

**ANNUAL REPORT**

**Academic Report 2001-2002**

## WARDEN'S LETTER

In September 2002, *The Times* carried a story that the BBC is spending £5 million on its 'Fame Academy' for twelve would-be popstars. This figure stuck in my mind, since it is broadly what Nuffield College spends each year on education and research. At the same time, newspapers were quoting figures of £100 million or more being spent by rival syndicates attempting to win the America's Cup yacht races. This is the total value of the College's endowment, the income from which provides a large part of our funding of students and fellows.

Readers of the College's Annual Report can form their own view of the relative value society today attaches to different activities. The report contains accounts of the achievements of Fellows and students over the past year. The College had 72 students at the beginning of the year. The first point to note is that there has been a shift in the gender balance: 40 women and 32 men in 2001-2, compared with 32 women and 42 men in the previous year. The second point to note is the academic success of Nuffield students. As you can see from later pages, 14 students completed their doctorates and 12 completed master's degrees. Michael Grubb won the George Webb Medley Prize for the best performance in written papers in the M Phil in Economics, and shared with Cameron Hepburn (now a student of the College) the Prize for the best M Phil thesis. Later in the Report are photographs of the new students in October 2002 and of JCR activities. I should note here the successes of the cricket team in their new shirts and of the Nuffield Intercollegiate Quiz Team, which reached the semi-finals of the University competition, which was a remarkable achievement for a team with no natural scientists, literature students or classicists.

Turning to the Fellowship, the reader can see that reports on their research extend for more than 60 pages. Even leaving aside our Emeritus Fellows, many of whom are actively publishing, and Visiting and Honorary Fellows, the College is supporting some 60 Fellows engaged in graduate teaching and research. The subjects on which they have written include, to mention just a few, the extinction of whales, the 2001 General Election, waiting times for hip replacements, social mobility in India, understanding economic forecasts, international order after September 11, auction design, reform of the House of Lords, mortgage credit, and deliberative democracy. Their reports also draw attention to the contributions made by Fellows to the running of the University. The Heads of both the Economics Department and the Sociology Department are at Nuffield. Ray Fitzpatrick is Director of the Institute of Health Sciences. Laurence Whitehead is Chairman of the Area and Development Studies Committee. Also of note is the hosting by the College of the bi-annual meeting of Research Committee 28 of the International Sociological Association in April 2002. This was organized by Geoff Evans, Anthony Heath and Meir Yaish, with considerable help from Sociology students and research fellows.

In July 2002, David Miller and Megan Vaughan were elected Fellows of the British Academy, which brings to 24 the total of Fellows in Nuffield (and the current President of the Academy is an Honorary Fellow). David Hendry was elected a Fellow of the Royal Society of Edinburgh. In the University's Distinction Exercise, the title of Professor of Economic History was awarded to Bob Allen, the title of Reader in Statistical Epidemiology was awarded to Lucy Carpenter, the title of Professor of the Sociology of Politics to Geoff Evans, the title of Professor of Political Theory to David Miller, and the title of Reader in Comparative Government to Chris Wlezien. Michael Brock was awarded a D. Litt. by the University. The September 2002 issue of the *Journal of Imperial and Commonwealth History* contained an article celebrating the work of

Freddie Madden.

This year saw the retirement of two long-serving members of the Fellowship. John Goldthorpe has been an Official Fellow in Sociology since 1969, and I take this opportunity of thanking him for his great and much-valued contribution to the College. He has had a lasting influence on sociology in Nuffield, in Europe and world-wide. His work is much appreciated by other social scientists, as is evidenced by the fact that he was invited this year, with Robert Erikson, to contribute a paper on 'Intergenerational Inequality' to the *Journal of Economic Perspectives*, one of the most read of all US economics journals. Clive Payne has been a Fellow of the College since 1978, having been first Chief Programmer on the Social Mobility Project, and in recent years Director of the Computing and Research Support Unit in the Social Studies Faculty Centre. In College, he has contributed a great deal to the painless achievement of a technological revolution, as well as serving as a most conscientious Senior Tutor. Gordon Marshall, on leave for the past 3 years as Chief Executive of the ESRC, has resigned his Official Fellowship in Sociology on being appointed Vice-Chancellor of the University of Reading. His administrative skills were already apparent at Nuffield, where he narrowly escaped being Acting Warden, and we wish him well in his new post. Adrian Pagan, Professorial Fellow in Economics, has been a most welcome visiting professor. I would also like to thank the Investment Bursars for the past two years. John Muellbauer had, as he notes in his report, to deal with one of the most difficult periods for equity markets. Kevin Roberts, on the property side, secured for the College a long lease on property in George Street that will allow the College a range of options in the future.

Last year we introduced the innovation of photographs, and these give a flavour of the academic and non-academic lives of Fellows, Students and Staff. I would like to draw attention first to the photograph of Professor Ken Shepsle of Harvard after the first Vincent Wright Memorial Seminar. Vincent would, I hope, have appreciated the distinction of the speaker and have liked to see that students surround him in the photograph. The collection of essays in memory of Vincent, *The Jacobin Legacy in Modern France*, has just been published by Oxford University Press, edited by Sudhir Hazareesingh. The second photograph was taken at the Symposium in honour of Sir Charles Pollard, who has recently retired as Chief Constable of Thames Valley Police and who served as a Visiting Fellow from 1992 to 2000. The fact that Nick Ross from *Crimewatch* was one of the participants shows that we do not ignore the BBC entirely.

The third and fourth photographs show the new Buttery and Serving Area that have been radically transformed in a way that adds to the College's amenities. I am most grateful to Gwilym Hughes, the Bursar, for over-seeing the operation, the staff of the Kitchen and Buttery, who worked for many months under difficult conditions, and the members of the College for their patience. As in previous years, I would like to take this opportunity of thanking all College staff for their great contribution to the work and life of the College.

Sadly, this year we lost Francis Seton, a much loved Emeritus Fellow. Francis became a Research Fellow of the College in 1950, and Official Fellow in Economics in 1953. He served as Senior Fellow from 1971 until he retired in 1987, and in that capacity presided over the election of two Wardens. He died on 7 January 2002, and on 2 March 2002 the College held a Memorial Meeting, at which we celebrated his many contributions to economics and to the life of the College, and his children and grandchildren played music that he would much have appreciated.

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## THE COLLEGE IN 2001-2002

### *Visitor*

The Rt Hon The Lord Phillips of Worth Matravers, Master of the Rolls

### *Warden*

Sir Tony Atkinson FBA

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## THE FELLOWSHIP

At the start of the academic year, there were in total 76 Fellows of the College (excluding Honorary and Emeritus Fellows), 34 being 'permanent' and 43 on fixed-term appointments.

### *Fellows*

Laurence Whitehead, *Official Fellow*

John Goldthorpe FBA, *Official Fellow*

Kenneth Macdonald, *Faculty Fellow and Chair of Sociology Group*

Richard Mayou, *Professorial Fellow*

Christopher Bliss FBA, *Professorial Fellow*

Clive Payne, *Faculty Fellow*

David Miller, FBA, *Official Fellow*

John Muellbauer FBA, *Official Fellow and Investment Bursar*

David Hendry FBA, *Professorial Fellow*

John Darwin, *Faculty Fellow and Chair of Politics Group*

Duncan Gallie FBA, *Official Fellow and Fellow Librarian*

Raymond Fitzpatrick, *Faculty Fellow and Dean*

Megan Vaughan, FBA, *Faculty Fellow*

Anthony Heath FBA, *Professorial Fellow*

Margaret Meyer, *Official Fellow, Chair of Economics Group*

Andrew Hurrell, *Faculty Fellow*

Geoffrey Evans, *Official Fellow*

Neil Shephard, *Official Fellow*

Lucy Carpenter, *Faculty Fellow, Chair of Senior Common Room and Adviser to Women Students*

Gordon Marshall FBA, *Official Fellow*

Iain McLean, *Official Fellow*

David Firth, *Faculty Fellow*

Yuen Khong, *Faculty Fellow*

Paul Klemperer FBA, *Professorial Fellow*

Gwilym Hughes, *Supernumerary Fellow and Bursar*

Mark Armstrong, *Official Fellow*

Alec Stone Sweet, *Official Fellow*

Jeremy Richardson, *Supernumerary Fellow and Senior Tutor*

Kevin Roberts, *Professorial Fellow and Investment Bursar*

Adrian Pagan, *Visiting Professor in Economics, Professorial Fellow*

Richard Breen FBA, *Official Fellow*

Ian Jewitt, *Official Fellow*

Robert Allen, *Reader in Recent Social and Economic History*

Christopher Wlezien, *Faculty Fellow*

***Visiting Fellows***

Tim Holt, *Professor of Social Statistics, University of Southampton*

Tessa Jowell, *Secretary of State for Culture, Media and Sport, MP for Dulwich*

Angela Coulter, *Executive Director, Picker Institute*

Dame Brenda Hale, *Judge of the Court of Appeal*

Sir Richard Wilson, *Secretary of the Cabinet and Head of the Home Civil Service*

David Potter, *Founder Chairman and Chief Executive, Psion plc*

David Willetts, *MP for Havant, Shadow Secretary of State for Social Security*

Martin Wolf, *Associate Editor, Financial Times*

Bill Callaghan, *Chairman of the Health and Safety Executive*

Moira Wallace, *Head of Social Exclusion Unit, Cabinet Office*

Sir Christopher Bland, *Chairman BT*

Vince Cable, *MP for Twickenham*

Frances Cairncross, *Management Editor, The Economist*

Frank Vandenbroucke, *Minister of Social Affairs and Pensions, Belgian Federal Government*

Len Cook, *National Statistician and Registrar General*

Gus O'Donnell, *Director of Macroeconomic Policy and International Finance, HM Treasury, and Head of the Government Economic Service*

Ian Blair, *Deputy Commissioner, Metropolitan Police*

***Emeritus Fellows***

Ian Little FBA

Uwe Kitzinger

John Flemming FBA

Max Hartwell

David Fieldhouse FBA

Freddie Madden

Francis Seton

James Sharpe

Terence Gorman FBA

A H Halsey FBA

David Butler FBA

Maurice Scott FBA

Lord McCarthy

Sir James Mirrlees FBA

Nevil Johnson

Noel Gale Byron Shafer

***Honorary Fellows***

Sir Donald MacDougall FBA

Rt Hon Lord Callaghan

Rt Hon Sir Edward Heath

Jean Floud

Kenneth Robinson

Michael Brock

Manmohan Singh

Sir David Cox, FRS FBA

The Rt Hon Lord Bingham of Cornhill  
Martin Feldstein FBA  
Lord Hurd of Westwell  
Sudhir Mulji  
Lord Runciman FBA  
Amartya Sen FBA  
Sir Adrian Swire

***Research Fellows***

Richard Spady, *Senior Research Fellow in Economics*  
Hyun Shin, *Senior Research Fellow*  
Stephen Bond, *Research Fellow in Public Economics*  
Jurgen Doornik, *Research Fellow*  
Bent Nielsen, *University Lecturer in Economics*  
Karma Nabulsi, *Open Prize Research Fellow*  
Patrick Schmidt, *Research Fellow*  
Lucy White, *Open Prize Research Fellow*  
Meir Yaish, *Open Prize Research Fellow*  
Ola Elerian, *Open Prize Research Fellow*  
Volker Nocke, *Open Prize Research Fellow*  
Steve Fisher, *Postdoctoral Research Fellow*  
Stuart Soroka, *Gwilym Gibbon Postdoctoral Research Fellow*  
Herman van de Werfhorst, *Postdoctoral Research Fellow*  
James Engle-Warnick, *Postdoctoral Research Fellow*  
Erik Eyster, *Postdoctoral Research Fellow*  
Hans-Martin Krolzig, *Research Fellow*  
Adam Swift, *British Academy Research Fellow*  
Michael Biggs, *Research Fellow*  
Alice Sullivan, *British Academy Research Fellow*  
Robert Taylor, *ESRC Research Fellow*  
Javier Garcia de Polavieja, *Postdoctoral Research Fellow*  
Christian List, *Postdoctoral Research Fellow*  
Oliver Grant, *Postdoctoral Research Fellow*  
Elaine Tan, *Postdoctoral Research Fellow*

***Associate Members***

Nan Dirk De Graaf  
James Piscatori  
Sarah Harper  
Geoffrey Dudley  
Sonia Mazey  
Alain Jeunemaître  
Brian Henry  
Robert Andersen  
Dionyssis Dimitrakopoulos  
David Levi-Faur  
Joni Lovenduski  
Siem Jan Koopman

Avner Offer  
Jean-Claude Sergeant  
Andrew Chesher  
Gavin Cameron  
Nanny Wermuth  
Andreas Busch  
Vered Kraus

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## **NEW ELECTIONS 2002-2003**

### ***Professorial Fellowship***

Desmond King, Professor of Politics, St John's College, Oxford

### ***Visiting Fellowships***

Norman Glass, Director, National Centre for Social Research

Mervyn King, Director and Deputy Governor, Bank of England

Sir Howard Newby, Chief Executive of the Higher Education Funding Council

Andrew Nairne, Director, Museum of Modern Art, Oxford

### ***Postdoctoral Prize Research Fellowships***

The Postdoctoral Research Fellowship elections in January attracted a field of 240 candidates. The following were elected to PPRFs:

James Tilley, (Political Knowledge and Heterogeneous Electorates), student of the College

Michelle Jackson, (How Far Merit Selection? Occupational Attainment in Comparative Perspective), student of the College

Natalia Letki, (Social Capital: Political Context and Individual Behaviour in a Comparative Perspective), student of the College

Mark Kayser, (Opportunistic Election Calling, Economic Interdependence, and Electoral Politics), University of Chicago

Thomas Kittsteiner, (Favourable Mechanisms to Dissolve Partnerships), University of Mannheim

### ***Guardian Research Fellowship***

Andy Webb, Freelance Documentary Producer/Director

### *Emeritus Fellowships*

John Goldthorpe

Clive Payne

### *Non-stipendiary Research Fellowships*

Sean Carey, Harvard University

Karma Nabulsi, Prize Research Fellow

### *Associate Members*

Richard Johnson, Professor of Political Science, University of British Columbia

Christopher Smallwood, Consultant, Brunswick Group

Lauren McLaren, Lecturer, Department of Politics and International Relations

Paul David, Professor of Economics, Stanford University

Nancy Cartwright, Professor, Department of Philosophy, Logic and Scientific Method, LSE

Sophie Duchesne, CNRS Fellow, Maison Française

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### **COLLEGE OFFICERS 2001-2002**

Warden	Sir Tony Atkinson
Senior Tutor	C Payne
Investment Bursars	J N J Muellbauer/K
Bursar	Roberts
Dean	G Hughes
Fellow Librarian	R Fitzpatrick
Librarian	D Gallie
Technical Services	E Martin
Fellow	I McLean
Information Systems	Richard Gascoigne
Manager	A Heath
Keeper of the	S Fisher
College Gardens	L Carpenter
Junior Dean	M Yaish
Adviser to Women	C List
Students	M Yee
Dean of Degrees	M Meyer
Deputy Dean of	J Darwin
Degrees	K Macdonald



Chaplain                    L Carpenter  
Chairman of  
Economics Group  
Chairman of Politics  
Group  
Chairman of  
Sociology Group  
Chairman of Senior  
Common Room

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## STUDENTS

At the start of the academic year 2001-2002, there were 72 students in College. There were 32 men and 40 women. 26 were from the UK, 15 from other EU countries, and 31 from elsewhere. Their distribution by group and status was as shown below:

### Groups

Status	Economics	Politics	Sociology	Interdisciplinary
M Litt/Prob				
Res/D Phil	10	15	24	5
M Phil	10	7	-	1
M Sc	-	1	-	-
<b>Total</b>	<b>20</b>	<b>22</b>	<b>24</b>	<b>6</b>
<b>Visitors</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>-</b>

For the academic year 2002-03, 43 studentships were offered including one deferred from 2001-02. In the event, 27 studentships were taken up, 10 by men and 17 by women. 7 of the new students are from the UK, 8 from other EU countries, and 12 from elsewhere. The distribution by Group is Economics 8, Politics 6, Sociology 10 and Interdisciplinary 3. 12 current students completed either an MSc or M Phil and 7 will stay on to pursue a D Phil.

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## NEW STUDENTS 2001/2002

Vikki Boliver    PRS Sociology  
Sarah Butt        MSc Politics  
Jennifer Castle   MPhil Economics  
Nicholas  
Cheeseman        MPhil Politics  
Donna Chung     DPhil Politics  
Carol Cohen      MPhil Economics  
Vivien  
Collingwood      DPhil Politics

Lynn Prince Cooke	PRS Sociology
Elisa Diaz Martinez	PRS Sociology
Catherine Douglas	PRS Sociology
David Gill	DPhil Economics
Carmel Hannan	PRS Sociology
Jennifer Haydock	MPhil Economics
Radomir Jansky	DPhil Politics
Kohei Kawamura	MPhil Economics
Sonja Keller	MPhil Economics
Tehmina Khan	MPhil Economics
Patti Lenard	PRS Politics
Serena Pattaro	PRS Sociology
Raphael Schapiro	DPhil Modern History
Marina Shapira	PRS Sociology
Arthur Spirling	PRS Politics
Emily Tanner	PRS Social Policy and Social Work
Dominic Tierney	DPhil Politics and IR
Jacinta Tan	PRS Sociology
<b><i>VISITING STUDENTS</i></b>	
Martin Benavides	DPhil Sociology
Jaime Lluch	DPhil Politics
Heino Bohn Nielson	DPhil Economics
Leire Salazar	DPhil Sociology

## **GRADUATING STUDENTS**

During the course of the year, the following students or former students were given leave to supplicate.

