

ESRC Centre for Analysis of Risk and Regulation

Annual Report **2009-10**



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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 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.



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 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.

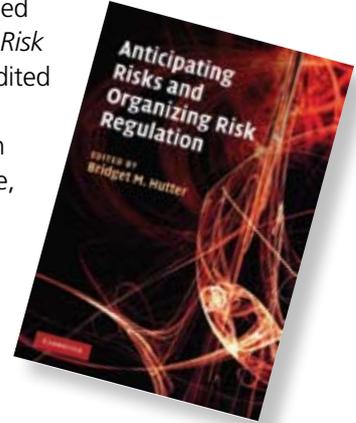
Emphasizing a comparative perspective, CARR research seeks to establish how:

- 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.

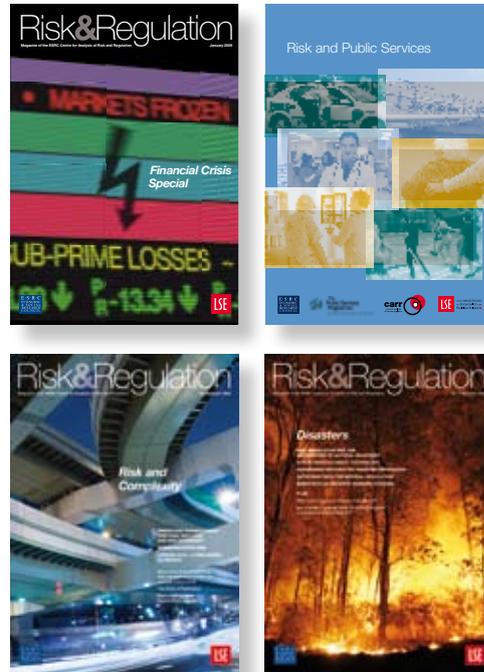
Risk & Regulation continues to attract a great deal of interest. For example, the Summer 09 edition attracted 16,593 page views; and the Financial Crisis Special (December 08) continues to attract attention with 31,826 views to date.

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 ESCR 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 Amsterdam 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 Gilad](#)

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, Saïd 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 Wolff](#)

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

Total: 3

Edited/ Authored	Author(s) name	Title	Date	Publisher
Author	Vestergaard	Discipline in the Global Economy? International Finance and the End of Liberalism	2009	Routledge
Edited	Miller, Cooper and Chapman	Accounting, Organisations and Institutions: Essays in Honour of Anthony Hopwood	2009	Oxford UP
Edited	Lezaun and Sarat	Catastrophe: Law, Politics and the Humanitarian Impulse	2009	University of Massachusetts Press

A2 – Chapters in books

Total: 8

Chapter author	Chapter title	Book title	Book author	Date	Publisher
Demortain	Standards of scientific advice	Scientific Advice to Policy-Making: International Comparisons	Lentsch and Weingart	2008	Barbara Budrich
Huber	Von loser zu engerer Kopplung. Die Entstehung risikofreudiger Universitäten und neuer Planungshorizonte	Management komplexer Systeme. Konzepte für die Bewältigung von Intransparenz, Unsicherheit und Chaos	Weyer and Schulz-Schaeffer	2009	Oldenbourg
Hutter	The role of regulation in mitigating the risks of natural disasters	Learning from Catastrophes: Strategies for Reaction and Response	Kunreuther and Useem	2009	Wharton School Publishing
Lodge and Wegrich	O enraizamento da regulação de qualidade: fazer as perguntas difíceis é a resposta	Desafios da Regulação no Brasil	Proenca, Montagner and Costa	2009	ENAP
Macrae	From risk to resilience: assessing flight safety incidents in airlines	Learning from high reliability organisations	Hopkins	2009	CCH
Miller, Chapman and Cooper	Linking accounting, organizations and institutions	Accounting, Organisations and Institutions: Essays in Honour of Anthony Hopwood	Chapman, Cooper and Miller	2009	Oxford UP
Power	Financial accounting without a state	Accounting, Organizations and Institutions	Chapman, Cooper and Miller	2009	Oxford UP
Rothstein	The origins of regulatory uncertainty in the UK food safety regime	Uncertain Risks Regulated: National, EU and International Regulatory Models Compared	Vos, Everson and Scott	2009	Routledge-Cavendish

