability and performance assessment, and whether formal accountability is always appropriate.

Theme 2: Knowledge, technology and expertise

Theme Director: [Professor Michael Power](#)



This research theme addresses the supply side conditions of risk regulation and organizational responses to uncertainty. We focus on how practices are shaped by specific forms of expertise and knowledge, including material technologies. From this point of view, risk management and regulation practice are contingent on ideas, tools and routines which may be local or transnational in form. There have been many efforts to define abstract principles and standards for risk management and regulation. For example, risk-based approaches have become an almost unquestioned orthodoxy. Key investigation questions are:

- 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](#) research demonstrates how conceptions of risk analysis evolved from interactions between scientific expertise and regulation. Generic and codifiable descriptions of problems and procedures were generated and then disseminated across countries and sectors. [Dry](#) analysed how different versions of 'climate science' have been shaped by theoretical meteorology, computer modelling, various sub-disciplines of paleoclimatology and an older geographical tradition of weather watching. [Macrae](#) shows how safety experts in the airline industry focus on any small sign of deviation from current accepted standards, or any slight similarity with past events or accidents. In contrast to pressures for standardization elsewhere, this approach to 'risk' knowledge is argued to be context-bound, informal and experience-driven. [Kurunmäki](#) and [Miller](#) analyse how 'payment by results' as a regulatory and organizational initiative in the UK health sector was a complex hybrid constructed at the intersection between three bodies of expertise, namely health economics, accounting and medicine.

Theme 3: Reputation, security and trust

Theme Director: [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.

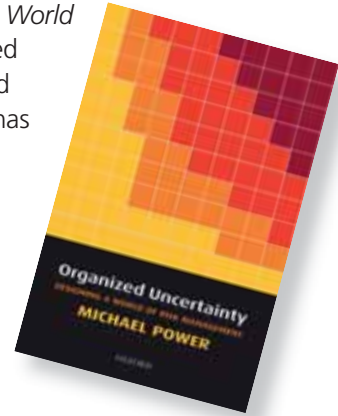
Emphasizing a comparative perspective, CARR research seeks to establish how:

- 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

[Power's](#) work, for example, emphasizes that the management of reputation has become the pervading principle of risk management practices. During the past year, [Lodge](#) has advanced his work on security of supply in energy regulation, and, with [Stirton](#), has continued his work on regulation in the developmental context. [Lodge](#) and [Jennings](#) have worked on post-career trajectories of political and bureaucratic elites to investigate further the effects of this supposed age of distrust in authority. [Jennings](#) has studied issues of reputation and trust through the lens of governmental opinion-responsiveness in the area of asylum policy, and has begun work on incident reporting data by the Civil Aviation Authority. [Jennings](#) has also continued his work on the risk regulation and management of mega-events, in particular the 2012 Olympics. [Macrae](#) advanced his work on the way in which field-level actors engage in creating resilient and safe organizations, building in particular on his work on safety investigators in the airlines industry.

Publications

2007 saw the publication of *Organized Uncertainty: Designing a World of Risk Management* (Oxford 2007) by Michael Power. It is argued that risk and risk management ideas have increasingly permeated organizational and social life since the mid 1990s, and that this has been made possible by the rapid and transnational diffusion of abstract designs for the risk management process. Such designs are more than merely technical prescriptions, they are also normative ideas for the good governance of organizations. At the level of principle, hospitals, universities, mining companies and banks, all adopt very similar formal structures and designs for risk management practice. While there may be plenty of variation in detailed implementation, these formal and auditable representations of the risk management process have become a badge of legitimacy. The book suggests that these developments amplify preoccupations with how organizations appear to outside bodies which may judge and evaluate them.



February 2008 saw the publication of a special issue of *Health, Risk & Society* on the subject of Risk Regulation and Health, edited by Bridget Hutter and including contributions by seven CARR staff (Bevan, Demortain, Hutter, Kurunmaki, Lloyd-Bostock, Macrae, Miller). The focus is on risk regulation issues with particular reference to National Health Service infrastructure and service provision and the risk regulation of critical areas. The papers examine reforms in the context of diminishing confidence in medical experts. It is argued that there has been a shift from professional self-regulation to regulatory oversight and a growing prominence of accounting and costing. The transferability of regulatory solutions across domains and across the private-public divide is questioned, for example, difficulties in implementing risk-based regulation are discussed, most particularly with reference to the availability of reliable data. It is argued that the new systems can produce contradictory incentives and may even contribute to systemic provision risks. For example, it is argued that the construction of economic risks in the health sector may generate unforeseen social risks. Risk events and public and political unease seem to lead to tinkering with the system but not tinkering based on learning and the full use of the available evidence. Learning from crises and routine organizational data and experience are crucial. Risk regulation research should be important in forging a more evidence based way forward. In particular these studies can encourage cautious learning from other domains