(E = Economics; P = Politics; S = Sociology; ID = Interdisciplinary)

***D Phil:***            ***Thesis Title:***

- Giulio Federico (E) Essays in Contract Theory: Applications to Donor Conditionality and to Electricity Market Design.
- Tung Jean Lee (E) Determinants & Outcomes of Foreign Acquisitions: Explaining & Evaluating the Investment Decisions of Multinational Enterprises.
- Luca Nunziata (E) Institutions and Labour Markets: Essays on the Macroeconomics of OECD Countries.
- Jacqueline O'Reilly (E) Mergers and R&D: A Theoretical and Empirical Perspective.
- John Thanassoulis (E) Bundling and Lotteries: Optimal Pricing for Multiproduct Firms.
- Emmanouil Venardos (E) Derivatives Pricing and Ornstein-Uhlenbeck type Stochastic Volatility.
- Torun Dewan (P) When the Party's Over: Explaining and Predicting Party Splits in Liberal Democracies.
- Evelyn Goh (P) From 'Red Menace' to 'Tacit Ally': Constructing the US Rapprochement with China, 1961 to 1974.
- Francisco Gonzalez (P) The Political Economy of 'Dual Transitions': Economic Liberalisation and Political Democratisation in Chile and Mexico, 1970-2000.
- Daniel McDermott (P) Retribution and the Legitimate State.
- Amy Berrington (S) Epidemiological Evidence for the Cancer Risks from Diagnostic X-rays.
- Susanne Choi (S) Social Networks and the Economic Integration of Immigrants: The Chaozhou and Fujianese in Hong Kong.
- Ann Kirkman (S) Right sin State and Society: Rhetoric and Reality for Refugees in Contemporary South Africa.
- James Tilley (S/ID) Social and Political Generations in Contemporary Britain.

In the University examinations the following were successful:

***M Phil***

***Economics***

- Padraig Dixon Do Dynamics and Heterogeneity Matter for the Equipment Investment-Growth Nexus.
- Michael Grubb Communication Games: Ignorant Experts and Resume Wars.
- Carolina Monslave Determinants of Emerging Market International Bond Issuance: An Empirical Investigation.
- Hongjun Zhong Economics of Information, Financial Economics and Game Theory and their Application to China's Economy.

Michael Grubb was winner of the 2002 George Webb Medley Prize for the Best Performance in Written Papers and shared the George Webb Medley Thesis Prize.

***M Phil  
Politics***

- Elisabeth Ivarsflaten Reconsidering the Populist Right's Challenge to Contemporary Democracies in Western Europe: A Critical Evaluation of Kitschelt's Account.
- Juliet Kemp New Labour Members: Disagreements with the Party Leadership
- Terry Macdonald The Normative Issues of NGOs in the International System.
- Richard Muir The Dilemma of Social Democracy. The Politics of the Left in Chile and Uruguay after Transition.
- Zofia Stemplowska A Comparative perspective to Issues of Social Identity and Government (UK, Poland, France).
- Edward Turner A Comparative Study of the Post-Communist successor Parties in Germany (PDS), Czech Republic (KSCM) and Slovakia (SDL).

***M Sc  
Politics***

- Sarah Butt Voting Behaviour

***M Phil Development Studies (Interdisciplinary)***

- Chavi Nani Transformation of NGOs and Political Parties in the Palestinian Israeli Minority.

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**APPOINTMENTS OF LEAVING/GRADUATING STUDENTS**

Clare Chambers was appointed temporary Lecturer in Political Theory at the London School of Economics and Political Science.

Rui Fernandes was appointed to a post at Lehman Brothers, London.

Evelyn Goh was appointed Assistant Professor at the Institute of Defence and Strategic Studies, Singapore.

Ben Jackson was appointed Politics Lecturer at University College, Oxford and Junior Dean at Somerville College.

Michelle Jackson was elected to a Nuffield College Postdoctoral Prize Research Fellowship.

Natalia Letki was elected to a Nuffield College Postdoctoral Prize Research Fellowship.

Margaret McCown was elected to a Postdoctoral Fellowship at the Max Planck Project Group in Bonn.

Daniel McDermott was elected to a Postdoctoral Research Fellowship at the Research School of Social Sciences, Australian National University.

Alison Parkinson was appointed Research Fellow in Management Education and Learning, Harrow Business School, University of Westminster.

Berthold Rittberger was appointed Postdoctoral Research Fellow in the Department of Public

Administration, University of Leiden.

James Tilley was elected to a Nuffield College Postdoctoral Prize Research Fellowship.

Elizabeth Waters is Senior Lecturer at the Department of Paediatrics, University of Melbourne and Director of the Research and Public Health Unit.

Jo Webb was accepted by Saffery Champness, London, as a trainee chartered accountant.

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## VISITORS

Andrew Abbott, University of Chicago. Sponsor: Kenneth Macdonald.

Robert Andersen, Senior Research Fellow at CREST. Sponsor: Anthony Heath.

Tom Brooking, University of Otago. Sponsor: John Darwin.

Paula Casal, Kennedy School of Government. Sponsor: David Miller.

Stephen Cecchetti, Ohio State University. Sponsor: Adrian Pagan.

Martina Conticelli, University La Sapienza, Rome. Sponsor: Alec Stone Sweet. (Jemolo Fellow).

Alessia Doná, Universities of Siena and Trento. Sponsor: Alec Stone Sweet. (Jemolo Fellow).

Natalia Fabra, European University Institute. Sponsor: Meg Meyer.

Johannes Fedderke, University of the Witwatersrand. Sponsor: David Hendry.

Hans Grüner, University of Mannheim. Sponsor: Meg Meyer.

Peter Haas, University of Massachusetts. Sponsor: Jeremy Richardson.

Giorgio La Malfa, Catania University, (Member of Italian Parliament). Sponsor: Tony Atkinson. (Jemolo Fellow)

Christine Lipsmeyer, Belmont University, Nashville. Sponsor: Geoff Evans.

Judah Matras, University of Haifa, Israel. Sponsor: Meir Yaish.

Michael Peters, University of Toronto. Sponsor: Mark Armstrong.

Maria Celi Scalon, Research Graduate Institute of Rio de Janeiro. Sponsor: John Goldthorpe.

Vivien Schmidt, Boston University. Sponsor: Jeremy Richardson..

Cristina Solera, European University Institute. Sponsor: Richard Breen. (Jemolo Fellow).

Patty Solomon, University of Adelaide. Sponsor: Duncan Gallie.

Peter Temin, Massachusetts Institute of Technology. Sponsor: Tony Atkinson.

Louis-André Vallet, LAMAS-Institut, University of Caen. Sponsor: John Goldthorpe.

Oksana Zabko, Riga Stradins University. Sponsor: David Firth. (East European Visitor).

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## **CONFERENCES IN COLLEGE**

### ***Michaelmas Term***

OneCityOxford  
(The Warden)

Conference on Levy Processes  
(N Shephard and O Barndorff-Nielsen)

### ***Hilary Term***

Vincent Wright Graduate Workshop  
(J Richardson)

Rational Choice Approaches  
(K Shepsle)

Republicanism  
(K Nabulsi)

Modelling Budgetary Policy Change  
(S Soroka and C Wlezien)

### ***Trinity Term***

Graduate Workshop on International Normative Theory  
(V Collingwood, P Lenard and T Macdonald)

Royal Economics Society Easter School in Econometrics Nuffield  
(B Nielsen, N Shephard and D Hendry)

RC28 Sociology Conference  
(M Yaish, G Evans and A Heath)

Conference on Conceptualising Trust – Interdisciplinary Approaches  
(D Miller, S Soroka and P Lenard)

Conference for Economic and Social History Students  
(B Allen)

Theories of Regulation  
(D Levi Faur)

Conference on The Great Divergence  
(J Darwin and B Allen)

Randomised Controlled Trials in the Social Sciences: Symposium in Honour of Sir Charles Pollard  
(R Fitzpatrick)

The Usual Channels' (Hansard Society)  
(D Butler)

Workshop on The Experience of Expulsion  
(K Nabulsi)

Royal Statistical Society Summer School for PhD students  
(N Shephard and D Firth)

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## **SEMINARS IN COLLEGE**

### ***Stated Meeting Seminars***

November: 'Reforming Social Security'  
(David Willetts)

March: 'The Politics of Risk'  
(Vince Cable)

June: 'The Future of EU Social Policy'  
(Frank Vandenbroucke)

### ***Seminars in College***

Graduate Workshop in Economic and Social History  
(S McAndrew, R Schapiro and S Mahone) *Michaelmas, Hilary and Trinity Terms*

Workshop in Economics, Philosophy and Cognition  
(C List and E Tan) *Michaelmas, Hilary and Trinity Terms*

Econometric Seminars  
(D Hendry and N Shephard) *Michaelmas, Hilary and Trinity Terms*

Macro and Trade Seminars  
(C Bliss and J Muellbauer) *Michaelmas and Hilary Terms*

Graduate Workshop in Political Science  
(E Lim and B O'Loughlin) *Michaelmas and Hilary Terms*

Media and Politics Seminars  
(D Butler and P Coulter) *Michaelmas and Trinity Terms*

Seminars in Economic Theory and Econometrics  
(N Shephard and I Jewitt) *Michaelmas Term*

September 11: Implications for World Politics  
(A Hurrell and Y F Khong) *Michaelmas Term*

American Politics Seminar Series  
(C Wlezien) *Michaelmas Term*

Sociology Seminars  
(R Breen and H van de Werfhorst) *Michaelmas Term*

Social Mobility and Meritocracy: Interdisciplinary Perspectives on Current Issues  
(J Goldthorpe and A Swift) *Hilary Term*

Seminars in Economic Theory and Econometrics  
(M Armstrong and J Muellbauer) *Hilary Term*

A New Research in Comparative Political Science  
(G Evans and S Whitefield) *Hilary Term*

Comparative Democratisation Seminar  
(L Whitehead and G Williams) *Hilary Term*

Political Science Seminar Series  
(G Evans, I McLean and C Wlezien) *Trinity Term*

Graduate Workshop in International Normative Theory  
(V Collingwood, P Lenard and T MacDonald) *Trinity Term*

The Function of Law in the International Community  
(A Hurrell and G Goodwin-Gill) *Trinity Term*

Sociology Seminars  
(E Harrison, M Dieckhoff and V Gash) *Trinity Term*

Seminars in Economic Theory and Econometrics  
(M Meyer and D Hendry) *Trinity Term*

International Economics and Macroeconomics Seminars  
(C Bliss and J Muellbauer) *Trinity Term*



## **BURSAR'S REPORT**

Regular readers will remember how, at the end of the last chapter, we were in the thick of a kitchen and buttery refurbishment. This £1,500,000 modernisation project involved much of the eastern wing of the College and has provided a brand new kitchen and buttery area, excellent staff welfare facilities and improved access to all the public areas – including a lift to the new toilet facilities outside the Senior Common Room. This involved about 40 weeks of disruption and could not have been achieved without the invaluable support of all the catering staff. Special thanks are due to Neville Powell and his maintenance team for keeping control (mostly) of the contractors and my own grateful thanks to the Bursary staff who suffered the brunt of the dirt and noise without mutiny (mostly). It has been a pleasure to be involved in a project that has been so well received by staff and ‘customers’ alike and which was delivered on time and to budget. But the undoubted highlight was the discovery of a source of pure water in the subterranean depths of the buttery which is now being bottled on site; these elegant, sometimes fizzy bottles grace our dinner tables and, yes, they can be bought from the College Butler . . .

College members now occupy ten modern one bedroom and studio apartments in Stephenson House Thames Street. The College sold its older properties at 8 Bridge Street, 251 Woodstock Road and 2 Frewin Court.

The letting of 59 George Street to a restaurant chain offered the opportunity to develop the first and second floors into student accommodation. This is being presently undertaken on behalf of the College by Nuffield Properties Ltd, a wholly owned subsidiary company. The rooms will be completed in time for the new student intake in October 2002 and will provide the first student rooms in College that have the benefit of en suite facilities.

During this period there was a significant reorganisation of some key support services. Marion Rogers, as Academic Administrator, is now assisted by the Warden’s Secretary. The human resources team of Human Resources Manager, College Secretary, Personnel Assistant, and Assistant to the College Secretary formed an entirely new department in College. Together, they have dealt in their first year with a new student reception system, a Prize Post Doctoral Research Fellow competition and Studentship elections. They have recruited to fill vacancies in other departments, introduced a personnel database and have met all the statutory demands of health and safety, race relations and more in their stride, and are a very welcome addition to the College.

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## **FINANCE**

In the financial year to 31 July 2001 the General Fund portfolio rose in value from £96.7 million to £105.5 million. The proportion of the portfolio held in equities increased from 45.1% to 50%, bonds were 12.8% (15%) and property and other assets were 33.5% (32.5%). Cash rose from 2.2% to 3.7%. The Consolidated Trusts Fund remained constant in value at £15.4 million.

In this period, the College’s total income decreased by 3.4% to £4,914,000. An increase in net expenditure resulted in a deficit of £247,000. Our estimate of ‘notional income’ indicates that this left the College some £448,000 short of the amount needed in the General Endowment to maintain expenditure at this level on a permanent basis. The College was taxed £312,000 under the College contributions scheme.

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## **STAFF**

The following members of staff retired during the year:

Keith Skeats (Photocopying Operator from October 1994 to October 2001)  
Florence Russell (Domestic Assistant from September 1992 to December 2001)

The following left the College:

Vicky Randall (Secretary), Dawn Fowler (Domestic Assistant), John Page (Chef de Partie), Roger Axtell (Lodge Porter), Debbie Lyon (PC Support Analyst), Emma Price (Apprentice Chef), Salim Boudjemaa (Kitchen Porter), Margherita Martone (Buttery Assistant), Ffion Moyle (Research Assistant), Greg Burton (Finance Officer), Diana Stevenson (Assistant Librarian).

The following joined the staff:

Linda Stannard (H R Manager), Jane MacAlister (Personnel Assistant), Lucy Chevis (Warden's Secretary and Assistant to Academic Administrator), Claire Moran (Buttery Assistant), Ros Brook (Assistant to College Secretary), Maria Silva (Domestic Assistant), Marcia Silva (Domestic Assistant), Anthony Baughan (Chef de Partie), Sue Woodroff (PC Support Analyst), Don Richings (Lodge Porter), Bimla Safka (Reprographics Operative), Richard Ferguson (Kitchen Porter), Robert Lewis (Kitchen Porter), Linda Arch (Finance Officer), Daniel Hemmings (Apprentice Chef), John Grundy (Lodge Porter), Doreen Duncan (Secretary).

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## **LIBRARY**

Last year's report promised that we would concentrate particularly on our library users this year, and I am pleased to say that we have fulfilled our promise.

The library induction programme for new students has now been extended. All new students now receive a letter during the summer before they arrive, introducing them to the library and its facilities. Then, on their arrival, we hold a full morning's session of audio-visual presentations by Library staff, in conjunction with the IS Department, to give the new students a comprehensive introduction to library and IT facilities within college and in the wider world of Oxford. This is followed up by the traditional library tour, and the option of individual appointments if required. We have also started giving library induction courses to new members of secretarial staff who need to use the library as part of their work.

New external students receive tours of the library in groups at the beginning of Michaelmas term as they register. Having discovered anecdotally that Nuffield's generous access arrangements to non-Nuffield members were generally not well-known, we publicised our availability to graduate students across the University by sending out posters to other College and University Libraries. We opened for more days at Easter this year, which is of particular use to College visitors and external readers, and we opened experimentally on afternoons in August 2002, in contrast to our usual closed period in August, in response to a request from the Economics Group, endorsed by the Library Committee.

We have also been pleased to offer new Library Research Services to Fellows, as a pilot project from April to August 2002, but with the likelihood of it continuing after that. Amongst the services we are offering are: compiling bibliographies from online and printed sources; checking

periodical and monograph references for research articles or reading lists; collecting periodical articles together ready for photocopying; advising and training Fellows in the most efficient ways of accessing and searching bibliographic and full-text databases and websites, and help with accessing and using e-journal services, including current awareness. Fellows who have used these services have been very pleased with the results, and we are keen to extend this aspect of our work.

We are also compiling bibliographies (or links to them, where they already exist) of Fellows and former Fellows of the College, with a view to making the references available on the College website. This updates a project that had to be suspended some years ago due to pressure of work, but we feel it is worthwhile to try and pursue it again.

The revamped website appeared at the beginning of Trinity Term 2002, and it attracted many complimentary comments. The new site features the Library tower prominently, and a new unified colour scheme; it is clean-looking and easy to use. We are grateful to IS Department staff for their help in developing it. It is a three-tier site, so varying amounts of information are available for viewing depending on whether you are in College, Oxford or elsewhere, though in general you should not be aware of this and the joins should be seamless.

The catalogue conversion programme continued at a fine pace. The Tower monograph collection is now all on OLIS, and upgrading records unique to Nuffield continues, as does the slower job of adding pamphlets. The remaining outstanding categories are pamphlets, early government publications and the Special and Reserve Collections.

We registered 413 new readers during the year, and an additional 161 visitors were admitted to consult items held only at Nuffield, including 24 Archives readers. We have about 800 readers currently on our system, and at the end of the year 2951 items were out on loan to 137 library users. We bought 702 new monographs for the main collections, and a further 439 to continue to build up the Taught-Course reading list collection for the benefit of Masters' course students. 10 new periodicals subscriptions were started, and 10 cancelled (all were working papers now available on the web) leaving the same total number of subscriptions as last year: 1034.

As usual, we are most grateful for numerous donations to the Library from past and present college members and this year we have benefited particularly from John Goldthorpe's special collection on Social Mobility, which will be book plated and kept as a separate collection. We also received a number of books from John Goldthorpe and Clive Payne on their retirement, and many items from the Warden. We have set up a new part of our website to list and offer books that we have already in stock at Nuffield to other College and University libraries in Oxford, and this has proved a very popular and successful way of keeping both donors and Oxford librarians happy! Finally, we were pleased to receive a donation for the Cole Archive from Janet Abraham. Janet is G D H and Margaret's daughter, and the donation is an extensive collection of correspondence with her parents.

Library staffing was relatively stable this year. Diana Stevenson, Library Cataloguer, left in June to move to London, and Alison Mercer was the Graduate Trainee for the year. All staff continued to further their professional development with a wide variety of training courses, visits and external committee work.

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## JCR REPORT

A year so full of intrigue, turmoil and disruption for the Nuffield JCR that all future JCR Committee members would be advised to have ‘what doesn’t kill us . . .’ tattooed somewhere prominent. The preceding 365 days witnessed the biggest argument over massages since Arthur tried to persuade his girlfriend that the receipt in his pocket was for ‘that one is Soho where they only use their feet’, the end result of which was a full review of expenditure policy. Consistent with this reforming crusade, bar policy, the procedure for the housing ballot and just about everything else saw radical transformations. Despite it all there have been many highlights (for example, on the library tower and in Jenny’s hair), and more than enough solid performances to be able to dish out some JCR Awards.