A3 – Articles in refereed journal papers**Total: 21**

Author(s)	Article title	Journal	Vol	Date	Pages
Demortain	Legitimation by standards. Transnational experts, European Commission and the regulation of novel food	Sociologie du Travail	51(2)	2009	104-16
Downer	Trust and technology: The social foundations of aviation regulation	British Journal of Sociology	61(1)	2010	87-110
Gilad	Juggling conflicting demands: The case of the UK Financial Ombudsman Service	Journal of Public Administration Research and Theory	19(3)	2009	661-80
Hood, Jennings, Beeston, Dixon and Hogwood	Testing times: Exploring staged responses and the impact of blame management strategies in two exam fiasco cases	European Journal of Political Research	48(6)	2009	695-722
Huber	Was ist 'systemisches Risiko'? Anmerkungen zu den Risiken der Risikokommunikation	GAIA	18(1)	2009	9-12
Huber	Hochschule als Organisationsproblem	Soziologische Revue	32(1)	2009	62-5
Huber	Wissenschaft unter Beobachtung. Effekte und Defekte von Evaluationen.	Soziologische Revue	32(3)	2009	302-5
Jennings	The public thermostat, political responsiveness and error-correction: border control and asylum in Britain, 1994-2007	British Journal of Political Science	39(4)	2009	847-70
Jennings and John	The dynamics of political attention: Public opinion and the Queen's speech in the United Kingdom	American Journal of Political Science	53(4)	2009	838-54
Lodge	The public management of risk	Review of Policy Research	26(4)	2009	395-408
Lodge	Public Service Bargains, New Public Management und Variationen in Verwaltungsreformen	Der Moderne Staat	2(1)	2009	37-52
Lodge and Wegrich	High quality regulation: Its popularity, its tools and its future	Public Money & Management	29(3)	2009	145-52
Lodge and Stirton	Beyond the 'inherited model': Public service bargains in the Commonwealth Caribbean	Social and Economic Studies	58(1)	2009	43-67
Lodge, McElroy and Wegrich	Dodgy kebabs everywhere? Argumentation and worldviews	Public Administration	88(1)	2010	247-66
Macrae	Making risks visible: Identifying and interpreting threats to airline flight safety	Journal of Occupational and Organizational Psychology	82(2)	2009	273-93

Author(s)	Article title	Journal	Vol	Date	Pages
Mansnerus	The lives of 'facts' in mathematical models: A story of population-level disease transmission of haemophilus influenzae type b bacteria	BioSocieties	4(2-3)	2009	207-22
Mennicken, Preda and Vollmer	Tracking the numbers: Across accounting and finance, organizations and markets	Accounting, Organizations and Society	34(5)	2009	619-37
Power	The risk management of nothing	Accounting, Organizations and Society	34	2009	849-55
Power	Performance and the logic of the audit trail	Hurly-Burly: The International Lacanian Journal of Psychoanalysis	1	2009	193-201
Power	Bankrupt: Global lawmaking and systemic financial crisis	Canadian Journal of Sociology	34(4)	2009	1124-7
Vestergaard	'More heat than light'. On the regulation of international finance	Economic Sociology	10(2)	2009	6-10

A4 – Discussion papers**Total: 8**

Author	Title	
Downer	When failure IS an option: Redundancy, reliability and risk	53
Downer	Watching the watchmaker: On regulating the social in lieu of the technical	54
Jennings and Lodge	Governing mega-events: Tools of security risk management for the London 2012 Olympic Games and FIFA 2006 World Cup in Germany	55
Mansnerus	Modelled encounters with public health risks: How do we predict the 'unpredictable'?	56
Demortain	The many meanings of standard. The politics of the international standard for food risk analysis	58
Etienne	The impact of regulatory policy on individual behaviour: A goal framing theory approach	59
Mansnerus	Silence of evidence in the case of pandemic influenza risk assessment	60
Downer	Anatomy of a disaster: Why some accidents are unavoidable	61

A5 – Other publications (working papers, monographs, pamphlets)**Total: 18**

Author	Title	Series	Date
Black	Legitimacy and the competition for regulatory share	LSE Law Department WP Series 14	2009
Demortain	Discourses that standardise. Why management models are useful instruments	Risk & Regulation 18	2009
Downer	The perils of perfection	Risk & Regulation 18	2009
Downer	Epistemological chicken	Cabinet Magazine 34	2009
Hofmann	Risk, transnational regulation and the public good. Insights from Internet address management	Risk & Regulation 18	2009
Hofmann	Zukunft der digitalen Bibliothek (Future of the digital library)	Aus Politik und Zeitgeschichte 42-3	2009
Hood and Miller	Risk and public services	CARR/Public Services Programme	2009
Huber	Universitätsreform und Entdemokratisierung.	Powision 2: 9-11	2009
Hutter	Why organizations need to be regulated: Lessons from history	QFinance	2009
Hutter	Accepting risk in society	Society Now, spring 2010, issue 6	2010
Jennings and Lodge	Security and risk management for sporting mega-events	Risk & Regulation 16	2008
Jennings	London 2012 – A risk-based games?	Risk & Regulation 18	2009
Lawless, Shaw and Mennell	The current position of fingerprint evidence – A literature review	Submitted to Fingerprint Inquiry Scotland, Scottish Ministers	2009
Lloyd-Bostock	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	End of Award Report to ESRC	2010
Lloyd-Bostock	Risk based approaches and medical regulation by the General Medical Council	CARR/Public Services Programme	2009
Mansnerus and Torny	Avoidable Catastrophes? The assessment and management of global pandemic risks	Risk & Regulation 17	2009
Mennicken	Intersections between economic sociology and law: Interview with Gunther Teubner	Economic Sociology – European Electronic Newsletter 10(3), 26-28	2009
Mennicken	A Conversation with Richard Sennett	Economic Sociology – European Electronic Newsletter 10(2): 27-32	2009

Appendix 6

Statement of Expenditure for the 12 months ending 31 March 2010

Funding source	April '09 to March '10 £000's	Expenditure	April '09 to March '10 £000's
Economic and Social Research Council (ESRC)	639	Staff costs	556
Deutsche Bank / British Academy / PWC	40	Travel and subsistence	20.5
		Other research costs	91
		Equipment	4.5
		Consumables	7
Grand total	679	Grand total	679

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.

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