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 2007 to December 2007 the website was visited on 527,103 occasions, with visits between August and December showing an increase over the same period for 2006. The clear majority of these were visits external to the LSE, suggesting a high level of interest in our activities. *Risk&Regulation* Magazine website visits rose to 105,248, a 42 per cent increase on 2006.

Engaging non-academic communities is a core feature of CARR's activities within the UK and internationally. Our academic workshops routinely involve practitioner participants and our major public events involved practitioners and also attracted a great deal of non-academic and user interest. Examples include Organizing Risk Regulation, where practitioners were included in all panels. They included Lord Haskins, Greg Clark MP, Richard Hobbs of Beachcroft Regulatory Consulting, Mark Wood of Paternoster UK Ltd and representatives from the Civil Contingencies Secretariat, Financial Services Authority, Health and Safety Executive and the National Audit Office. The keynote speaker at our Annual Graduate Conference was Steven Wearne, Head of the Regulation, International and Openness Division, The Food Standards Agency.

Our Practitioner Fellows programme continued and CARR staff have given advice to various public bodies within the UK and abroad. These include USA Institute of Healthcare Improvement, European Research Council, General Medical Council, Safety Regulation Group of the Civil Aviation Authority, and Health and Safety Executive.



Public events

In addition to its regular seminar series, CARR hosted a number of conferences.

2007 CARR Conference

A major international conference in March 2007, 'Organizing Risk Regulation: current dilemmas, future directions', attracted an audience of 150 participants and brought together leading national and international academic experts, policymakers and practitioners. Conference panels addressed key topics in understanding the design and operation of risk regulation regimes, including topics as diverse as international terrorism, civil aviation, financial markets and public health. These drew upon theories and methodologies from across the social sciences, and upon practitioner expertise in financial services, politics, contingency planning, insurance, risk management and workplace safety.



2007 Risk and Public Services Conference



Jointly organized by CARR and the ESRC Public Services Research Programme, and convened by Christopher Hood (Oxford) and Peter Miller (LSE), this highly successful conference was held at LSE in mid-December 2007. There were approximately 85 attendees from academic, practitioner, regulatory and political domains. The conference addressed the proposition that while risk is fundamental to the provision of public services, the links between risk and

public services have not received the attention they deserve. Debates about public services in recent decades have tended to frame issues wholly or primarily in terms of markets, choice and monitoring. The conference addressed three main issues: what, if anything, is distinctive about risks that arise in the provision of public services, as compared to other kinds of activity; what are the risk consequences of different ways of managing and organizing public services; and, what is the scope, and what are the limits of formal risk management systems to control financial, operational and reputational risk in public services? The conference examined these issues in relation to the domains of healthcare, social care, education and custodial services.

ESRC Festival of Social Science 2007



Over 120 people attended a panel discussion 'Assessing the costs and benefits of regulation' in March 2007. The panel of speakers consisted of Philip Cullum from the National Consumer Council, Matthew Fell from the Confederation of British Industry, Alexander Ehmann from the Institute of Directors, Peter Horne from the Better Regulation

Commission and David Norgrove from the Pensions Regulator. The panel were joined by members of the audience in considering how and why debates about regulation constantly focus on the burdens and impediments regulatory regimes bring, at the same time as politicians, businesses and consumers demand greater accountability and protection from risk.



ESRC Festival of Social Science 2008



In March 2008 CARR hosted a roundtable on 'Security and Regulation: information, risk and financial crime' as part of the ESRC festival of social science. The event was the second of a two-part ESRC seminar on 'global uncertainties' held at Royal United Services Institute for Defence and Security Studies in Whitehall. The CARR panel of speakers consisted of Elizabeth

Robertson, a partner with law firm Addleshaw Goddard, Jim Backhouse from the Systems and Innovation group at LSE, Mike Levi from the Crime and Justice Research group at Cardiff University and JP Rangaswami, Managing Director of Service Design, BT Design. The discussion, attended by a wide range of practitioners and academics, explored issues such as the evolution of 'security' into 'assurance' in the IT field; the need for greater critical scrutiny of the real impact of data losses; and the need to think about security of all kinds at the level of the individual rather than the firm level.