Of course, thinking back to when writing this report was one year away none of these difficulties could have been predicted. Vanessa Gash (Most Stylish President) welcomed the new students with aplomb, and in those heady and halcyon days there was even the occasional alcoholic beverage consumed in the bar, such was the excitement. The belles of the ball were social secretaries Martina Dieckhoff (Most Suave JCR Smoker) and Svetlana Kataeva who joined Jon Quong (JCR Member Most Likely to Be Marlon Brando) as Treasurer and Chavi Nana as Secretary in supporting the reign of Vanessa. Money was lavished on providing for everything a JCR member could dream of and, even now, JCR members can be heard harking back to the ‘golden age’ when peace and prosperity flourished on the north side of New Road.

Continuing the merriment the traditional Nuffield Christmas Panto provided enough gossip and excitement to keep the 1st year entertained all the way up until December, with the scriptwriting ably led by Arthur Spirling (Nuffield’s Youngest Man) and general panto co-ordination going according to plan due to the all conquering presence and poise of one Lynn Cooke. Not only were the jokes fast and furious, but with fine acting performances from David Gill (The Thinking Man’s Irishman) and Jenny Haydock (Worst JCR Member To Sit Next To When England Lose To Brazil) demand was growing to take the highly original ‘Star Wars’ for a one afternoon run at the Burton Taylor. Arthur’s bared his soul – and more – to do justice to his highly taxing role as ‘Handsome Solo’ whilst Nic Cheeseman provided a prophetic vision of his future enlarged self as ‘Jabba the Hack’. Main targets of mirth were the Bursar, the long running kitchen redevelopment and the 2nd years’ preoccupation with whether or not they would be in the panto.

Hot on the heels of such a mature and deep production it was easy to see why the 1st years took so well to the children’s Christmas party. Saint Nic dished out presents to all and sundry whilst Patti Lenard, Sarah Butt and Jenny Castle worked valiantly to entertain the kids.

Of course nothing lasts forever and soon a new JCR Committee had taken over to find that deep down all was not well in land Nuffield. Despite the confident work of Vikki Boliver (JCR Member Most Likely To Ponce Your Cigarettes) as Treasurer, Pdraig Dixon (JCR Member Most Likely to Quote Shakespeare) as Secretary, Jenny Haydock and Carmel Hannan as Social Secretaries and Arthur Spirling as Bar Manager the JCR was rocked by a series of disputes between ‘insiders’ and ‘outsiders’. Valiant efforts by President Nic Cheeseman (JCR President Most Likely To Ask ‘Why Me?’) and the Committee to find a door so that the outsiders could come inside proved too literal, and so a series of new ‘all inclusive’ JCR policies were formed. With these in place, the good ship Nuffield JCR was steered away from rocky waters and into clear blue open waters (the colour of which made a refreshing change from the College water supply).

Aiding the process of team spirit and bonding were Nuffield’s fantastic sporting achievements. The women’s A team won Bronze in the Teddy Hall Relays thanks to outstanding performances

by Carol Cohen, Zosia Stemplowska and Chavi Nana. Not to be outdone the Nuffield cricket (the Knights) this year proved a striking example of the esprit de corps and enjoyment that spontaneously arise whenever individuals work very hard at organizing team sport. Praise is due then to captain Tom Norman for starting the season in January at Iffley Road's indoor school, an innovation that allowed us to spend the budget in the quickest time since records began, convert and recruit new players, and become, by common consent, the best drilled net team in Oxford bar none. As is to be expected in England we were mocked by the weather for the whole summer and our final net session in July was ended by a downpour of biblical proportions. In between the rain, however, the Knights still managed to beat most opposition (apart from Green) and often achieved this in style.

If we had a 'most improved player' award it would have gone to Erik Eyster (JCR Member Most Likely To Be Norwegian) who progressed from occasional net bowler to major strike force during the course of the winter. The main fireworks were provided by the mercurial Murtaza Syed who treated wayward bowling, slack batting and all forms of fielding practice with equal disdain. He was ably abetted by 'friend of Nuffield' Waqas (who also represented us in all contract negotiations) and the repatriated Dominic 'all or nothing' Tierney, who excelled with bat and ball. June brought better weather and the Nuffield grand slam of victories against St Antony's, our own SCR and Christchurch MCR, despite losing the captain with a gashed hand (not a Gashed hand, which is a wholly more pleasant experience) in the process. The most heartening aspect of this season was the enthusiasm of the Freshers, most notably Raph Schapiro for his evangelical love of cricket, Nic Cheeseman for his work on the slip cradle, and the charismatic contribution of A P A Spirling in every department of the game. Next year we take a leap into the unknown as we join the JCR league, seek to retain the Ashtray and hope that our decision to 'offer' Tom Norman a second term as captain will not produce a repeat performance from the Cotswolds own version of El Niño.

Similar stories of joy and wide-eyed wonderment abound from the Nuffield tennis team, although it has to be said that they entered this season with a fair amount of trepidation. Having got ourselves into Oxford's highest division could we hack the pace? The answer, surprisingly, was yes. Despite learning to play before top-spin was invented John Goldthorpe humiliated men young enough to be his grandson. Martin 'consistency' Smith received the player of the year award for (you've guessed it) consistently delivering the goods whilst Pablo, Javier and captain Nic Cheeseman all battled to scrape together the points to give Nuffield a respectable finish. Highlights included the 10-2 destruction of Keble and a valiant 7-5 defeat to Christ Church where, but for a shortage of players, a depleted Nuffield team would have overcome one of Oxford's best.

Not to be left out, it was another fine season for the Nuffield Lions on the football field. What we gave away in the harsh calculus of wins and losses, we made up for in grit, determination and, above all, entertainment. The season started well, with literally several wins over impudent young JCR sides, and some spectacular goals from new star Martin Benavides. The team of familiar (and some less familiar) Nuffield faces were in good form, spurred on by their inspirational captain Eric Harrison (JCR Member Most Likely To Not Be Able To See), whose silky skills and scouser charm drew comparisons with Kenny Dalglish. Before long though, what became known as the 'Curse of the New Kit' set in, and the Lions endured a tough MCR Cuppers campaign where football may have been the winner, but Nuffield definitely wasn't. The long winter seminars were taking their toll on fitness, and the Saturday morning fixtures were proving incompatible with several of the players' Friday night 'fixtures'.

Eric sought to recapture our form (and his youth) with a number of friendlies against local school teams, but this tactic backfired somewhat as Nuffield gallantly 'let them win'. Nonetheless, the

Lions emerged intact from the long dark winter, and enjoyed a more successful end to the season. Al McMillan put in some fine performances in midfield, whilst Herman van der Werfhorst took the Golden Boot with a late flurry of goals. Sadly we bid farewell to Herman this year, as well as to our longstanding goalkeeper Berthold Rittberger. Adam Swift is returning to Balliol, though we hope to retain his crucial services up front from time to time. In a fitting finale to the season, Eric was voted Player of the Year at the football dinner. Despite failing to secure sponsorship from the host curry-house, Tom Norman was awarded the inaugural Contributor of the Year Award, which some cynics suggested was dreamed up to sweeten the thankless task of next year's captaincy. His first move was to commit us to a tough Michaelmas campaign in the MCR League, but with a solid core of players in place and doubtless some fine new blood on the way, optimism is high.

With such sentiments running through the JCR there can be no doubt that next year we will reap the reward for this past year's pain and effort. To be honest, we deserve it. In conclusion, the JCR looks forward, as always, to playing its full role in Nuffield life. This includes welcoming, representing and serving its varied members. In addition, we look forward to continuing our excellent and 'special' relationship with the SCR: cooperating in formal arenas and socialising in informal ones. Lastly, and perhaps most importantly for present purposes, the JCR looks forward to inventing new prosaic and ambiguous platitudes for the end of JCR reports.

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## **NUFFIELD WOMEN'S GROUP**

Lured in by last year's dinner at Walton Street featuring *The Rules*, and other perfectly frivolous examples of feminism, the women's reading group was given a partial face-lift this past year. Particularly in the post-11 September period, it was difficult to stay away from political issues of international significance for women. And so, the Women's Reading Group kicked off Michaelmas term with heated discussions on issues such as the place of women in Islam, female genital mutilation, and the concerns of both women and men balancing family and work. These debates, attended by both male and female members of College (and no doubt our ever-present supply of wine and chocolate!), also attracted some members of St Antony's College – evidently our sister graduate college is not paying enough attention to women's issues . . . . As Michaelmas term progressed, however, the demands of work (and a high number of economics M Phils in the first year class!) saw Women's Group numbers dwindling. As the result, the Reading Group met less frequently. Instead, we combined relaxation and feminism in the form of sponsored film evenings in the JCR, viewing *Elisabeth* and *The Accused* from the comfort of the couches. The Women's Group rounded out the year with the Women's Dinner in early June. With the help of Meg Meyer and Lucy Carpenter, who returns as the Women's Fellow in the coming year (and the eternal patience of the kitchen staff), the dinner was a resounding success and conversations over port, cheese and chocolate lasted well into the night in the Fellow's Dining Room. Given the rapidly expanding number of women at Nuffield, I fear that Lynn Prince Cooke, this year's Women's Group representative, may be hard pressed to fit us all in the Fellow's Dining Room, but I am sure that she has a great schedule of events in store!

## INDIVIDUAL REPORTS

**The Warden Tony Atkinson.** Returning from nine months sabbatical leave (in 2000-2001) has made me realise how much I enjoyed being able to devote myself full time to research and how difficult it is during normal life to find uninterrupted time for research. The revisions in College administrative structure have made it more transparent and accountable but have required substantial investment of the Warden's time. The review of the College finances has been very necessary but has occupied much of the summer months.

In the interstices of College business, I have completed work on social indicators for the European Union. The report written with Bea Cantillon, Eric Marlier and Brian Nolan has been published by Oxford University Press, but even before publication a number of the recommendations had been adopted at the Employment and Social Affairs Council at Laeken in December 2001. For better or for worse, Europe now has a commonly agreed set of social indicators, and to their development social science research has made a significant contribution (as I argued in my 2002 ESRC Lecture in October 2002). Work on the evaluation of the National Action Plans on Social Inclusion continues as part of the MICRESA project funded by the Fifth Framework Programme of the European Union.

I have continued to work on the long-run development of income inequality. This project is long-term both in subject matter and in its execution. The ultimate goal is to assemble a full set of all available data for most OECD countries spanning the period 1800-2000, and to consider a wide range of possible explanations, with particular reference to the top and the bottom of the distribution. Together with other researchers, I am currently working on, in addition to the UK, the Netherlands, New Zealand, Norway, Denmark, Canada and Australia. The theoretical work on the upper tail includes the application of models of hierarchy, of superstars, of accumulation and inheritance, and of volatility.

### ***Publications***

(with B Cantillon, E Marlier and B Nolan) *Social Indicators: The EU and Social Inclusion*. Oxford: Oxford University Press, 2002.

(with F Bourguignon, C O'Donoghue, H Sutherland and F Utili) 'Microsimulation of Social Policy in the European Union: Case Study of a European Minimum Pension', *Economica*, 69, 2002.

(with B Cantillon, E Marlier and B Nolan) 'Indicators for Social Inclusion', *Politica Economica*, 18, 2002.

'Globalization and the European Welfare State at the Opening and the Closing of the Twentieth Century', in H Kierzkowski (ed.), *Europe and Globalization*. Basingstoke: Palgrave Macmillan, 2002.

'Is Rising Income Inequality Inevitable? A critique of the "Transatlantic Consensus"', in P Townsend and D Gordon (eds.), *World Poverty*. Bristol: Policy Press, 2002.

'1% of €10,000 Billion', in P Townsend and D Gordon (eds.), *World Poverty*. Bristol: Policy Press, 2002.

'Der europäische Sozialstaat im Zeitalter der Globalisierung', in E J M Kroker and B Dechamps (eds.), *Zeitenwende*. Frankfurt: Frankfurter Allgemeine Buch, 2001.

(with A Brandolini and T M Smeeding) 'Producing Time-Series Data for Income Distribution: Sources, Methods and Techniques', in I Becker, N Ott and G Rolf (eds.), *Soziale Sicherung in einer dynamischen Gesellschaft*. Frankfurt: Campus Verlag, 2001.

'Rising Income Inequality and the Role of the Welfare State', in U Fachinger, H Rothgang and H Viebrok (eds.), *Die Konzeption Sozialer Sicherung*. Baden-Baden: Nomos, 2002.

'La distribution des revenus dans les pays de l'OCDE au vingtième siècle', *Revue française d'économie*. 17, 2002.

**Robert Allen** (Professorial Fellow) worked in three main areas. The first is the economic history of the Soviet Union. This long-standing project has been brought to conclusion by the completion of the book *Farm to Factory: A Reassessment of the Soviet Industrial Revolution*, which will be published in 2003. A summary of the argument was delivered as the Innis lecture to the Canadian Economic Association.

The second project deals with the history of wages and prices in Europe and Asia. The empirical base of this work is the compilation of a data bank of wages and prices from the middle ages to the nineteenth century for seventeen European cities. Comparable data is being collected for India, China, and Japan. These data allow the measurement of economic integration and real wages in the early modern period. 'The Great Divergence' paper uses these data to measure how north-western Europe pulled ahead of the rest of the continent in the early modern period. The data are also being used to test specific hypotheses about economic growth.

Divergence is a major theme in economic history, and it was addressed in a conference at Nuffield organized by Robert Allen and John Darwin and devoted to Ken Pomeranz's book *The Great Divergence* – this one between China and Europe. The conference brought together leading scholars at Oxford, the London School of Economics, and other universities to assess Pomeranz's claim that the Chinese economy was on a similar level of development with Europe's in the eighteenth century. At that conference, Allen presented a paper comparing living standards and agricultural productivity in the Yangtze Delta and England. The comparison did support Pomeranz's revisionism.

The third project, done in collaboration with Ian Keay, concerns the history of whales and whaling. One paper, which worked out the history of the extinction of bowhead whales in the eastern arctic between 1600 and 1900 was published in the year. A second paper has been finished on the question: could the whales have been saved? The intention is to extend the analysis to other species and elaborate the modelling to integrate more fully the role of climate change into the analysis.

Allen is a member of the editorial board of the *European Review of Economic History*.

### **Publications**

'The Great Divergence in European Wages and Prices from the Middle Ages to the First World War', *Explorations in Economic History*, 38, 2001.

(with Ian Keay) 'The First Great Whale Extinction: The End of the Bowhead Whale in the Eastern Arctic', *Explorations in Economic History*, 38, 2001.

'Innis Lecture: The Rise and Decline of the Soviet Economy', *Canadian Journal of Economics*,



34, 2001.

‘Revolución en los campos: La reinterpretación de la Revolución Agrícola Inglesa’, *Historia Agraria*, 26, 2002.

**Mark Armstrong** (Official Fellow) has been working on a large-scale survey of ‘Recent developments in the theory of regulation’, which is a joint work with David Sappington. He has also been working on ‘Competition in two-sided markets’. This research investigates the performance of markets with two groups of participants whose interaction is mediated by firms, and where the utility of one side depends on the number of participants on the other side. (For instance, a shopping mall facilitates the interaction between shops and shoppers. A shop’s revenues depend on the number of shoppers who visit the mall, and a shopper’s utility depends on the number of shops in the mall.)

He is Managing Editor of the *Review of Economic Studies*. He is on the editorial boards of the *Journal of Industrial Economics* and the *Rand Journal of Economics*. He is currently co-editing Volume III of the *Handbook of Industrial Organization*. He gave an invited presentation to the 2002 ESEM in Venice. He acts as external economic advisor to OFTEL and to the Office of Fair Trading.

### ***Publications***

(with J Vickers) ‘Competitive Price Discrimination’, *Rand Journal of Economics*, 32, 2001.

‘Regulation and Inefficient Entry: Economic Analysis and British Experience’, in G Amato and L Laudauti (eds.), *The Anticompetitive Impact of Regulation*. Cheltenham: Edward Elgar Publishing, 2001.

‘The Theory of Access Pricing and Interconnection’, in M Cave, S Majumdar and I Vogelsang (eds.), *Handbook of Telecommunications Economics*. Amsterdam: North-Holland, 2002.

‘Converging Communications: Implications for Regulation’, in C Robinson (ed.), *Utility Regulation and Competition Policy*. Cheltenham: Edward Elgar Publishing, 2002.

**Michael Biggs** (Non-stipendiary Research Fellow) is still finishing his book manuscript on the strike wave of 1886 in Chicago. In order to prolong the agony and provide further excuse for procrastination, he has launched himself into two new projects.

Continuing research on the dynamics of protest waves, he is collaborating with Kenneth Andrews (at Harvard University) to investigate sit-ins against segregation in the American South in 1960. Although this episode is one of the most well-known cases in the literature, this is the first systematic analysis, using event-history methods. ‘The Dynamics of Protest Diffusion’ (presented to the American Sociological Association) challenges the prominence attributed to the Southern Christian Leadership Conference. This leads to a re-evaluation of the role of formal organization in the diffusion of collective protest.

He is also investigating self-immolation – suicide as a form of protest. Thich Quang Duc, a Buddhist monk in Vietnam, set himself alight in 1963; his example has since been emulated by hundreds of individuals across the world. Besides contributing again to the analysis of diffusion through time, this research poses two important questions. First, what makes someone willing to die for a cause? Second, what makes self-immolation a potentially effective tactic? Answering these questions will hopefully shed light on the emotional sources of political protest, which has

become an exciting topic in the literature. An ESRC grant is supporting a compilation of data from newspapers and newswires over forty decades. The preliminary results will appear as a chapter in *Dying for a Cause*, edited by Diego Gambetta (All Souls College).

He will be leaving at the end of December to join the University of Illinois at Urbana-Champaign.

### ***Publications***

‘Strikes as Sequences of Interaction: The American Strike Wave of 1886’, *Social Science History*, 26, 2002.

‘A Century of American Exceptionalism’, *Thesis 11*, 68, 2002.

**Christopher Bliss** (Professorial Fellow) has his book *Trade, Growth and Inequality* sufficiently advanced to be showing outline and sample chapters to publishers. Meanwhile some of the work that it embodies will soon appear in journals. The specific factors model, which started life with an attempt to throw light on the effects of abolishing the corn laws, and features in the book as a model of globalisation and income distribution, will appear in the *Review of International Economics* next year. In another case the crazy lottery of modern journal publication is elegantly illustrated. I have been unable so far to find a place my basic results on non-convergence of incomes within a standard many-agent Ramsey model with an integrated capital market. One of my papers on this theme extends the theorem to the case of Koopmans separable preferences. I thought this quite an arcane result and judged that of the group this paper would be the least likely to be accepted by a top journal. However the *Journal of Economic Theory* has asked for a revised version with only small changes indicated. The referees are enthusiastic not about the formal extension to the Koopmans case, but about the basic theorem which is included in this paper as a special case.

**Stephen Bond** (Gwilym Gibbon Research Fellow in Public Economics) continued to work part-time at Nuffield and part-time at the Institute for Fiscal Studies in London.

During the last year he spent six months on leave at the Graduate School of Business at Columbia University, New York, where he taught a PhD course on microeconometrics. He also taught a one week course on panel data methods for the Finnish Postgraduate Programme in Economics at the University of Helsinki.

He continued to pursue a range of research projects concerned with company investment, corporate taxation and the econometrics of panel data. One project undertaken for the Bank of England used data on analysts’ forecasts of company profits to assess whether indicators of the availability of internal sources of finance, such as cash flow, help to explain company investment spending, once the influence of expected future profitability has been controlled for. The results suggest that the sensitivity of investment to cash flow found in standard empirical investment models can be attributed to the absence of informative controls for expected future profitability. This sensitivity disappears when analysts’ forecasts of future profits are included in the specification, suggesting little impact of financing constraints on investment spending, at least for large, quoted firms. Related to this work, Bond was an invited participant at an international conference on monetary policy transmission mechanisms, organised by the European Central Bank in Frankfurt.

Bond continued to be a member of the ESRC Research College in Politics, Economics and

Geography, and to be a Deputy Director of the ESRC Centre for the Microeconomic Analysis of Public Policy at the Institute for Fiscal Studies.

### ***Publications***

‘Dynamic Panel Data Models: a Guide to Micro Data Methods and Practice’, *Portuguese Economic Journal*, 1, 2002.

(with C Bowsher and F Windmeijer) ‘Criterion-based Inference for GMM in Autoregressive Panel Data Models’, *Economics Letters*, 73, 2001

**Richard Breen** (Official Fellow) has continued working with Ruud Luijkx (University of Tilburg) on the comparative analysis of mobility tables covering 12 countries over the period 1970-2000. This is the concluding part of his project ‘National Patterns of Social Mobility 1970-2000: Convergence or Divergence?’ which began three years ago at the European University Institute. The main output will be a book with Oxford University Press in 2003. Most of his other work has been, in one way or another, related to the mobility project. Together with Janne Jonsson (Swedish Institute for Social Research) he has been investigating new methods for relating cohort and period change in mobility (and other) analyses; and with David Firth he has begun to explore new methods for measuring social fluidity in mobility tables. He has also maintained his interest in formal models of social phenomena. With his D Phil student Lynn Cooke he wrote a paper using game theory to explain the sexual division of domestic labour, he has continued working on models to explain educational decision making and in April he gave a paper at the Swedish Centre for Advanced Study in the Social Sciences, Uppsala, on ‘Shared Beliefs’.

He managed to shed some responsibilities during 2001: his membership of the executive board of Research Committee 28 (Social Stratification and Mobility) came to an end as did his term as secretary of the European Consortium for Sociological Research. He continues to serve as a member of the Scientific Committee of the Juan March Institute, Madrid. In 2002 he was invited to join the Editorial Board of the *American Sociological Review* and was elected to membership of Academia Europaea.

### ***Publications***

‘Statistics of Selection Bias’ in *The International Encyclopedia of the Social and Behavioral Sciences*. Kidlington, Oxfordshire: Elsevier, 2001

‘Social Mobility and Constitutional and Political Preferences in Northern Ireland’ *The British Journal of Sociology*, 52, 2001.

(with Marlis Buchmann) ‘Institutional Variation and the Position of Young People: A Comparative Perspective’, *The Annals of the American Academy of Political and Social Science*, 580, 2002.

**Michael Brock** (Honorary Fellow) continued to edit for Oxford University Press, with his wife, selections from Margot Asquith’s Diaries, 1908-1916. In January he lectured in the Union Society’s series on ‘Debating in Late Victorian and Edwardian Oxford’. He was accepted for the University’s D.Litt. in September.

*H H Asquith: Letters to Venetia Stanley* was accepted by Oxford University Press for their ‘Print on Demand’ programme.

**David Butler** (Emeritus Fellow) continued to work on the history of the College (and he has recruited Chelly Halsey to be a co-author). He visited Australia to watch the November election and the USA to lecture at the University of Texas and the University of Georgia. He organised a seminar in College for the Hansard Society's study of the 'Usual Channels'. He started work as co-Chair of an Independent Commission on the working of proportional representation systems in the United Kingdom.

### **Publication**

(with D Kavanagh) *The British General Election of 2001*. Basingstoke: Palgrave, 2001.

**Lucy Carpenter** (Faculty Fellow) this year started work on a new research topic studying the long-term health of members of the armed forces who took part in chemical warfare agent trials in the UK at Porton Down. The main aim of this is to compare death rates (and cancer registrations) in around 20,000 members of the armed forces, who took part in trials in the 1940s, 50s, 60s, 70s, and 80s, with rates in members who did not. A pilot study is now underway evaluating the feasibility of this research project. Alongside this, a health survey will also be carried out of surviving veterans who had taken part in trials in the past. This work is collaborative, primarily with Dr Kate Venables here in Oxford, with funding via the Medical Research Council.

In addition to the above, she continued work investigating associations between cancer and occupation with Sir David Cox and colleagues at the Leukaemia Research Fund and the London School of Hygiene and Tropical Medicine. This is based on the analysis of over 1 million cancer registrations in adults in England and Wales 1971-1990. A final report on this has now been submitted for publication together with a website providing access to over 500 graphical plots resulting from these analyses. During her sabbatical period in Hilary term in New Zealand she gave seminars on this topic in Dunedin, Christchurch, Wellington and Brisbane.

She has now largely completed her contribution to research based in rural Uganda evaluating population-based methods for reducing rates of HIV and other sexually transmitted infections (STIs). The main method being evaluated is a behavioural change programme – either alone, or in combination with improved management of other STIs. This study was used to illustrate the challenges associated with the design and implementation of community randomised trials at the symposium on randomised controlled trials in the social sciences held in College in June.

### **Publications**

(with A Kamali, M Payne, S Kiwuuwa, P Kintu, J Nakiyingi, J Kinsman, N Nalweyiso, M Quigley, J Kengeya-Kayondo and J A G Whitworth). 'Independent Effects of Reported Sexually Transmitted Infections and Sexual Behavior on HIV-1 Prevalence among Adult Women, Men and Teenagers in Rural Uganda', *Journal of Acquired Immune Deficiency Syndromes*, 29, 2002.

**Sir David Cox** (Honorary Fellow). His research on a wide range of issues in theoretical and applied statistics continued along the general lines of previous years, involving in many cases international collaborations. He continued to work with N Wermuth (Mainz and Harvard), an Associate Member of the College, on Markov Graphs, techniques for handling relatively complex dependencies such as arise in social science and other applications. With N Reid (Toronto), P J Solomon (Adelaide) and P Hall (ANU, Canberra) he worked on more theoretical issues and with V S Isham (UCL) and H Wheater (IC) on hydrological matters. He was one of the organizers of a Royal Society two-day meeting on the theme 'Floods in a changing climate'.

He continued to be a member of the Independent Scientific Group advising DEFRA (previously MAFF) on bovine TB, this involving a wide range of statistical considerations studied in close collaboration with C A Donnelly (IC), also an Associate Member of the College. His work with Lucy Carpenter on methods for the analysis of routine data in occupational epidemiology continued. He served on the Prediction, Prevention and Epidemiology Group, part of the Royal Society investigation of Infectious diseases in livestock, arising out of the Foot and Mouth Disease outbreak.

He served as Chairman of Trustees of the *Biometrika* Trust and Chairman of the Advisory Board for the OUP journal *Biostatistics*. He represents the Royal Society on the Executive Committee of the Hazards Forum.

During the year he was Chairman of the Local Group of the Royal Statistical Society. The Group holds most of its meetings in the College.

At the Biennial Meeting in Freiburg, Germany he was elected an Honorary Life Member of the International Biometric Society.

He worked on international panels assessing mathematical research in Norway and in Portugal, and on a panel assessing Statistics and Econometrics at Carlos III University, Madrid.

Seminars and lectures were given at various places, including the DeGroot Lecture at Carnegie Mellon University, Pittsburgh, the Deming Memorial Lecture at American Statistical Association Annual Meeting, New York City and the opening papers to a conference on Industrial Statistics, University of Michigan and to a workshop in Washington DC organized by National Science Foundation to discuss the substantial increase in financial support to be provided to the mathematical sciences. Other talks were given in Freiburg, Mainz, Toronto, Dijon, Wiesbaden and Warwick.

### ***Publications***

(with P J Solomon) *Components of Variance*. London and Boca Raton: Chapman and Hall, 2002.

(with G R Law, N E S Machonichie, J Simpson, E Roman and L M Carpenter) 'Large tables', *Biostatistics*, 2, 2001.

'Stochasticity', *Encyclopaedia of Environmetrics*, 4, 2002.

(with N Wermuth) 'Causal Inference and Statistical Fallacies', *International Encyclopaedia of Social and Behavioural Sciences*, Kidlington, Oxfordshire: Elsevier, 2001.

(with N Wermuth) 'Graphical Models: Overview', *International Encyclopaedia of Social and Behavioural Sciences*. Kidlington, Oxfordshire: Elsevier, 2001.

(with N Wermuth) 'On Some Models for Multivariate Binary Variables Parallel in Complexity with the Multivariate Gaussian Distribution', *Biometrika*, 89, 2002.

(with M Y Wong) 'A Test of Multivariate Independence Based on a Single Factor Model', *Journal of Multivariate Analysis*, 79, 2001.

'Karl Pearson and the Chi-squared Test', in C Huber-Carol et al (eds.) *Goodness of Fit Tests and Model Validity*. Boston: Birkhauser, 2002.

(with V S Isham and P J Northrop) 'Floods: Some Probabilistic and Statistical Approaches', *Philosophical Transactions of the Royal Society*, A 360, 2002.

**John Darwin** (Faculty Fellow) has continued to work on his study of the British empire as a 'world-system' since 1840. He has been a member of the Arts and Humanities Research Board History panel, the main source of public research funding in history. In January 2002 he gave the opening lecture at a conference at the University of Cape Town on 'The British World in the 19th and 20th centuries'. In March he visited the National University of Ireland, Galway and gave a lecture. In May he visited Stanford University and presented a paper at the departmental seminar. In September he visited the University of Texas at Austin to give a lecture at the Harry Ransom Centre for the Humanities.

**Claire Donovan** (Research Officer) has continued to work with Professor A H Halsey on the project *A History of Sociology in Britain: Science, Literature and Society*. She has been mapping the direction of twentieth century British sociology using a content and citation analysis of sociology journals. The content analysis follows the development and level of technical sophistication (or otherwise) of quantitative and qualitative research methods, traces 'fashionable' areas of sociological research and charts the rise and fall of interest in the various sociological 'isms'. The citation analysis reveals the most cited journals and the most influential figures in British sociology.

Claire was awarded a D Phil for her thesis *Government Policy and the Direction of Social Science Research* in May 2002, and presented a paper "'We were Red and they were Blue": The Causes and Consequences of Tory Interventions in SSRC/ESRC Affairs' at The History and Practice of Sociology and Social Research conference at Sussex University. She has continued to contribute to The Guardian's 'Public Voices' series, and was interviewed about the careers of young academics within the public sector.

### ***Publications***

'Review of Asa Briggs' "Michael Young: Social Entrepreneur"', *Sociological Review*, 50, 2002.

'Michael Young', in G Rosen (ed.), *Dictionary of Labour Biography*. London: Politico's Publishing, 2001.

(with E Whitelegg, B Hodgson and E Scanlon) 'Examining the Leaky Pipeline for Young Female Physicists in the UK', *Proceedings of Gender and Science and Technology (GASAT) 10 Conference*, Copenhagen, 2001.

**Jurgen A Doornik** (Research Fellow) continued working on the ESRC project 'Modelling Non-stationarity in Economic Time Series'. During Michaelmas term he was visiting associate professor to the Graduate School of Business at Stanford University, where he taught the first year PhD course in econometrics. He also taught in Oxford during that term, so spent much of his time in the air.

He continued working on a strategy for high-performance computing in econometrics, and presented the results at a discussion meeting of the Royal Society (with David Hendry and Neil Shephard). This was followed by a presentation at the Royal Statistical Society. He presented papers at the European meeting of the Econometric Society, and at the US Bureau of the Census. He also contributed to OxMetrics workshops in Chicago, New York and Tokyo.

### ***Publications***

'Object-oriented Programming in Econometrics and Statistics using Ox', in S S Nielsen (ed.), *Programming Languages and Systems in Computational Economics and Finance*. Dordrecht:

Kluwer Academic Publishers, 2002.

(with D F Hendry and N Shephard) 'Computationally-intensive Econometrics using a Distributed Matrix-programming Language', *Philosophical Transactions of the Royal Society of London, Series A*, 360, 2002.

**Jim Engle-Warnick** (Postdoctoral Research Fellow) continued working on experimental studies of how people play repeated games. With Bradley Ruffle he developed a Bayesian method to infer repeated-game strategies from the actions that people take in laboratory markets. The research, which may lead to competition policy implications, highlights ways in which a high concentration of buyers can drive monopolist pricing to competitive levels: buyers play demand withholding strategies that are costly both to themselves and to the sellers, and sellers automatically charge lower prices if they know there are fewer buyers in the market. Work is progressing on applying the strategy inference method to other environments.

He completed experiments at the Harvard Business School Experimental Laboratory that are designed to test for the dominance of a decision rule, called the Taylor Rule, in monetary policy. With Ed Hopkins he received a small grant from the Nuffield Foundation to study learning in games that model price dispersion, which is a situation in which different sellers charge different prices for identical goods. He also received a substantial grant from the ESRC to pursue a one and a half year study of play in repeated games, in which subject behaviour will, for the first time, be completely econometrically specified in several simple games.

He presented research at the economics departments at Koc University (Istanbul) and Nottingham University, gave papers at the invited conferences 'Quantitative Approaches to Learning Dynamics' at the ESRC Centre for Economic Learning and Social Evolution at University College London and 'Conceptualising Trust' at Nuffield College, and at the European Meeting of the Econometric Society in Venice.

### ***Publications***

(with John Duffy ) 'Using Symbolic Regression to Infer Strategies in Experimental Data', in S H Chen (ed.), *Evolutionary Computation in Economics and Finance*. New York: Physica Verlag, 2002.

**Geoffrey Evans** (Official Fellow) pursued his research into British electoral behaviour using the British Election Panel Study. One branch of his work in this area demonstrates that opposition to European monetary union was the key factor accounting for vote switching to the Conservatives at the last General Election. Another strand overviews the reasons for the dramatic decline in turnout between 1997 and 2001, arguing that it resulted not from any fundamental disillusion with politics, but from the impact on non-partisans of the parties' convergence on many of the key issues and the near certainty of a clear-cut Labour victory. Bob Andersen and he analysed the relations between perceptions of the economy, attitudes on salient issues, evaluations of party leaders and voting in the election, showing that leadership mattered most.

His study of democratic development in post-communist Russia continued via his ESRC-funded project examining the over time patterning of class divisions in that society (with Stephen Whitefield). With Natalia Letki, he worked on the relationship between social trust and politics in post-communist countries, which throws into doubt some of the currently fashionable beliefs about the importance of social capital for democratic performance in these societies.

Brendan O'Leary (Penn University), Paul Mitchell (LSE) and he are developing a study to

examine citizen involvement in the 2003 Assembly elections in Northern Ireland. More generally, he is conducting research into political attitudes in Northern Ireland as part of a project in the ESRC's Devolution Programme.

Papers on these and other topics were given at the various conferences. He also co-hosted (with Meir Yaish and Anthony Heath) the bi-annual meeting of Research Committee 28 of the International Sociological Association at Oxford in April. At the end of August, along with other members of the politics department, he was involved in the first Oxford departmental reception to be held at the annual meeting of the American Political Science Association in Boston.

As a member of the ESRC Training Board's Research and Advanced Course Recognition Panel he was involved in evaluating applications for post-graduate training accreditation and the recently established Postdoctoral Fellowship competition. He examined doctoral theses in psychology, political science and sociology at LSE, EUI and Oxford and was the external examiner for the PhD programme in Political Science at Trinity College, Dublin. He continued as editor of *Electoral Studies* and review editor of the *European Sociological Review*. During the summer he was awarded the title of Professor in Oxford University's recognition of academic distinction exercise.

### **Publications**

'Class Voting', in Neil J Smelser and Paul B Baltes (eds.), *International Encyclopedia of the Social and Behavioral Sciences*. Oxford: Pergamon, 2001.

'The Conservatives and Europe: Waving or Drowning?' in R Jowell, J Curtice, A Park, K Thomson, C Bromley, L Jarvis and N Stratford (eds.), *British Social Attitudes, the 18th Report*. London: Sage, 2001.

(with Brendan O'Leary and Paul Mitchell) 'Northern Ireland: Flanking Extremists Bite the Moderates and Emerge in their Clothes', *Parliamentary Affairs*, 54, 2001.

(with Natalia Letki) 'Capital social y desafección política en las nuevas democracias', in Ramon Maiz (ed.), *Construcción de Europa, Democracia y Globalización*. Santiago de Compostela: Europa Mundi, Universidade de Santiago de Compostela, 2001.

'On the Validation of Measures of Strategic Motivations: A Critical Comment on Alvarez and Nagler', *British Journal of Political Science*, 2002.

(with Robert Andersen) 'Endogenizing Economic Perceptions: The Impact of Prior Political Preferences', *Revue de la Maison Française d'Oxford*, 1, 2002.