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. David Demortain and Jakob Vestergaard joined us as Postdoctoral Fellows in January 2007, with David becoming a Research Officer with us in October 2007. Jeanette Hofmann joined us as a Research Officer in October 2007, coming from the Social Science Research Centre, Berlin. John Downer joined CARR in 2008 as a Postdoctoral Fellow.

CARR staff help run the CARR Research Student Forum supported by 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 sixth conference in September again attracted a high number of participants and garnered excellent feedback. The event highlights included sessions on governing health, regulation and conceptions of risk, public and professional shaping of regulation, politics of regulatory reform, internal dynamics of regulation, as well as a keynote speech from Steven Wearne, Head of the Regulation, International and Openness Division at the Food Standards Agency.

The destinations of departing CARR staff shows the contribution of the Centre to the wider risk and regulation environment, with one leaver moving to a university lectureship and another pursuing a career as a risk manager in the finance and banking industry.

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

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 staff will join in 2008, including Research Officers in April and September, as well as Postdoctoral Fellows in September subject to successful funding applications.
- The active visitor programme will include Professor Neil Gunningham, an interdisciplinary social scientist and lawyer who specializes in safety, health and environmental regulation and governance, as well as our continuing Visiting Professor Keith Hawkins. Research student visits are also planned, including Fran Osrecki, a Doctoral Fellow at the University of Bielefeld, Germany.
- CARR will hold a joint roundtable workshop with the Health and Safety Executive on compliance and regulation.
- The annual CARR Graduate Conference, will be held in September, in the format of a one-day Colloquium.
- CARR will hold a two-day workshop in January 2009 on transnational agencies of risk. The workshop aims to shed light on the agents and forms of agency that unfold around risk and risk management transnationally. It also seeks to build common theoretical ground for addressing the non-national dimension of risk.
- In March 2009 CARR will run a conference on the subject of 'Close Calls: organizations, near misses, alarms, and early warnings'. The intention is to address a wide range of 'operational risk' issues across different fields, focusing on the fundamental problem – both for management and regulators – of how to design and respond to 'weak signals' or risk.
- CARR's three-year joint project with the Stockholm Centre of Organisational Research (SCORE) starts in October 2008, with a UK-based workshop in the first year. 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.

Appendices

Appendix 1

Staff, Research Associates and students

Directors/Research Theme Directors

[Professor Bridget Hutter](#)
Centre Director
Professor of Risk Management

[Dr Martin Lodge](#)
Research Theme Director
Reader in Political Science and Public Policy

[Professor Peter Miller](#)
Deputy Director and Research Theme Director
Professor of Management Accounting

[Professor Michael Power](#)
Research Theme Director
Professor of Accounting

Research staff

[Dr Sarah Dry](#)
Postdoctoral Fellow (to October 07)

[Dr David Demortain](#)
Research Officer (from October 07),
Postdoctoral Fellow (January to September 07)

[Dr John Downer](#)
Postdoctoral Fellow (from February 08)

[Dr Jeanette Hofmann](#)
Research Officer (from October 07)

[Dr William Jennings](#)
British Academy Postdoctoral Fellowship

[Dr Robert Kaye](#)
Research Officer (to May 07)

[Professor Sally Lloyd-Bostock](#)
Professorial Research Fellow
(from November 07)

[Dr Carl Macrae](#)
Research Officer (to March 08)

[Dr Jakob Vestergaard](#)
Postdoctoral Fellow (to September 07)

Research Associates at LSE

[Dr Michael Barzelay](#)
Professor of Public Management

[Professor Gwyn Bevan](#)
Professor of Management Science

[Professor Julia Black](#)
Professor of Law

[Professor Damian Chalmers](#)
Professor in European Union law

[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](#)
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

[Dr Anneliese Dodds](#)
Lecturer in Public Policy, King's College London

[Dr Sharon Gilad](#)
Lecturer, Social Science and 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

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

[Professor Roger King](#)
(from January 08)
Visiting Professor, Centre for Higher
Education Research and Information,
Open University