'European Integration, Party Politics and Voting in the 2001 Election,' *British Elections and Parties Review*, 12, 2002.

**Erik Eyster** (Postdoctoral Research Fellow). This year Erik continued work on a project modelling the 'sunk-cost fallacy' and other anomalies. The premise of his model is that people avoid doing things that cause them to regret their previous choices: people want their past choices to be optimal given their current choices. With Jimmy Chan (Johns Hopkins University), Erik finished a paper using an economic approach to examine people's preferences over university admissions rules that include positive discrimination for underrepresented minority groups: people like racial diversity, but not at their own expense. This approach makes predictions about how people's preferences over the level and means of achieving diversity depend on their own



competitive position in admissions (that are borne out in opinion poll data). The model suggests that recent bans on positive discrimination in American university admissions may be motivated by distributional concerns. Erik spent the latter half of the summer visiting the Economics Department at the University of California at Berkeley. There he and Matthew Rabin worked to fit their boundedly-rational alternative to Bayesian Nash equilibrium to experimental auction data.

Erik presented papers at Arizona, Berkeley, Birmingham, the BRC Conference in Behavioural Economics, the European ESA meetings, Oxford, and UCL.

**David Firth** (Faculty Fellow) was involved in methodological work on a wide variety of statistical topics, mostly arising from the empirical research of Nuffield and University colleagues. During this year some time was spent, largely at the insistence of others, on the tidying and documentation of some general computer programs for publication: *brlr*, *relimp* and *qvcalc* are packages (all at <http://cran.r-project.org>) which operate within the R statistical computing environment, an open-source project with a rapidly expanding user base in social science. The *CGIwithR* package was developed to allow R to be used easily to construct web-based interfaces to statistical methods.

He is Chairman of the Research Section of the Royal Statistical Society, and a member of the National Statistics Methodology Advisory Committee. During the year he ended a 4-year term as Editor of the *Journal of the Royal Statistical Society*, Series B (Statistical Methodology), and gave research seminars at the University of Vienna, University College Dublin, LSE, Liverpool and York. He gained funding for two new projects: the ESRC-supported Spring School for Quantitative Methods of Social Research (joint with Stephen Fisher, Anthony Heath and Christopher Wlezien), and an ONS research project on methods of small-area estimation.

### **Publications**

‘Discussion of “Causal Variables, Indicator Variables and Measurement Scales: An Example from Quality of Life” by P M Fayers and D J Hand’, *Journal of the Royal Statistical Society*, A 165, 2002.

(with R Wolfe) ‘Modelling Subjective Use of an Ordinal Response Scale in a Many Period Crossover Experiment’, *Journal of the Royal Statistical Society*, C 51, 2002.

**Stephen Fisher** (Postdoctoral Research Fellow) continued to prepare papers on tactical voting. One of these was accepted for publication by the *British Journal of Political Science* and argues that support for a third or lower placed party in one’s constituency is neither sufficient nor necessary for tactical voting to be rational: it can also be optimal for second place party supporters to vote for the leading party. Measurement of tactical voting should therefore concentrate on identifying those who both did not vote for their preferred party and had strategic motivations. Laboratory experimental analysis, together with David Myatt, continued by testing a simplified model of tactical voting and incorporating abstention as an option. The results corroborate their previous finding that people behave as if they were decision theoretic actors. This implies that we see more tactical voting in low profile elections (such as a UK constituency) and less in high profile elections (such as a US presidency) than we would if people behaved game theoretically. This work was presented at the American Political Science Association meeting in Boston. Work began on new comparative projects on portfolio allocation as a function of parties interests in certain ministries, and on covariates of extreme-right voting with the EREPS research group.

Together with David Firth, Christopher Wlezien and Anthony Heath he was awarded a grant by

the ESRC to establish a Spring School in Quantitative Methods in Social Science. Finally, he was appointed the University Lecturer in Political Sociology and Fellow of Trinity College, Oxford from October 2002.

### ***Publication***

(with J Evans, K Arzheimer, G Baldini, T Bjorklund, E Carter and G Ivaldi) 'Comparative Mapping of Extreme Right Electoral Dynamics: An Overview of EREPS (Extreme Right Electorates and Party Success)', *European Political Science*, 1, 2001.

**Ray Fitzpatrick** (Faculty Fellow) continued with his research with colleagues in Oxford, Institute of Neurology, London and University of Birmingham on measuring health status, quality of life and effects of health care interventions in a range of neurological disorders including multiple sclerosis, Parkinson's disease, motor neurone disease and dystonia. He also continued research with colleagues in the Nuffield Orthopaedic Centre evaluating outcomes of orthopaedic surgery for hip and knee. He began a programme of work with colleagues in the Department of Paediatrics, University of Oxford on factors influencing uptake of childhood immunisation.

He served another year as member of the Council of the Medical Research Council and as chair of the Health Services and Public Health Research Board (MRC). He continued as a Governor of the BUPA Research Foundation. He served another year as head of the Department of Public Health, University of Oxford. In October 2001, he became Director of the Institute of Health Sciences, and also became a member of the Medical Sciences Board, University of Oxford.

### ***Publications***

(with M Dixon-Woods) 'Qualitative Research in Systematic Reviews', *British Medical Journal*, 323, 2001.

(with J Freeman, A Thompson, A Hutchinson, C Miltenburger and the European Study Group on Interferon- $\beta$  1b in secondary progressive MS) 'Interferon Beta 1-B in the Treatment of Secondary Progressive MS: Impact on Quality of Life', *Neurology*, 57, 2001

(with J Dawson, S Frost, R Gundle, P McLardy-Smith and D Murray) 'Evidence for the Validity of a Patient-based Instrument after Revision Hip Replacement'. *Journal of Bone and Joint Surgery*, 83-B, 2001.

(with V Peto, C Jenkinson and M Swash) 'Measuring Mental Health in Amyotrophic Lateral Sclerosis (ALS): A Comparison of the SF36 Mental Health Index with the Psychological Well-Being Index', *Amyotrophic Lateral Sclerosis and Other Motor Neurone Diseases*, 2, 2001.

(with S Hajat R Morris, B Reeves B, D Murray and P Gregg) 'Does Waiting for Total Hip Replacement Matter? Prospective Observational Study', *Journal of Health Services Research and Policy*, 7, 2002.

(with J Brazier) 'Measures of Health-related Quality of Life in an Imperfect World', *Health Economics*, 11, 2002.

(with O Williams, S Hajat, B Reeves, R Morris, D Murray and P Gregg) 'Mortality and Morbidity and One Year Outcomes of Primary Elective Total Hip Replacement', *Journal of Arthroplasty*, 17, 2002.

(with C Jenkinson, J Hobart, T Chandola, V Peto and M Swash) 'Use of the SF-36 Health Survey in Patients with Amyotrophic Lateral Sclerosis: Tests of Data Quality, Score Reliability, Response Rate and Scaling Assumptions', *Journal of Neurology*, 249, 2002.

(with A Garratt and L Schmidt) 'Patient Assessed Health Outcome Measures for Diabetes: A Structured Review', *Diabetic Medicine*, 19, 2002.

(with J Dawson and E Shortall) 'Social Significance of Osteo-arthritis of the Hip and Outcome Measures', in C Bulstrode, J Buckwalter, A Carr, L Marsh, J Fairbank and J Wilson Macdonald (eds.), *Oxford Textbook of Orthopaedics and Trauma*. Oxford: Oxford University Press, 2002.

(with L Schmidt and A Garratt) 'Child/parent-assessed Health Outcome Measures: A Structured Review', *Child Care, Health, and Development*, 28, 2002.

(with A Garratt, L Schmidt and A Mackintosh) 'Quality of Life Measurement: A Bibliographic Survey of Patient Assessed Outcome Measures', *British Medical Journal*, 324, 2002.

(with J Dawson, M Thorogood, S Marks, E Juszczak, C Dodd and C Lavis) 'The Prevalence of Foot Problems in Older Women: A Cause for Concern', *Journal of Public Health Medicine*, 24, 2002.

**Duncan Gallie** (Official Fellow) continued to work on the social consequences of poverty, unemployment and precarious work in the countries of the European Union. Together with Serge Paugam, he was involved in drawing up and analysing a comparative survey across the EU countries, funded by DG Employment and Social Affairs, which allows for a range of comparisons over time with previous EU-wide surveys. This will give a clearer picture of trends in subjective poverty and experiences of the quality of work.

He has continued to co-ordinate for the EU (DG Research) a cluster of research projects on unemployment, welfare and work with a view to assessing the mutual implications of their results, drawing the practical lessons about the organization of comparative research involving different European research teams and considering the policy implications of the research results. One aspect of this work was the creation of a website (UWWCLUS), designed by Anton Verstraete, which provides information about the different projects and facilitates access to working papers. The work of the cluster will conclude with a workshop in Brussels bringing together researchers and EU policy makers.

He completed work, with Francis Green and Alan Felstead, on a new survey to examine trends in skills in Britain (the Skills Survey). This was funded by the Department for Education and Skills and is a component of the broader SKOPE research programme on skills in Britain. The survey involves a representative national sample of over 4,000 individuals and has been designed to provide data that can be compared with surveys carried out in the mid-1980s and in the early and mid-1990s. The fieldwork was conducted by the National Centre for Social Research between February and June 2001 and a first report on the results (together with a number of working papers) has now been published.

He served as a member of the Advisory Committee of the ESRC Research Centre on Micro-Social Change (MISOC) and of the Advisory Committee of the ESRC's Future of Work Initiative. He has been an adviser to DG Research on the development of the European Research Area with respect to the social sciences.

### ***Publications***

(with Alan Felstead and Francis Green) 'Employer Policies and Organizational Commitment in Britain 1992-97', *Journal of Management Studies*, 38, 2001.

(with Alan Felstead and Francis Green) *Work Skills in Britain 1986-2001*. Nottingham: DfES Publications, 2002.

**Javier García de Polavieja** (Postdoctoral Research Fellow) has continued working on two main areas of research. On the one hand, the impact of deregulation policies in labour market structures, with particular reference to the introduction of temporary contracts in Spain; and, on the other, the attitudinal consequences of labour market experiences, in particular, unemployment, temporary employment and occupational class.

He presented papers at the Research Committee on Social Stratification and Mobility (RC28) of the International Sociological Association in Oxford, at the Center for Sociology and the Study of the Life Course of the Max Plank Institute for Human Development in Berlin, and at the VII Congress of the Spanish Sociological Association in Salamanca. Two other papers were presented at the Nuffield Sociology Group Seminar series and at the Oxford Sociology Department series.

Papers have been submitted to the *European Sociological Review*, the *Revista Española de Ciencia Política* and the *Revista de Estudios Políticos*.

He is currently in Spain working on the transformation of his D Phil thesis into a book which will be published by the Centro de Investigaciones Sociológicas (Spanish Centre for Sociological Research) in 2003.

### ***Publications***

'Labour Market Dualisation and Trade Union Involvement in Spain', in G Van Gyes, H De Witte, and P Pasture (eds.), *Can Class Still Unite? Trade Unions, Class Solidarity and the Differentiated Workforce in Late Modernity*. Avebury: Ashgate Publishing Company Ltd, 2001.

(with A Richards) 'Trade Unions, Unemployment and Working Class Fragmentation in Spain', in N Bermeo (ed.), *Context and Consequence: The Effects of Unemployment in the New Europe*. Cambridge: Cambridge University Press, 2001.

'¿Qué es el Voto de Clase? *Los Mecanismos del Voto de Clase en España*', *Zona Abierta*, 96-97, 2001.

**Frank Gerhard** (Research Officer) continued working on the ESRC project 'Econometrics of trade-by-trade dynamics' (by Neil Shephard). He finished some work on univariate and multivariate time series of limited dependent variables. Some progress was made on an application to the analysis of the joint process of size and sign of price changes along with the time between individual transactions (with Winfried Pohlmeier). A paper on dynamic proportional hazard models which uses a similar methodology was also completed (with Nikolaus Hautsch).

During the second half of the year, he started to do research on optimal portfolio selection and asset pricing using realised covariation. For these applications he suggested a factor model of

realised covariation and devoted much time to developing a feasible estimation strategy for large cross-sections of asset prices.

He presented papers at the EC<sup>2</sup> 'Causality and Exogeneity in Econometrics' in Louvain, in the Econometrics seminar at CORE (Louvain) and at the European meeting of the Econometric Society (Venice).

### **Publication**

(with N Hautsch) 'Volatility Estimation on the Basis of Price-Intensities', *Journal of Empirical Finance*, 9, 2002

**John Goldthorpe** (Official Fellow) continued to work in the general field of social stratification. With various collaborators, he carried out research into the changing role of education in class mobility, the relationship between class and economic security, stability and prospects, and the status order of contemporary British society. He also maintained an interest in developments in the theory of social action. In May he gave lectures and seminars on several of these topics at the University of Tartu, Estonia.

He was a member of the Organising Committee for the meeting of the International Sociological Association Research Committee on Social Stratification and Mobility that was held in Oxford in April. With Michelle Jackson and Colin Mills, he presented a paper entitled 'Education, Employers and Class Mobility'.

### **Publications**

'A Sociology of Ireland' (symposium contributor), *Irish Journal of Sociology*, 11, 2002.

'Globalisation and Social Class', *West European Politics*, 25, 2002.

(with Robert Erikson) 'Intergenerational Inequality: A Sociological Perspective', *Journal of Economic Perspectives*, 16 2002.

'Occupational Sociology, Yes: Class Analysis, No: Comment on Grusky and Weeden's Research Agenda', *Acta Sociologica*, 45, 2002.

'On Official Social Classifications in France and Britain', *Sociétés Contemporaines*, 2002.

**Oliver Grant** (Postdoctoral Research Fellow) has been working on a book version of his D Phil for publication by Oxford University Press. Entitled *A House Divided: migration and inequality in Imperial Germany 1870-1913*, it considers the applicability of the Lewis Model of development with elastic supplies of labour to German history in the period. It looks at migration patterns to see if these show a 'labour surplus' phase; it examines various possible explanations of the release of surplus labour from agriculture; it relates this period of migration to the upwards movement of inequality (the upswing of the Kuznets curve) which can be demonstrated from tax statistics for the period. The book version relates this work to more general historical concerns, considering in particular the view that Germany's internal problems affected German foreign policy and contributed to the outbreak of the First World War. A final draft was sent to the editors in early August.

He has had articles accepted for publication on Max Weber's views on eastern agriculture ('Max Weber and Die Lage der Landarbeiter im ostelbischen Deutschland: a statistical examination')

which will appear in the *Jahrbuch für Wirtschaftsgeschichte*, and on the modernisation of German agriculture (“‘Few better farmers in Europe?’” productivity, change and modernisation in East-Elbian agriculture 1870-1913’) which will be published in a collection of essays on German history edited by Geoff Eley and James Retallack. The latter corrects the widely held view that Junker agriculture was not progressive. An article on German emigration has also been submitted (‘Explaining the decline of German emigration to the United States after 1895’). He has also started work on a project comparing the impact of science on industry and agriculture in Britain and Germany in the nineteenth century. A preliminary study of entrepreneurship in the electrical industry has been completed (‘Emil Rathenau and R E B Crompton: two pioneers of electrification’).

In addition to work on German economic history, he has widened his interests to include the comparative study of long term economic growth. He designed and taught a course dealing with these issues: ‘Industrialisation in Europe, North America and East Asia since 1700’, an advanced paper for the M Phil in Economic and Social History. Preparatory work for this course produced a paper on the work of Avner Greif. Originally entitled ‘Not the bloody Maghribis again!’, it now has a more sober title (‘The not-so-uncommon Maghribis’), and is based on research on principal-agent relations in the pre-telegraph City of London. Future plans include a comparison of the peak of the Kuznets curve in nineteenth century Germany and twenty-first century China, a study of the reception of pasteurisation in Britain and Germany and an examination of the effects of stock market bubbles on the pricing of new technology stocks.

In 2001-2 the Carters Lodge dairy herd averaged 6640 litres per cow (against 6270 in 2000-1), average costs per litre were 13.5 p (12.0p in 2000-1) leaving a net margin of 7.6p (6.2p). The average milk price received was 16% up on 2000-1 though still 24% below the level for 1996-7. The prospects for this year are not so good, due to the weakness of the market for mild Cheddar.

**A H Halsey** (Emeritus Fellow) made considerable progress on his history of sociology in Britain. Arrangements have now been made with Oxford University Press for completion by the autumn of 2003 and publication in the Spring of 2004.

He is also arranging a British Academy Conference on the history of sociology for May 2004. He has recruited eight voices chosen to represent a wide variety of opinions among the leaders of sociology to write a 1,000 word essay on how each would have tackled the task of writing such a history and intends to include the outcome as an epilogue to the book.

In March 2002 he spent ten days in Estonia inspecting that country’s arrangements for supporting social research through its Academy of Sciences and wrote a report in collaboration with one Dutch and two Finnish colleagues.

In Trinity 2002 he agreed to join David Butler in writing a history of Nuffield College.

**Anthony Heath** (Professorial Fellow) has continued to be Head of the Department of Sociology. He has suffered some ill health during the year and is extremely grateful to all his colleagues for the great support they have given him. Thanks to his supportive collaborators, he has made some progress with research. He has been working with Robert Andersen (Research Fellow in the Centre for Research into Elections and Social Trends), Richard Sinnott (UCD) and James Tilley (Prize Research Fellow-elect) on the role and impact of political knowledge. With Cath Rotheron and his other colleagues in CREST Anthony Heath has also been working on national identity and constitutional change in England (as part of the ESRC’s Devolution and Constitutional Change Programme).

He has also been working on ethnic differences in Britain, in particular comparing the educational

and occupational experiences of the first and second-generation members of ethnic minorities. This work has fed into the Cabinet Office's current inquiry into ethnic minority disadvantage in Britain and the possible policy responses to it. With Sin-Yi Cheung he has set up a cross-national project to compare ethnic minority disadvantage in a range of countries including France, Germany, Sweden, the Netherlands, Belgium, Ireland, Israel, the USA and Canada.

Finally with Alice Sullivan (British Academy Postdoctoral Fellow at Nuffield) he has been work on educational attainment in state and private schools and exploring the mechanisms that account for the success of independent and grammar schools.

### ***Publications***

(with Robert Andersen) 'Class Matters: The Persisting Effects of Contextual Social Class on Individual Voting in Britain, 1964-97', *European Sociological Review* 18, 2000.

(with Sanjay Kumar and Oliver Heath). 'Determinants of Social Mobility in India', *Economic and Political Weekly*, 37, 2002.

(with Robert Andersen and Richard Sinnott) 'Political Knowledge and Electoral Choice', in Lynn Bennie, Colin Rallings, Jonathan Tonge and Paul Webb (eds.), *British Elections and Parties Review*, Volume 12. London: Frank Cass, 2002.

(with Robert Andersen) 'La integración de la teoría y los métodos: un nuevo enfoque para la investigación comparativa de las divisiones sociales', *Política y Sociedad*, 38, 2001.

**David F Hendry** (Professorial Fellow) completed his research on the ESRC-financed project, *Modelling Non-stationarity in Economic Time Series* with J A Doornik, J N J Muellbauer, B Nielsen, and L Nunziato, although work continued on *Modelling, Forecasting and Policy in the Evolving Macro-economy*, with A Banerjee, M P Clements, H-M Krolzig, and G E Mizon.

After reviewing ten areas where recent developments in the theory of economic forecasting had clarified our understanding (such as forecast failure, the roles of causal variables and simplicity, and the results of forecasting competitions *inter alia*), ten areas in need of improved understanding were investigated. These included methods for modelling location shifts, pooling of forecasts, and forecasting rare events, perhaps using leading indicators. An explanation was proposed for the relative success of forecast combination – and hence consensus forecasts – when all models were incomplete and the data were non-stationary. The future success of forecasts from econometric models seems to depend on forecasting strategies, which combine the rapid adaptability of the devices that win forecasting competitions with the causal information inherent in inertial systems such as economies. Attempts to quickly detect – or even anticipate – location shifts would also pay handsome dividends. An empirical analysis of 'forecasts' of UK inflation over the 1980s (based on then available information) matched the theoretical results, and suggested the latter could constitute a valuable test bed for new proposals of forecasting methods. In the policy context, we showed that combinations of robust forecasting devices with econometric systems could be fruitful for forecasting growth rates when policy was changed.

Several improvements were implemented in our automatic procedure for selecting econometric models, including improved probabilities of selecting one (or a few) relevant variables from a block of irrelevant ones. Further, we found that our approach could be extended, by using available data evidence, to assist non-experts in model formulation. The accuracy of estimated coefficient uncertainty after selection was shown in simulation experiments, and the consistency of the approach was established.

He presented invited lecture series on 'econometric modelling and forecasting' to the IMF and the European Central Bank (the latter with Dr Bent Nielsen), and delivered keynote addresses to the Econometric Society Australasian Meeting, Brisbane, International Forecasting Symposium, Dublin, and (EC)<sup>2</sup> Conference on Exogeneity and Causality, Louvain-La-Neuve. He presented papers at the Royal Economic Society Conference, Warwick and the ESRC Macro-modelling Workshop, Warwick; and delivered seminars at the ESRC Econometric Study Group; Board of Governors of the Federal Reserve System, Washington; Stern Business School, New York; Queensland University of Technology, Brisbane; and Melbourne, Monash, Southampton, and Oxford Universities.

He was elected a Fellow of the Royal Society of Edinburgh, and received an Honorary LL D from St Andrews University. He served on the Executive Committee of the Royal Economic Society and was Head of the Economics Department.

### ***Publications***

(edited with M P Clements) *Companion to Economic Forecasting*. Oxford: Basil Blackwell, 2002.

(edited with N R Ericsson) *Understanding Economic Forecasts*. Cambridge, Massachusetts: MIT Press, 2001.

(with J A Doornik and N Shephard) 'Computationally-intensive Econometrics using a Distributed Matrix-programming Language', *Proceedings of the Royal Society of London*, 2002.

(with M P Clements) 'An Overview of Economic Forecasting', in M P Clements D F and Hendry (eds.), *Companion to Economic Forecasting*. Oxford: Basil Blackwell, 2002.

(with M P Clements) 'Explaining Forecast Failure in Macroeconomics', in M P Clements D F and Hendry (eds.), *Companion to Economic Forecasting*. Oxford: Basil Blackwell, 2002.

(with M P Clements) 'Modelling Methodology and Forecast Failure', *Econometrics Journal*, 5, 2002.

'Applied Econometrics without Sinning', *Journal of Economic Surveys*, 16, 2002.

'How Economists Forecast', in D F Hendry and N R Ericsson (eds.), *Understanding Economic Forecasts*. Cambridge, Massachusetts: MIT Press, 2001.

(with N R Ericsson) 'Introduction' in D F Hendry and N R Ericsson (eds.), *Understanding Economic Forecasts*. Cambridge, Massachusetts: MIT Press, 2001.

(with N R Ericsson) 'Epilogue', in D F Hendry and N R Ericsson (eds.), *Understanding Economic Forecasts*. Cambridge, Massachusetts: MIT Press, 2001.

(with M P Clements) 'Explaining the Results of the M3 Forecasting Competition', *International Journal of Forecasting*, 17, 2001.

**Andrew Hurrell** (Faculty Fellow) works on the international relations of the Americas and on international relations theory. His work on the Americas has involved a paper on 'Hegemony and International Institutions in the Western Hemisphere' as part of the Oxford Centre for



International Studies/El Colegio de Mexico project on Regionalism in the Western Hemisphere; and the completion of a study (with Monica Hirst, Centre for Brazilian Studies, Buenos Aires) of United States relations with Brazil, which will be published as one of a series of books on US relations with various Latin American countries. During the year he also gave lectures in Rio, Brasilia and Goiania.

He has continued to work on questions of international law and global governance. He participated and wrote papers for two research projects, one on United States Hegemony and the Foundations of International Law (Universities of Duke and Göttingen); the other on Power and Global Governance (University of Madison). Together with John Gaddis and Rosemary Foot he completed an edited volume on Order and Justice in International Relations which will be published by OUP in early 2003. He also participated in a new project on Legitimacy, Democracy and Global Governance based at NYU Law School, giving a paper on 'Globalization, Inequality and the Global South' in April. Together with Benedict Kingsbury at NYU he is also engaged in work of the history and theory of international law.

He has continued to run the graduate programme in International Relations at Oxford.

### **Publications**

'The Anarchical Society 25 Years On', Foreword to Third Edition of Hedley Bull, *The Anarchical Society*. Basingstoke: Palgrave Macmillan, 2002.

'Norms and Ethics in International Relations' in Walter Carlsnaes, Thomas Risse and Beth Simmons (eds.), *Handbook of International Relations*. London: Sage, 2002.

'The Foreign Policy of Modern Brazil', in Stephen Hook (ed.), *Comparative Foreign Policy: Adaptation Strategies of the Great and Emerging Powers*. Upper Saddle River, NJ: Prentice Hall, 2001

"'There are no rules'" [George W. Bush]. International Order after 11 September', *International Relations*, 16, 2002.

**Ian Jewitt** (Official Fellow) has been developing both the theory of information disclosure by sellers and the theory of overt information acquisition by buyers in various auction environments. The detailed study of seller disclosure has to date been hampered by the fact that the assumptions needed to characterise equilibria (which were identified in 1982 in a seminal contribution by Paul Milgrom and Robert Weber) mean that full disclosure always maximises revenue. Relaxing this assumption makes a larger class of statistical models applicable, leads to a richer theory of optimal disclosure and opens the door to a more dynamic theory 'news management'. A summary of this work was presented at the first FEEM auction conference in Milan. The study of buyer acquisition of information has been hampered by a similar technical obstacle: the difficulty of characterising equilibria when bidders are not *a priori identical*. This however can be shown to be not a problem for an important special class of environments which are moreover sufficiently rich to cast a fair amount of light on the issue. It turns out to be helpful to distinguish between (1) the aggregate information bidders have about the value of the object and (2) the information bidders have about each others' information. This distinction allows, for example, a natural classification of the various possible effects on seller revenues of overt information acquisition by one bidder. A summary of this work was presented at IDEI in Toulouse.

He was elected to the Council of the Royal Economic Society, served on the program committee of ESEM and remains an associate editor of *Economica*.

**Nevil Johnson** (Emeritus Fellow) has continued with writing a book about British constitutional theories and practices and the impact of recent constitutional changes on them. Considerable progress has been made and he hopes that completion of this work is now in sight. Since February 2001 he has been a member of an independent official commission set up by the Interior Minister of North Rhine Westphalia to report on the reform and future development of the public service there. This has involved meetings in Germany roughly every eight weeks. In October he presented to the commission a paper on processes of change in the British public services with particular reference to the Civil Service and to the thinking behind recent changes.

**Yuen Foong Khong** (Faculty Fellow) continued his work on United States foreign policy, human security, and the international relations of the Asia Pacific. On the United States foreign policy front, he co-organised a seminar series with Adam Roberts and Andrew Hurrell on 'September 11: Implications for World Politics' during the Michaelmas Term. He also prepared a reply to a recent critique of his book, *Analogies at War*, which was published in the *Japanese Journal of Political Science*. Among other things, his reply took the opportunity to survey recent findings about how US decision-makers use history in their policymaking and he found the latter are to be consistent with the central claims he made in the book. In March 2002, he attended a workshop on Asian Security at Cornell University, where he presented a paper on ASEAN's Post-Cold War Security Strategies. The paper argued that the proliferation of ASEAN-based institutions in post-Cold War Asia is best explained by the need to alleviate strategic uncertainty. The paper will appear in an edited volume by the Cornell Asian Security group. In June, he participated in a week-long Olin Institute (Harvard University) Summer Study on 'Thinking about China' in Cape Cod, Massachusetts. He presented a paper on Southeast Asia's perception of, and responses to, China's economic/military growth. The remit of the study group was to examine the latest social science and humanities-based research on China and her surrounding regions so as to arrive at a set of analytic suggestions – for further analysis and study – for the Office of Net Assessment, US Department of Defense. Other conferences attended include the International Institute of Strategic Studies Annual Conference in Geneva and the Asia Pacific Security Conference in Singapore.

### **Publications**

'Human Security: A Shotgun Approach to Alleviating Human Misery?', *Global Governance*, 7, 2001.

'The Agent-Structure Debate and America's Vietnam Options: A Reply to Professor Gavan Duffy', *Japanese Journal of Political Science*, 3, 2002.

**Uwe Kitzinger** (Emeritus Fellow), Visiting Scholar at the Harvard Centre for European Studies and Senior Research Fellow of the Atlantic Council, continues his study of the European Union and the transatlantic relationship. He also works on governance structure and negotiation issues with a number of NGOs, e.g. as Chairman of the International Association of Macro-Engineering Societies based at MIT, President of the Alliance Française de Grande-Bretagne, and on the Boards or as adviser to the Conflict Management Group, the Institute for Transition to Democracies, the Tufts programme of Education for Public Inquiry and International Citizenship and the Asian Disaster Preparedness Center.

**Paul Klemperer** (Professorial Fellow) continued to write about, and advise government agencies on, competition policy and auction design – several recent papers are at [www.pauklemperer.org](http://www.pauklemperer.org), including the publications listed below.

He advised the UK government on the world's first auction for greenhouse gas emissions reductions. The winners will be paid £215 million to reduce annual emissions by over 4 million

tonnes of CO<sub>2</sub>, a substantial movement towards the UK's Kyoto Protocol commitment. Since the '3G' mobile-phone licence auction (for which he was the principal auction theorist) gave many people the impression that auctions are just about raising lots of money (£22½ billion in that case), he was pleased to demonstrate that a well-designed auction can be the most efficient way to achieve other social objectives – here reducing global warming.

He is also a Member of the UK Competition Commission. His responsibilities included, for example, membership of the panel responsible for (in effect) determining the UK's and EU's decision on the proposed merger of two of the world's three largest cruise companies (P&O Princess and Royal Caribbean).

An important theme of his academic work is developing connections between auction theory and 'standard' economic theory, showing how situations that do not at first look like auctions can be recast to use auction-theoretic techniques, and how auction-theoretic tools and intuitions can provide useful arguments and insights into a broad range of mainstream economic settings. Another theme is evaluating what are the most important issues in practical auction design. He is also writing about competition in markets in which the compatibility of firms' products is important, and about pricing in internet markets.

He gave the *Alfred Marshall Lecture* to the European Economic Association annual meetings in Venice, the *Colin Clark Lecture* to the Econometric Society meetings in Brisbane, the *Lim Tay Boh Lecture* in Singapore, the keynote address to the Portuguese Economic Association's annual meetings, the opening speech for the new SEOR-ECRI centre in Rotterdam and talks to conferences and faculty seminars in Munich, Amsterdam, Warwick, London, and Stanford.

He is a Fellow of the British Academy and a Fellow of the Econometric Society. He serves on the Council of the Econometric Society, on the Council of the European Economic Association, and on the Council and the Executive Committee of the Royal Economic Society. He also serves on three editorial boards, directs the university's M Phil in Economics programme, and runs the college's internal industrial organization and economic theory seminars.

### ***Publications***

(with Jeremy Bulow) 'Prices and the Winner's Curse', *Rand Journal of Economics*, 33, 2002.

(with Ken Binmore) 'The Biggest Auction Ever: the Sale of the British 3G Telecom Licenses', *Economic Journal*, 112, 2002.

'What Really Matters in Auction Design', *Journal of Economic Perspectives*, 16, 2002.

'Some Observations on the British and German 3G Telecom Auctions', *ifo Studien*, 48, 2002.

'How (Not) to Run Auctions: the European 3G Telecom Auctions', *European Economic Review*, 46, 2002.

**Hans-Martin Krolzig** (Research Fellow) continued to work on the ESRC project 'Modelling, Forecasting and Policy in the Evolving Macro-economy' (with D F Hendry, A Banerjee, M P Clements and G E Mizon).

His research this year focussed on the econometrics of model selection: General-to-specific reduction procedures were developed to overcome the 'curse of dimensionality' in vector autoregressive (VAR) models. Structural recursive VAR models were found to provide a natural

framework for this approach. First Monte Carlo results suggest that the proposed model selection procedure recovers the DGP from a large unrestricted VAR with anticipated size and power, reduces the uncertainty associated with impulse responses, and delivers superior forecasts. These findings were confirmed in a paper with R Brüggemann (Humboldt) and H Lütkepohl (EUI), which compared the general-to-specific approach to selection procedures for subset VAR models that rely on information criteria. An empirical application of the proposed approach to the US wage-price spiral (jointly with P Flaschel, Bielefeld) revealed that the estimated US money wage and price Phillips curves can give rise to a locally unstable steady-state equilibrium, which however can be stabilized by monetary policy in form of a modified Taylor rule augmented by a control rule for real unit labour costs.

He presented papers at the following conferences: EC2 Conference, Louvain-la-Neuve; European Winter Meeting of the Econometric Society, Berlin; Workshop on 'Classification and Business Cycles', RWI Essen; Workshop on 'Teaching Economics and Econometrics', Copenhagen; ESEM02, Venice; VfS Annual Meeting, Innsbruck. He also delivered seminars at the University of Maastricht; Eberhard-Karls University, Tübingen; University of Bielefeld; and Humboldt University, Berlin.

### **Publications**

(with M P Clements) 'Can oil shocks explain asymmetries in the US Business Cycle?', *Empirical Economics*, 27, 2002.

(with M Marcellino and G Mizon) 'A Markov-Switching Vector Equilibrium Correction Model of the UK Labour Market', *Empirical Economics*, 27, 2002.

'Markov-Switching Procedures for Dating the Euro-zone Business Cycle', *Vierteljahreshefte zur Wirtschaftsforschung*, 70, 2001.

**Christian List** (Postdoctoral Research Fellow) worked on a range of topics in the area of individual and social choice.

On the technical side, Christian's work focussed on modelling individual and collective decision problems over systems of multiple interconnected propositions. In such decision problems, decisions on some of the propositions constrain decisions that can rationally be made on others. Examples of systems of multiple interconnected propositions are policy packages, legal doctrines or scientific theories, which typically consist of multiple components. Among other results, he proved a theorem suggesting that, under certain conditions, sequential decisions over multiple propositions are path-dependent, i.e. dependent on the order in which the propositions are considered.

On the philosophical side, he continued to explore the debate between two rival accounts of what makes democratic outcomes legitimate: the 'epistemic' account and the 'procedural' account. On the 'epistemic' account, democratic outcomes are legitimate to the extent that they track some independent truth as to what the correct best decision is. (In a jury decision, for example, we want the outcome to track the truth as to whether or not the defendant is guilty.) On the 'procedural' account, outcomes are legitimate to the extent that they have emerged through a decision procedure that has certain procedural merits. Christian's work aimed to investigate the implications of technical results from social choice theory, especially results related to the Condorcet jury theorem, for the philosophical debate between the two rival accounts of democratic legitimacy.

On the empirical side, he worked with James Fishkin, Robert Luskin (both University of Texas at

Austin) and Iain McLean (Nuffield College) on the question of whether group deliberation can transform the preferences of individual group members in such a way that they satisfy a condition called ‘single-peakedness’. This question is important for the following reason: If preferences across individual group members satisfy single-peakedness, certain pathologies of social choice can be avoided, most notably the ‘cycling’ problem, where a majority of group members prefers alternative A to B, a majority prefers B to C, and yet a majority prefers C to A. Using data from Fishkin’s *deliberative polls*, they showed that the empirical evidence is consistent with the hypothesis that group deliberation increases (partial) single-peakedness, measured by appropriate indices. The results also suggest that the positive effect of group deliberation on single-peakedness is greatest among those group members who learn the greatest amount of information through deliberation. Together with James Fishkin, Christian also began joint work with Donald Green and Cynthia Farrar (both Yale University) analysing data from a recent related field experiment on group deliberation in New Haven. The good progress on these projects was made possible by James Fishkin’s generous invitation which enabled Christian to spend a period in April 2002 at the Center for Advanced Study in the Behavioral Sciences at Stanford.