[Dr Javier Lezaun](#)
Lecturer, Law, Amherst College

[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

[Jon Stern](#)
(from December 07)
Honorary Senior Visiting Fellow,
City University

[Dr Lindsay Stirton](#)
Lecturer in Law, University of East Anglia

[Professor Peter Taylor-Gooby](#)
Professor of Social Policy, University of Kent

[Professor Kai Wegrich](#)
(from October 07)
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

[Professor Sally Lloyd-Bostock](#)

LSE Professorial Fellow

Research students

[Tola Amodu](#) (to July 07)

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

[Yasmine Chahed](#)

The Regulation of Strategic Reporting in Britain and Germany

[Paolo Dasgupta](#)

Independent Regulatory Agencies in Britain and France: Ofcom and ART

[Sue Kerrison](#) (to July 07)

The Regulation of Nursing Homes

[Nao Kodate](#)

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

[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](#) (from August 07)

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

Centre support staff

[Phil Lomas](#)

Centre Administrator

[Amy Greenwood](#)

Communications and Publications Administrator (to December 07)

[Caroline Fionda](#)

Assistant Administrator (March 07 to January 08)

[Nadia Mirza](#)

Events and Office Administrator (from February 08)

Appendix 2

Policy Advisory Committee

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

- 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
- to assist the Director in co-operation with outside bodies in furthering the Centre's programme of research
- 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 2007.

Membership of the PAC was as follows:

Chair: [Bill Callaghan](#)

Former Chair of the Health and Safety Commission

[Professor Michael Moran](#)

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

[Professor Ron Amann](#)

Emeritus Professor, University of Birmingham

[Professor Nick Pidgeon](#)

Professor, School of Psychology, Cardiff University

[Sir Anthony Battishill](#)

Governor, and Vice-Chairman of the Court and Council, LSE

[Professor Tony Prosser](#)

Professor of Public Law, University of Bristol

[Professor Bridget Hutter](#)

Director of CARR. Chair of Risk Regulation, LSE

[Frank Vibert](#)

Director, European Policy Forum

[Mary Keegan](#)

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

Appendix 3

Conferences, workshops, lectures and seminars

Conferences, workshops and lectures

- **Assessing the costs and benefits of regulations: a panel debate – ESRC Festival of Social Science 2007**
LSE; March 2007
- **CARR Conference on Organizing Risk Regulation: current dilemmas, future directions**
LSE; March 2007
- **Risk and Regulation 2007: Sixth Annual Research Student Conference**
LSE; September 2007
- **Roundtable: joint CARR-EPF on Co-regulation/Self regulation**
EPF; October 2007
- **Risk and Public Services: joint conference convened by CARR and the ESRC Public Services Programme**
LSE; December 2007
- **Law and Expertise in Regulatory Politics, convened by CARR and Government Department**
LSE; February 2008
- **Security and Regulation – Information, Risk and Financial Crime, ESRC Festival of Social Science 2008**
March 2008

Seminars

[Professor Jacqui Burgess](#)

Deliberative Mapping: a novel analytic-deliberative tool for participatory risk assessment
January 2007

[Professor Bill Durodie](#)

Fear and Terror in a Post-Political Age, Misunderstanding the Meaning of Contemporary Terrorism
February 2007

[Professor Rhona Flin](#)

Safe in their Hands? Licensing and Revalidation of Safety-Critical Professions in Industry and Healthcare
March 2007

[Dr Beth Kewell](#)

Language Games and Tragedy: The Bristol Royal Infirmary disaster revisited
May 2007

[Mr Roger McCormick](#)

Legal Risk, Law and Justice in a Globalizing Financial Market
May 2007

[Christina Garsten](#)

The Politics of Transparency
October 2007

[Dr Morten Broberg](#)

From Free Movement to Risk Analysis: a legal perspective on the change of the EU's regulation of foods
October 2007

[Professor Fabrizio Cafaggi](#)

Private Regulation in the New European Architecture
October 2007

[Dr Adam Burgess](#)

The 'Catalogue of Missed Opportunities': researching major inquiries
December 2007

[Professor Michela Arnaboldi](#)

Risk Management and Budgeting
February 2008

[Dr Andrew Barry](#)

Transparency and Discretion
February 2008

[Professor Jean-Christophe Graz](#)

From Risk to Quality: international standards and the service economy
March 2008

Appendix 4

Key Performance Indicators

A – Publication and dissemination

A1 – Books

Total: 1

Edited/ Authored	Author(s) name	Title	Date	Publisher	Where
Authored	Power, M	Organized Uncertainty: designing a world of risk management	2007	Oxford University Press	Oxford

A2 – Chapters in books

Total: 10

Chapter author	Chapter title	Book title	Book author	Date	Publisher	Where
Hofmann, R Bendrath, V Leib, P Mayer and M Zürn	Governing the internet: the quest for legitimate and effective rules	Transforming the Golden-Age Nation State	Hurrelmann, Achim Stephan Leibfried, Kerstin Martens and Peter Mayer (eds)	2007	Palgrave Macmillan	Basingstoke
Kaye, G Peele	Conflict of interest in British public life	Conflict of Interest in Public Life	Christine Trost, Alison L Gash	2007	Cambridge University Press	Cambridge
Kaye	In defence of politicking: private, personal and public interests	Ethics and Integrity in Governance	L Huberts, J Maeschalck, C Jurkiewicz	2008	Edward Elgar Publishing	Cheltenham
Lodge	Next Steps und zwei Schritte zurück? Stereotypen der Verwaltungsmodern- isierung und die Politik der Delegation in Grossbritannien	Agencies in Westeuropa	W Jann and M Döhler (eds)	2007	Leske & Budrich	Opladen, Germany
Lodge	In festen Bahnen: Technologie und Eisenbahnregulierung	Society and the Power of Technology	U Dolata and R Werle (eds)	2007	Campus	Frankfurt, Germany
Lodge and L Stirton	Telecommunications policy reform: embedding regulatory capacity in the English-speaking Caribbean	No Island is an Island: the impact of globalisation on the Commonwealth Caribbean	G Baker (ed)	2007	Chatham House	London

Chapter author	Chapter title	Book title	Book author	Date	Publisher	Where
Lodge and P Bezes	Historical legacies and dynamics of institutional change in civil service systems	The Civil Service in the 21st Century	J Raadschelders, T Toonen and F Van der Meer (eds)	2007	Palgrave Macmillan	Basingstoke
Power	The invention of operational risk (Translated and reprinted as 'Die Erfindung operativer Risiken')	Zahlenwerk: kalkulation, organisation und gesellschaft	A M Mennicken and H Vollmer (Hrsg)	2007	VS Verlag	Wiesbaden, Germany
Power	The invention of operational risk (La Invention del Riesgo Operacional)	La gestión del riesgo operacional – De la teoría a su aplicación.	A Laviada Fernández (ed)	2007	Servicio de Publicaciones de la Universidad de Cantabria	Madrid, Spain
Power	Research evaluation and the audit society	Wissenschaft unter Beobachtung: Effekte und Defekte von Evaluationen	H Matthies and D Simon (Hrsg)	2007	VS Verlag	Wiesbaden, Germany

A3 – Articles in refereed journal papers**Total: 20**

Author(s)	Article title	Journal	Vol	Date	Pages
Bevan	Changing paradigms of governance and regulation of quality of healthcare in England	Health, Risk & Society	10 (1)	2008	85-101
Black, Hopper and Band	Making a success of principles based regulation	Law and Financial Markets Review	1 (3)	2007	191-206
Black	Tensions in the regulatory state	Public Law		2007	58-73
Demortain	From drug crises to regulatory change: the mediation of expertise	Health, Risk & Society	10 (1)	2008	37-51
Demortain	La légitimation par les normes. Experts et Commission Européenne dans la régulation des aliments nouveaux	Sociologie du Travail	50 (1)	2008	1-14
Hood	Public service management by numbers: Why does it vary? Where has it come from? What are the gaps and the puzzles?	Public Money and Management	27 (2)	2007	95-102
Hood	Intellectual obsolescence and Intellectual makeovers: reflections on the tools of government after two decades	Governance	20 (1)	2007	125-44