Christian completed several new working papers, and presented his research at a number of occasions. He was an invited speaker at the Department of Philosophy, Catholic University of Eichstätt (Germany), at the Department of Mathematics, Technical University of Clausthal (Germany), at CERGE-EI of Charles University, Prague, at the Department of Philosophy, Logic and Scientific Method at the LSE, at the Center for Advanced Study in the Behavioral Sciences at Stanford, at a Workshop on Institutional Evolution, held at the Max Planck Project Group on Common Goods in Bonn, and at an International Summer School on Philosophy and Probability, held at the University of Konstanz. He also gave papers at an ECPR Workshop on Deliberative Democracy in Theory and Practice, held in Turin (Italy), at the 2002 Conference of the European Public Choice Society, held in Belgirate (Italy), and at the 6th International Meeting of the Society for Social Choice and Welfare, held at Caltech.

Following a conference he co-convoked in September 2001, he co-edited a book with Christoph Lütge (University of Munich) and Anne van Aaken (Humboldt University at Berlin) titled *Deliberation and Decision: A Dialogue Between Economics, Constitutional Theory, and Deliberative Democracy*, forthcoming in the new academic year.

Jointly with Anne Sliwka (University of Erfurt, Germany) he taught a course on ‘Democracy and Deliberation’ at a summer school for talented students at Abitur level organized by the German Government. As part of this course he and Anne Sliwka ran a group deliberation experiment related to the empirical research questions on single-peakedness described above. The results of the experiment are presented in a working paper in German.

Jointly with Elaine Tan (Nuffield College), he co-convoked a weekly Workshop on Economics, Philosophy and Cognition, held at Nuffield College throughout the academic year, and he also convoked the newly initiated Nuffield College Working Paper Series in Politics.

He was a referee for papers submitted to *Economics and Philosophy*, *Public Choice*, *British Journal of Political Science*, and *Politics, Philosophy & Economics*.

### ***Publications***

‘A Note on Introducing a “Zero-Line” of Welfare as an Escape Route from Arrow’s Theorem’, *Pacific Economic Review*, 6, special section in honour of Amartya Sen, 2001.

(with Robert E Goodin) ‘Epistemic Democracy: Generalizing the Condorcet Jury Theorem’,

*Journal of Political Philosophy*, 9, 2001.

(with Philip Pettit) 'Aggregating Sets of Judgments: An Impossibility Result', *Economics and Philosophy*, 18, 2002.

'Two Concepts of Agreement', *The Good Society*, 11, 2002.

'Intradimensional Single-Peakedness and the Multidimensional Arrow Problem', *Theory and Decision*, 52, 2002.

**Ian Little** (Emeritus Fellow). Oxford University Press is reissuing *A Critique of Welfare Economics*, publication date 5 September 2002. It has been out of print for nearly 30 years. I have contributed a new preface. My new book entitled *Ethics, Economics and Politics* is expected to be published, under the Clarendon Press imprint, on 27 September. It explores the overlaps of the three subjects.

**Lord McCarthy** (Emeritus Fellow) continued to serve as a member of the Arbitration Panel of the Advisory Conciliation and Arbitration Service and as a member of the Civil Service Arbitration Panel. He chaired meetings of the TUC Disputes Committee and submitted a memorandum on Parts Two and Three of the 2002 Employment Bill.

He gave the keynote address to the Butterworth Tolley Conference on 'The New Legal Framework for Information, Consultation and Negotiation: Past Trends and Future Prospects'. He contributed to the *New Dictionary of National Biography*.

**Kenneth Macdonald** (Faculty Fellow) spent some of the year addressing a social policy issue. Government had announced: '150 social services departments in England would be graded with star ratings . . . similar to the system being introduced to distinguish between good, bad and indifferent hospitals. In a decisive break with the past, social services will be ranked on their performance, with more freedom and rewards for the best and more help for the worst.' But detailed multivariate analysis of the proposed indicators indicated that their behaviour was not compatible with their interpretation as measures of competence. Had they located, as claimed, 'top performing councils', then one might reasonably expect that, within one performance area (such as children's services) there would be association across indicators. The data do not support this. (The obvious alternative hypothesis – the indicators measure problem distribution and delivery difficulty, not quality of service – is, *at this level of aggregation*, not supported. Adding demographic data, and the Oxford-generated DTLGR Indices of Deprivation for districts in England revealed no intelligible patterns. Which suggests that government has, besides misinterpreting its indicators, chosen, on this, the wrong level of aggregation for resource allocation.)

In less 'political' vein, he has continued work (with Dr Frazer, New College) on the determinants of political knowledge. And he thinks he has made some progress on his twin obsessions of 'particular' and 'adventitious' goods and their interconnections. It will be interesting to see whether that perception survives the writing-up.

### **Publication**

(with M.S.Grieco) 'Transforming Contours: Information Technology in Cities and Regions in Transition', *European Spatial Research and Policy*, 9, 2002.

For **Iain McLean** (Official Fellow) it was a year of two halves. The first (short) half was dominated by Thomas Jefferson; the second (long) half, by Joel Barnett.

As William H Orrick Professor in the Program in Ethics, Politics and Economics at Yale from September to December, Iain taught two courses. One of them was on 'Jefferson in Paris', aiming to track the mutual influence of the American and French Enlightenments on one another, and on each country's Bill or Declaration of Rights, viewed through the pivotal figure of Jefferson as American Minister in Paris from 1784 to 1789. A paper on this was presented to a human rights conference in Bellagio in June and will be included in a conference book. The Yale Collection of Musical Instruments includes a harpsichord by Kirkman of London, from whom Jefferson in Paris commissioned an instrument for his daughter. While taking his class to view it, Iain had the spine-tingling experience of playing the Kirkman and other 18th-century instruments from the collection, which are not normally available to play. This was the highlight of his four months in Yale. He later saw another Kirkman in Jefferson's house in Monticello, but it was neither playable nor the authentic instrument that Jefferson bought for his daughter.

A single-authored book on Jefferson in Paris was contemplated, and may yet happen, but was elbowed aside by events later in the year. However, Thomas Jefferson will still be there, if need be as a retirement project. The chapter on Jefferson's best friend James Madison, mentioned in last year's report, went through further revisions and will be published in 2002-3. A short research trip to Boston took him to the books of Jefferson's lifelong rival John Adams. Both Jefferson and Adams annotated their copies of Enlightenment authors, Jefferson sparingly, Adams copiously and crossly. A comparative paper could result.

On returning to Oxford, Iain's research (re)turned sharply to UK public policy. The 'Attitudes to the Union' project (with Alistair McMillan) mentioned last year is now under way. Work includes analysis of Unionist and anti-Unionist votes and ideologies in 1707, 1800, 1886, 1921 and the present day. A book, *State of the Union*, is under contract to Oxford University Press for publication in 2004. Since at least 1886, the trickiest problems of asymmetric Union have been representation and finance. The current ('Barnett') financial formula for devolution is under severe strain. Extensive policy work and consultation with the Treasury and elsewhere on Barnett and possible alternatives occupied much of the long half of the year, culminating in oral evidence to the Treasury Select Committee in July. A College working paper on 'The Fiscal Crisis of the UK' was produced but has deliberately been withheld from journal submission while these discussions continue. However, a book with the same title is under contract to Palgrave for publication in 2005.

A contract valued at about £176,000 was secured with the DTLR (now ODPM) to investigate the flow of domestic and European public spending into the English regions. This will lead to further work on the non-Barnett formulae that determine this flow, and on explaining the anomalies that appear to exist, notably between north-east England and Scotland, and between London and its surrounding regions.

Other policy work covered the reform of the House of Lords (where Iain claims some credit for the withdrawal of the government's White Paper on the subject, which, he argued, would require the appointment of 73 mostly female faith representatives to the upper house); the constitution of the European Union; and response to disasters.

The second edition of the *Concise Oxford Dictionary of Politics* (consultant editor I McLean; executive editor A McMillan) was submitted during the year, with grateful thanks to collaborators in Nuffield and elsewhere who wrote new entries in short time and for no reward to speak of.

Papers were given at the Southern Political Science Association, Atlanta, Georgia; at departmental seminars at the Universities of Wisconsin-Madison, Emory, Pennsylvania and Essex; at the Harvard-MIT Seminar in Positive Political Economy; at the Jefferson Foundation conference 'Thomas Jefferson and Human Rights', Bellagio, Italy; at the ESRC Research Seminar series on Disasters at Edge Hill University College; and at several government research conferences. With Chris Wlezien and Geoff Evans, he convened the Nuffield Political Science Seminar.

### **Publications**

(with F McGillivray, R Pahre and C Schonhardt-Bailey) *International Trade and Political Institutions instituting trade in the long nineteenth century*. Cheltenham: Edward Elgar 2001.

'William H Riker and the invention of Heresthetic(s)', *British Journal of Political Science*, 32, 2002.

'The Importance of Being Important', *IWA Agenda*, Autumn, 2001.

'Scotland: towards Quebec – or Slovakia?', *Regional Studies*, 35, 2001.

'Memorandum by Professor Iain McLean, Professor of Politics, University of Oxford: Cm 5291: The House of Lords – Completing the Reform', in *House of Commons, Public Administration Select Committee, The Second Chamber: Continuing the Reform, Fifth Report of Session 2001-02, Minutes of Evidence, 2002*. HC 494-II.

'Memorandum by Professor Iain McLean, Professor of Politics, University of Oxford', in *House of Lords, Select Committee on the Constitution, Devolution: inter-institutional relations in the United Kingdom: Evidence, complete to 10 July 2002*. HL 147 2001-02.

**Alistair McMillan** (Research Officer) started work on a Leverhulme Trust funded project on 'Attitudes to the Union' with Iain McLean. The work involved historical investigation of the constitutional structure of the UK going back to 1707; the resurrection of survey data on attitudes on devolution and nationalism from the 1970s; and commentary on current reforms of regional finance, including the intricacies of the Barnett formula and replacement of the SSA system. Oxford University Press have agreed to publish the outcome of this research as a book, provisionally entitled *State of the Union*.

Another venture undertaken with Iain McLean was editing a revised edition of the Oxford Concise Dictionary of Politics. This involved updating existing entries, and commissioning and writing new entries. A number of Nuffield Students and Fellows were co-opted to help with this project, which was greatly appreciated by the editors. Alistair wrote entries on a diverse range of subjects, including Kautilya, Ambedkar, Camus, Voeglin, vote banks, age, humanitarian intervention, Private Finance Initiative, and dyarchy. The manuscript was sent to the publishers in July 2002.

He continued to work on Indian politics, presenting work at a conference of South Asian scholars in Ann Arbor, Michigan, and publishing articles on electoral reform and delimitation. There are plans for a book, written in collaboration with Anthony Heath (Nuffield) and Yogendra Yadav (CSDS in Delhi), looking at the modern electoral politics of India.

**Gordon Marshall** (Official Fellow) has been on leave of absence while he holds the post of Chief Executive of the Economic and Social Research Council. With some sadness and many



fond memories, he has now resigned his Fellowship and will be moving on to become Vice-Chancellor of the University of Reading, a new challenge to which he is nevertheless greatly looking forward.

**Richard Mayou** (Professorial Fellow) has continued his research and published on the psychological, psychiatric and social consequences of road traffic accidents, heart disease and other medical problems.

The main theme of the year's publications was the frequent occurrence of psychiatric disorders and of social consequences for victims of road traffic accidents, consequences which are very largely unrelated to the severity of any physical injury. Psychological problems (anxiety about travel, post-traumatic stress disorder, depression) are often disabling but are frequently unrecognised and untreated. It is also apparent that chronic neck pain (whiplash) and other musculo-skeletal pain are common, substantially defined by social, psychological and behavioural factors, and associated with limitations of work and social life. A recently completed project shows that psychological (cognitive behavioural) treatment can be very effective.

These findings have led to an involvement in a working group with legal and insurance organizations to consider the ways in which medical, social and legal changes might substantially reduce a very expensive clinical problem. It is apparent that aspects of current medical care and socio-legal factors are exacerbating and maintaining problems.

Amongst other research interests he has been working with cardiologists to examine the impact of a newly established Rapid Access Chest Pain Clinic. This is one of the first of such clinics which will be established throughout the county with the aim of improving the diagnosis of heart disease as a particularly important cause of the very common symptom of acute chest pain. His quantitative and qualitative studies are leading to conclusions about the ways in which rapid diagnosis needs to be accompanied by substantial changes in the way that information is given and treatment initiated for patients, whether or not they have heart disease. It is believed the conclusions will have wider significance in making assessment much more effective at the beginning of medical treatment.

In addition to research he has continued to be involved in University activities within the Medical Sciences Division and also as a member of the University's Library Curators and Information and Technology Committees, and Buildings and Estates sub-committee.

### ***Publications***

(with B Bryant) 'Outcome in Consecutive Emergency Department Attenders Following a Road Traffic Accident', *British Journal of Psychiatry*, 179, 2001.

(with D R Thompson, A Clements, C H Davies, S J Goodwin, K Normington, N Hicks and J Price) 'Guideline-based Early Rehabilitation after Myocardial Infarction. A Pragmatic Randomised Controlled Trial', *Journal of Psychomatic Research*, 52, 2002.

(with D Sprigings, J Birkhead and J Price) 'A Randomised Controlled Trial of a Brief Educational and Psychological Intervention for Patients Presenting to a Cardiac Clinic with Palpitation', *Psychological Medicine*, 32, 2002.

(with A Ehlers and B Bryant) 'Posttraumatic Stress Disorder after Motor Vehicle Accidents: 3-year Follow-up of a Prospective Longitudinal Study', *Behaviour Research and Therapy*, 40, 2002.

(with B Bryant) 'The Psychiatry of Whiplash Neck Injury', *British Journal of Psychiatry*, 180, 2002.

(with B Bryant) 'Outcome Three Years after a Road Traffic Accident', *Psychological Medicine*, 32, 2002.

'Psychiatric Consequences of Motor Vehicle Accidents', in J L Levenson, C G Lyketsos and P T Trzepacz (eds.), *The Psychiatric Clinics of North America: Psychiatry in the Medically Ill*. Philadelphia: W B Saunders, 2002.

(with A Ehlers and B Bryant) 'Posttraumatic Stress Disorder after Motor Vehicle Accidents: 3-year Follow-up of a Prospective Longitudinal Study', *Behaviour Research and Therapy*, 40, 2002.

(with J Murray and A Ehlers) 'Dissociation and Posttraumatic Stress Disorder: Two Prospective Studies of Motor Vehicle Accident Survivors', *British Journal of Psychiatry*, 180, 2002.

**Margaret Meyer** (Official Fellow) continued research on the internal organization of firms and the economics of incentives, information, and contracts. With Alessandro Lizzeri (NYU) and Nicola Persico (Pennsylvania), she pursued a project entitled 'The Incentive and Sorting Effects of Interim Performance Evaluations'. In many organizations, important promotion decisions (e.g. to partnership) are preceded by several periods during which employees' performance is evaluated, and the organization faces a choice about how much feedback to provide to employees. The research examines the effects of providing feedback, both on employees' incentives to exert effort and on the quality of the organization's promotion decisions. The research is potentially relevant to other contexts as well, such as the debate over the merits of continuous assessment in education. This work was presented in Berlin at a conference on 'Contests in Politics and Industrial Organization' and in Stockholm at a conference on 'The Economics of Personnel and Organizations'.

With Christopher Avery (Harvard), she continued work on 'Designing Hiring and Evaluation Procedures when Evaluators are Biased'. This project concerns settings where decisions are based on recommendations by informed, but potentially biased, evaluators. The central questions are i) How do evaluators' biases affect the amount of information communicated and the quality of decisions? and ii) How can consultation procedures be designed to mitigate the effects of these biases? This research was presented in Oxford.

She also pursued a project entitled 'The Tradeoff between Information Acquisition and Information Transmission'. This work, too, concerns settings where decisions are based on information supplied by biased advisors. It studies how the advisors' incentives to acquire relevant information are affected by the consultation procedure employed by the principal, and shows that procedures that improve information transmission may actually induce less information acquisition and thereby worsen the overall quality of decisions.

Along with Andrew Postlewaite (Pennsylvania), she taught advanced doctoral students at the Royal Economic Society Easter School in Birmingham. She is a member of the organizing committee of i) the annual European Summer Symposium in Economic Theory at Gerzensee and ii) the conference series on 'Incentives and Beyond: The Economics of Personnel and Organizations'.

**David Miller** (Official Fellow) worked in several distinct areas of political theory and political philosophy. He developed further his research on the idea of national responsibility, and the

implications this has for our thinking about international justice. He gave lectures on this topic at the Universities of York and Sheffield, and also to an international conference at the University of St Andrews. In collaboration with Cecile Fabre, he wrote a paper on the issue of whether it is possible to identify cross-culturally a minimum standard of living that every human being was entitled to.

He also spent some time looking at empirical research on altruistic behaviour, in preparation for the keynote lecture at a conference on the ethics of altruism at Royal Holloway College. The key question here is what prompts people to intervene to help other people in need in situations where there are numbers of potential rescuers, and what devices are available for allocating responsibility in such situations.

Finally, he continued to write about issues of justice, drafting a reply to seventeen critics of his earlier work on social justice and nationality which will appear in a volume to be published in the autumn, and writing a new paper on the concept of desert. For the University he contributed to the M Phil programme in Politics and served as Chairman of Examiners for that degree. He continued to sit on the Politics Department's Graduate Studies Committee.

Towards the end of the year he was elected as a Fellow of the British Academy, and awarded the title of Professor of Political Theory by the University.

### ***Publications***

(editor with Sohail Hashmi) *Boundaries and Justice: Diverse Ethical Perspectives*. Princeton: Princeton University Press, 2001.

'Distributing Responsibilities', *Journal of Political Philosophy*, 9, 2001.

'Two Ways to think about Justice', *Politics, Philosophy and Economics* 1, 2002.

'Group Rights, Human Rights and Citizenship', *European Journal of Philosophy*, 10, 2002.

'The Justification of Political Authority', in D Schmitz (ed.), *Robert Nozick*. Cambridge: Cambridge University Press, 2002.

'Is Deliberative Democracy Unfair to Disadvantaged Groups?' in M D'Entreves (ed.) *Democracy as Public Deliberation*. Manchester: Manchester University Press, 2002.