Author(s)	Article title	Journal	Vol	Date	Pages
Hood	What happens when transparency meets blame-avoidance?	Public Management Review	9 (2)	2007	191-210
Hutter and Jones	From government to governance: external influences on business risk management	Regulation and Governance	1 (1)	2007	27-45
Hutter (ed)	Special issue of Health, Risk and Society	Health, Risk and Society	10 (1)	2008	
Hutter	Risk regulation and healthcare	Health, Risk and Society	10 (1)	2008	1-7
Hutter and Lloyd-Bostock	Reforming regulation of the medical profession: the risks of risk-based approaches	Health, Risk and Society	10 (1)	2008	69-83
Lodge	Comparing non-hierarchical governance in action: the open method of co-ordination in pensions and information society	Journal of Common Market Studies	45 (2)	2007	343-65
Macrae	Learning from patient safety incidents: creating participative risk regulation in healthcare	Health, Risk and Society	10 (1)	2008	1-15
Miller	Calculating economic life	Journal of Cultural Economy	1 (1)	2008	
Miller and T O'Leary	Mediating instruments and making markets: capital budgeting, science and the economy	Accounting, Organizations and Society	32 (7/8)	2007	701-34
Miller and Kurunmäki	Counting the costs: the risks of regulating and accounting for healthcare provision	Health, Risk and Society	10 (1)	2008	9-21
Power	Corporate governance, reputation and environmental risk	Environment and Planning C: government and policy	24 (1)	2007	90-97
Power	Business risk auditing – debating the history of its present	Accounting, Organizations and Society	32 (4/5)	2007	379-82
Vestergaard	The entrepreneurial university revisited. Conflicts and the importance of role separation	Social Epistemology	21 (1)	2007	41-54

A4 – Discussion papers**Total: 10**

Author	Title	Number
Demortain	Standardizing through concepts: scientific experts and the international development of the HACCP food safety standard	45
Dry	Fishermen and forecasts: how barometers helped make the meteorological department safer in Victorian Britain	46
Hofmann	Wandel von Staatlichkeit in digitalen Namensräumen: Zwischen Hierarchie und Selbstregulierung (Transformation of statehood in digital name spaces: between hierarchy and self-regulation)	WZB series
Hood, Jennings and Hogwood, with Craig Beeston	Fighting fires in testing times: exploring a staged response hypothesis for blame management in two exam fiasco cases	42
Jennings	At No Serious Risk? Border Control and Asylum Policy in Britain, 1994-2004	39
Lodge, Wegrich and McElroy	Gammelfleisch Everywhere? Public Debate, Variety of Worldviews and Regulatory Change	49
Macrae	Interrogating the unknown: risk analysis and sensemaking in airline safety oversight	43
Macrae	Analyzing near-miss events: risk management in incident reporting and investigation systems	47
Millo	From green fields to green felt tables and back: the origin of index-based derivatives	44
Millo and Mackenzie	Building a boundary object: the evolution of financial risk management	48

A5 – Other publications (working papers, monographs, pamphlets)**Total: 6**

Author	Title	Series	Date
Hofmann	Wandel von Staatlichkeit in digitalen Namensräumen – Zwischen Hierarchie und Selbstregulierung (Transformation of statehood in digital name spaces – between hierarchy and self-regulation)	WZB Discussion Paper SPIII	2007
Hofmann	Umstrittenes Experiment – Das Internet Governance Forum diskutiert über die Netz-Regulierung (Contested experiment – The Internet Governance Forum discusses the regulation of the Internet)	WZB-Mitteilungen	2008
On Hofmann	'Seitenblick'; Interview with J Hofmann	European Patent Office – Supporting innovation for 30 years, S 38-45. EPO, Munich 2007 (anniversary issue).	2007
Lodge, R Zebek and K H Goetz	Legislative planning in Central Europe: towards strategic management of government legislation	Ernst & Young Better Government programme, Warsaw	2007

Author	Title	Series	Date
Macrae	Resilience in airlines: how to see safety and recognize risks	Flywise	2007
Power and Martin	The end of risk management	AEI-Brookings Joint Center for Regulatory Studies, Washington DC. Related Publication 07-22	2007

A6 – Forthcoming publications**Total: 10**

Author	Title	Book/Journal	Date
Dry	Instruments of the State: fishermen, barometers and the Met department in mid-Victorian Britain	British Journal for the History of Science	2008
Dry	Traces: registering the weather at the Met department, 1854-1876	History of Science	2008
Hofmann and S Botzem	Dynamiken transnationaler Governance – Grenzübergreifende Normsetzung zwischen privater Selbstregulierung und öffentlicher Hierarchie	Sebastian Botzem, Jeanette Hofmann, Sigrid Quack, Folke Schuppert and Holger Strassheim (Hg) Governance als Prozeß	2008
Jennings	The public thermostat, political responsiveness and error-correction: border control and asylum in Britain, 1994-2007	British Journal of Political Science	2008
Lodge	Regulation, the regulatory state and European politics	West European Politics	2008
Lodge and L Stirton	Beyond the 'inherited model': public service bargains in the Commonwealth Caribbean	Social and Economic Studies	2008
Macrae	Making risks visible: risk analysis and sensemaking in airline safety management	Journal of Occupational and Organizational Psychology	2008
Miller and Rose	Governing the present: administering economic, social and personal life	Polity Press (book)	2008
Miller, Kurunmäki and O'Leary	Accounting, hybrids and the management of risk	Accounting, Organizations and Society	2008
Vestergaard	Discipline in the global economy. International finance and the end of liberalism	Taylor and Francis (book)	2008

B – External interrelationships**B1 – External visitors****Total: 6**

Name	Title and affiliation	Visited
Arnaboldi, Michela	Associate Professor, Department of Management, Economics and Industrial Engineering, Politecnico di Milano	2007-2008
Buhr, Katarina	PhD Student, Department of Business Studies, Uppsala University	2007
Hawkins, Keith	Professor Emeritus of Law and Society at Oxford University and Fellow Emeritus of Oriel College, Oxford	2007-2008
Junker, Svenne	PhD Student, Stockholm School of Economics	2007
Kelman, Steve	Weatherhead Professor of Public Management, John F. Kennedy School of Government, Harvard University	2007
Young, Joni	Associate Dean for Research, Anderson School of Management, University of New Mexico	2007

B2 – Events organized by CARR**Conferences, workshops and lectures****Total: 6**

Title	Venue	Date
Assessing the costs and benefits of regulations: a panel debate – ESRC Festival of Social Science	LSE	13 March 2007
CARR conference on Organizing Risk Regulation: Current Dilemmas Future Directions	LSE	22-23 March 2007
Roundtable: joint CARR-EPF	LSE	30 October 2007
Risk and Public Services joint conference convened by CARR and the ESRC Public Services Programme	LSE	13-14 December 2007
Law and Expertise in Regulatory Politics, convened by CARR and Department of Government, LSE	LSE	21-22 February 2008
Security and Regulation – Information, Risk and Financial Crime, ESRC Festival of Social Science	RUSI	12 March 2008

Seminars**Total: 12**

Title	Speaker	Date
Deliberative mapping: a novel analytic-deliberative tool for anticipatory risk assessment	Jacqui Burgess	30 January 2007
Fear and terror in a post-political age: misunderstanding the meaning of contemporary terrorism	Bill Durodie	20 February 2007
Safe in their hands? Licensing and revalidation of safety-critical professions in industry and healthcare	Rhona Flin	6 March 2007
Language games and tragedy: the Bristol Royal Infirmary revisited	Beth Kewell	01 May 2007
Legal risk, law and justice in a globalization financial market	Roger McCormick	15 May 2007
The politics of transparency	Christian Garsten	16 Oct 2007
From free movement to risk analysis: a legal perspective on the change in the EU's regulations of foods	Morten Broberg	23 Oct 2007
Private regulations in the new European architecture	Fabrizio Cafaggi	30 Oct 2007
The 'Catalogue of Missed Opportunities': research major inquiries	Adam Burgess	04 Oct 2007
Risk management and budgeting	Michela Arnaboldi	05 Feb 2008
Transparency and discretion	Andrew Barry	26 Feb 2008
From risk to quality: international standards and the service economy	Jean-Christophe Graz	11 March 2008

Appendix 5

Statement of Expenditure for the 15 months ending 31 March 2008

Funding source	Jan '07 to Mar '08 £000's	Expenditure	Jan '07 to Mar '08 £000's
Economic and Social Research Council (ESRC)	614	Staff costs	583
Deutsche Bank / British Academy / PWC	62	Travel and subsistence	16
		Other research costs	69
		Equipment	7
		Consumables	1
Grand total	676	Grand total	676

Notes to the CARR Statement of Expenditure for 15 months ending 31 March 2008:

1. The statement of expenditure has been prepared on a cash payments and receipts basis.
2. The ESRC reporting period for research centres was previously January to December. It has changed to 1 April to 31 March. The transition period requires a January 07 to March 08 reporting period.
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.

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