**John Muellbauer** (Official Fellow). The ESRC-supported project held jointly with David Hendry and Bent Nielsen, 'Modelling Non-stationarity in Economic Time Series' was completed at the end of 2001 and was awarded an 'outstanding' grade by the ESRC. An application to the ESRC for a new 3-year project with Bent Nielsen, Gavin Cameron, David Hendry and Adrian Pagan was submitted. The theme of the new proposal is 'New Methods for Improving Macroeconomic Modelling'. Work continued on the two-year project with Janine Aron funded by the Department for International Development (DfID): 'Governance and Inflation Targeting in South Africa for Sustainable Growth'. This involves further modelling of the inflation process in South Africa, an examination of the efficiency of possible monetary policy rules and improvements in institutional design. An innovative feature of our inflation forecasting work with the South African Reserve Bank is to model the components of inflation to improve the overall inflation forecast. This has proved highly topical, given the exchange rate and food-price inspired inflation burst in South Africa in 2002. With Chris Adam, Janine Aron, and David Bevan, John

applied to DfID for a 5-year Development Research Centre on the macroeconomics of low-income countries (to be based at Oxford's Economics Department).

An invited paper with Janine Aron on forecasting growth in South Africa one year ahead, exploring the impact of interest rates on output, was presented at the IMF's 2nd Annual Research Conference and is to appear in IMF Staff Papers. Work continued with Luca Nunziata on a quarterly version of a US GDP forecasting paper. Work also continued with Gavin Cameron on several U.K. housing market issues, including mortgage defaults.

This year saw the completion of a project for the Bank of England with Emilio Fernandez-Corugedo on consumer credit and mortgage markets in the UK. Major structural changes have taken place in these markets since the late 1970's, resulting in much higher loan-to-value and loan-to-income ratios becoming available for mortgage borrowers. Correspondingly, these have allowed the ratios of consumer credit and mortgage debt to household income to rise strongly. We use micro data from the Survey of Mortgage Lenders and data on household debt aggregates to extract a non-price credit conditions index, after controlling for many economic and demographic influences on credit. This index is likely to prove important in explaining other features of personal sector behaviour: consumer spending, the demand for broad money, house prices and housing market turnover, and mortgage default rates. As argued in a keynote talk at the Vienna conference of the European Housing Research Network, these changes in UK credit conditions are the temporal expression of some of the basic cross-country institutional differences between the UK and core Eurozone economies, which are liable to prove problematic for the UK's adoption of the Euro, and are already a source of tension for the common monetary policy between some members of the Eurozone.

New research with Justin van de Ven examined the question of how to identify in principle and estimate in practice, the equivalence scales implicit in a country's tax and benefit system. Equivalence scales are used in studies of income inequality and redistribution to adjust income levels of households of different compositions to a comparable basis. It is often argued that equivalence scales are incompatible with social benefit and tax regimes used in many countries, but this is not the case in our framework.

John contributed to a seminar of the Cabinet Office's Performance and Innovation Unit on geographical mobility, and was invited to comment on preparatory work by the Treasury on the five economic tests for EMU.

John completed his second year as college investment bursar for the non-property portfolio in one of the most trying periods for equity markets since the Second World War.

Research papers were presented at the Bank of England, the South African Reserve Bank, at Oxford, several Oxford Economic Forecasting conferences and at the European Meetings of the Econometric Society in Venice, as well as the ENHR and IMF conferences already mentioned.

### ***Publications***

(with Gavin Cameron and Jonathan Snicker), 'A Study in Structural Change: Relative Earnings in Wales Since the 1970s', *Regional Studies*, 36, 2002.

'Mortgage Credit Conditions in the UK', *Economic Outlook*, 26, 2002.

**Karma Nabulsi** (Prize Research Fellow) spent much of this past year continuing her research on the 19th century theory and practice of republican war in Europe (and *Young Europe* in

particular), at archives in Bologna, Besançon, Florence, Geneva, and Paris. She has just been awarded a two year Leverhulme Research Grant (from 2003-05) to complete this work. She gave papers at the philosophy and law departments at Sarajevo University on the philosophy and history of the laws of war in September, and in October on republican underground networks in the mid 19th century at a conference organised by the history department of the European University Institute at Florence. She also organised three research networks of scholars. The first is to advance the establishment of civic structures for Palestinian refugees outside the West Bank and Gaza, in collaboration with the European Union's Commission of External Relations. The intellectual groundwork for these structures, as well as for a Schuman Institute Policy Paper, was laid at a workshop convened at the EUI in November. The second is the British Academy sponsored network which she directs, entitled *Republicans without Republics: National and International Networks in the Construction of State in 19th Century Europe*. A two day workshop at Nuffield was convened in February bringing together historians from Poland, Italy, Greece, Hungary, Germany, England, and France, as well as UK based historians of political thought and political theorists. The third network was a pilot project convened with Professor Ilan Pappé of Haifa University sponsored largely by Nuffield with the additional support of St Antony's Middle East Centre and the Refugee Studies Centre at Oxford. It brought together Palestinian and Israeli historians, heads of academic institutions, grass-roots representatives of refugee associations, oral historians, as well as sociologists, political scientists, and anthropologists. The workshop explored ways of advancing collaborative intellectual research on the history of the expulsions of Palestinian civilians in 1948. She wrote papers on the virtues in early 19th century republican thought, French republican war in 19th century France, and on notions of homeland and the general will. She much enjoyed teaching a university research seminar for the CIS, as well as the various college committees she was a member of – in particular Nuffield's new Committee of Public Safety (also known as *Strategy and Resources*).

### **Publication**

“La Guerre Sainte”: Debates About Just War among Republicans in 19th Century France’, in S Hazareesingh (ed.), *The Jacobin Legacy in Modern France. Essays in Honour of Vincent Wright*. Oxford: Oxford University Press, 2002.

**Bent Nielsen** (Non-Stipendiary Research Fellow) finished the ESRC project ‘Modelling Non-stationarity in Economic Time Series’ (with D F Hendry, J N J Muellbauer, J A Doornik, G Cameron and L Nunziata). He continued to work on statistical models for explosively growing processes. One paper was completed, describing how to do cointegration analysis in the presence of explosive processes. This methodological work is currently used for an empirical analysis of the Yugoslavian hyperinflation in the early 1990s in a joint project with Z Mladenovic.

This year he organised the second Royal Economic Society Easter School in econometrics. Together with D F Hendry and N Shephard he has obtained an ESRC grant to organise future Easter Schools.

He gave departmental seminars at Copenhagen, LSE, Odense, Sheffield, and Southampton and presented papers at conferences organised by the ESF-Network on ‘Econometric Methods for the Modelling of Nonstationary Data, Policy Analysis, and Forecasting’ held in Copenhagen and Arona.

### **Publications**

‘Conditional Test for Rank in Bivariate Canonical Correlation Analysis’, *Biometrika*, 88, 2001.

**Volker Nocke** (Postdoctoral Research Fellow) spent his first year as an Assistant Professor of Economics at the University of Pennsylvania, while being on unpaid leave from Nuffield College. He resigned his post at Nuffield at the end of the academic year, keeping fond memories of his time there.

Apart from continuing with some older work, he started two projects with his new colleagues at Penn. Both projects concern the analysis of (horizontal) mergers, but from very different perspectives. The first, which is joint work with George Mailath and Andrew Postlewaite (both of the University of Pennsylvania), looks at the incentive costs of mergers. The second, joint with Armando Gomes and Rafael Rob (both of the University of Pennsylvania), analyses endogenous mergers with forward-looking firms in a dynamic industry model (which allows for endogenous firm entry and exit). Moreover, he worked on a new project on monopoly pricing under demand uncertainty (joint with Martin Peitz, now of the University of Mannheim). Finally, when visiting Nuffield for a week in June, he started to work with Lucy White (another PRF who is leaving for a US university) on 'Do Vertical Mergers Facilitate Upstream Collusion?'.

He served on the programme committee of the 2002 European Summer Meeting of the Econometric Society (ESEM) in Venice, and again as referee for major economics journals (such as the *American Economic Review*, the *Review of Economic Studies*, the *Journal of Economic Theory*, and the *International Economic Review*). Moreover, he co-organised the Applied Microeconomic Theory Seminar at Penn. He gave talks at research seminars at Cornell University, the University of Pennsylvania, Rutgers University, and the London School of Economics, as well as at the North American Winter Meeting of the Econometric Society in Atlanta, and a workshop in theoretical industrial organisation at the University of Texas-Austin.

**Luca Nunziata** (Research Officer) continued to work on the ESRC project 'Modelling Non-stationarity in Economic Time-Series' with John Muellbauer, David Hendry, and Jurgen Doornik. He extended further the analysis pursued with John Muellbauer of a comprehensive one-year ahead forecasting model of US per capita GDP. This research has helped to inform college investment strategies. He also continued to work on the effects of labour market institutions on the performance of OECD economies. He wrote a paper on the effects of interactions between labour market institutions and macroeconomic shocks on unemployment, and a new paper with Steve Nickell and Wolfgang Ochel on unemployment patterns in the OECD. He also continued his work on regional disparities in Italy, with a particular focus on the role played by criminality. Finally, he completed his DPhil Thesis and was granted the leave to supplicate for the degree of Doctor of Philosophy.

Seminar and conference presentations included talks in Oxford, Florence, Milan, at the LSE conference 'Macro Models of the Labour Market' and at the European Association of Labour Economists conference.

### **Publication**

(with S J Nickell, W Ochel and G Quintini) 'Why Jobless Rates Differ?', *CentrePiece*, 6, 2001.

**Adrian Pagan** (Professorial Fellow) continued to work on cycles with a number of researchers. With Don Harding of the Melbourne Institute he produced papers on some of the econometric difficulties raised when using standard indicators of cycles in econometric equations. These indicators are binary variables marking out the times of recessions and expansions. There has been quite a bit of research on trying to predict recessions and expansions using variables such as the spread between short and long interest rates. They are also sometimes used as regressors in relationships e.g. the idea that the impact of monetary policy changes with the state of the

business cycle. Apart from their use in business cycle analysis, binary indicators are often formed to determine when there is a 'crisis'. Thus there is quite a bit of quantitative work carried out with such indicators but relatively little analytical work on the econometric difficulties inherent in using them. The latter stem from the fact that these variables are inevitably constructed from some observed series with a set of rules, and it turns out that one has to pay careful attention to the method of their construction in order to determine what econometric problems arise in their use. Another paper written with Don Harding dealt with issues relating to European business cycles.

He also did some work with Larry Taylor of Lehigh University on the issue of whether there is duration dependence in business and stock market cycles i.e. once one gets into an expansion or a bull market in stock prices does the probability of leaving it vary with the period of time spent in it. Techniques were developed to answer this question and applications made to US business and stock market cycles.

During the year he commenced working on a report commissioned by the Board of Directors of the Bank of England into the modelling and forecasting systems in place in the Bank. This report is due to be presented to the Board of Directors in late 2002. He gave invited addresses to the CEPR/Banca d'Italia Conference on *Monitoring the Euro Area Business Cycle*, the Korean International Economic Association, and the Federal Reserve Bank of San Francisco Annual Conference. He was an invited discussant at the CEPR conference on *New Methods for Business Cycle Analysis*. Seminars were presented at the University of Manchester, Oxford University, University of Hong Kong, Hong Kong University of Science and Technology and the European University Institute. A set of lectures on business cycles was also given at the latter.

### ***Publications***

'The Getting of Macro-Economic Wisdom', in J Drèze (ed.) *Advances in Macroeconomic Theory*. New York: Palgrave, 2001.

'Do Markov-Switching Models Capture Non-linearities in the Data? Tests Using Non-parametric Methods', *Proceedings of the International Congress on Modelling and Simulation*, 3, 2000.

(with John Robertson) 'Forecasting for Policy', in M P Clements and D F Hendry (eds.), *A Companion to Economic Forecasting*. Oxford: Blackwell, 2002.

(with D Harding) 'Dissecting the Cycle: A Methodological Investigation', *Journal of Monetary Economics*, 49, 2002.

'Learning about Models and their Fit to Data', *International Economic Journal*, 16, 2002.

**Clive Payne** (Faculty Fellow) spent most of his sabbatical leave for Michaelmas 2001 at the Institute for European and American Studies, Academia Sinica, Taipei, Taiwan where he gave a paper on election forecasting in the UK 1970-2000 which will be published in *EurAmerica*. He took part in election observation missions for the Kosovo Assembly in November, the Taiwan Yuan Assembly in December, and the Macedonian Parliament in September.

He worked as psephological consultant for a lobby group, the Association for Due Process and the Constitution, in Bermuda which made representations to the Bermudian Boundary Commission which drew up proposals for the introduction of a single-member district electoral system and the number and boundaries of constituencies.

He was member of the Publications Review Working Party of the Royal Statistical Society and of the Commissioning Panel for the ESRC's Research Methods Programme.

He completed his stint as Joint Editor of *Statistics in Society*, a journal of the Royal Statistical Society.

He retired at the end of the academic year.

**Jeremy Richardson** (Supernumerary Fellow) retired from his University post (and Directorship of the Centre for European Politics, Economics and Society) in December, following successful treatment for cardiac problems earlier in 2001. He was appointed Senior Tutor at Nuffield College for three years beginning in Michaelmas Term 2001. He continues to edit the Journal of European Public Policy (JEPP), now in its ninth year, and to write on aspects of European integration, and on the Swedish policy process.

### **Publication**

(with Sonia Mazey) 'Pluralisme ouvert ou restreint? Les groups d'intérêt dans l'Union européenne', in Richard Balme, Didier Chabanet and Vincent Wright (eds.), *L'action collective en Europe*. Paris: Presses de Sciences Po, 2002.

**Jane Roberts** (Data Services Officer) managed the Data Library, which continued to expand with new and revised datasets from around the world. She has overseen the move of the Data Library from the Social Studies Faculty's Computing and Research Support Unit into College. She attended user group workshops on many of the commonly-used datasets. She maintained links with researchers and archives outside Oxford and remained an active member of the International Association for Social Science Information Service and Technology, which encourages communication between data managers worldwide. She attended their 2002 conference in Connecticut.

**Kevin Roberts** (Professorial Fellow) continued research on the efficiency of competitive markets in general and, in particular, he rekindled an interest in the incentives that exist for the appropriate number and variety of markets to operate under competitive conditions. Much work has investigated organizational structure within markets but very little work has looked at the endogenous supply of markets. This supply can take several forms; for instance, intermediaries may be viewed as market makers. Buyers and sellers may search across markets and, for market makers, this search decision is akin to decisions taken in moral hazard problems. In view of this, it is surprising that competition between markets can lead to overall efficiency. Another research interest was in theoretical models of the dynamic behaviour of agents with endogenous tastes. This grew from an interest in the dynamic behaviour of organizations where decision making is through voting. In a best case scenario, voting behaviour is rational and follows the preferences of the median voter. But in dynamic environments, constituencies can change composition and so the median voter changes and with it the tastes of the median voter. With endogenous tastes, behaviour incorporates rigidities and these rigidities encourage other rigidities of behaviour.

He continued as a member of the editorial board of *Oxford Economic Papers* and as an associate editor of the *Economic Journal*. In college, he continued his term as Property Investment Bursar.

**Patrick Schmidt** (Research Fellow). In the past year, Schmidt continued fieldwork on a project seeking to understand the 'microlevel' interaction of corporate officers, lawyers, and accountants in the process of cross-border financial transactions. Made more timely by the scandal involving the energy giant Enron, a series of interviews has sought to identify the pattern of relationships



and contextual factors that make possible compliance with and accountability to securities regulators. At the same time, Schmidt has pursued numerous other projects. One of these, with Paul Martin (Wadham College), examines judicial behaviour in the context of issues affected by rapidly changing technology, looking at how courts adapt or fail to adapt to new or radically redefined legal problems. Schmidt left Nuffield in August 2002 to take a position in the United States as an assistant professor in political science at Southern Methodist University, Dallas, Texas.

### ***Publications***

‘Pursuing Regulatory Relief: Strategic Participation and Litigation in US OSHA Rulemaking’, *Business and Politics*, 4, 2002.

‘The Dilemma to a Free People: Justice Robert Jackson, Walter Bagehot, and the Creation of a Conservative Jurisprudence’, *Law and History Review*, 20, 2002.

**L J Sharpe** (Emeritus Fellow). Editorial work on preparing a volume of essays on the EU under the auspices of the European Consortium of Political Research continued but was not completed. Other work on the EU was also carried out. Various teaching engagements were also undertaken.

**Neil Shephard** (Official Fellow) had a productive year working on some aspects of financial econometrics related to the use of high frequency data. Particular effort was put into work on a new framework for the analysis of covariance and regression amongst asset prices. This is work with Ole Barndorff-Nielsen (Aarhus). Other research covered a wide range of issues in theoretical econometrics in joint work with Jurgen Doornik, Siem Jan Koopman and Anders Rahbek.

He gave invited addresses at the European Meeting of the Econometric Society, Venice and the 2nd MaPhySto Conference on Levy Processes – Theory and Applications. He gave econometrics seminars at Penn, European Central Bank, Northwestern, Princeton University, Cornell and finance seminars at Northwestern, Stern Business School (NYU), Imperial College, Warwick. He taught on the CRM Summer School (Barcelona) on Mathematical Finance and the Summer school ‘From Levy Processes to Semimartingales’ – recent theoretical developments and applications to finance the Centre for Analytic Finance, University of Aarhus. He was a co-organiser of a meeting on ‘State space and unobserved components models’, a meeting in honour of Jim Durbin, Amsterdam. He was also a co-organiser of the Royal Economic Society’s Easter School in Econometrics and the Royal Statistical Society’s Summer School in Statistics, both held at Nuffield College.

He continues to edit the Royal Economic Society’s *Econometrics Journal*, while also working on the editorial board of *Econometrica* and *Review of Economic Studies*.

During the year he was in charge of the University’s and College’s admissions into the economics graduate programme and spent quite a lot of time redesigning the content of the Economics Department website – [www.economics.ox.ac.uk](http://www.economics.ox.ac.uk).

### ***Publications***

(with Jurgen A Doornik and David F Hendry) ‘Computationally-intensive Econometrics using a Distributed Matrix-programming Language’, *Philosophical Transactions of the Royal Society of London*, Series A, 360, 2002.

(with Ole E Barndorff-Nielsen and Elisa Nicolato) ‘Some Recent Developments in Stochastic

Volatility Modelling', *Quantitative Finance*, 2, 2002.

(with Ole E Barndorff-Nielsen) Econometric analysis of realised volatility and its use in estimating stochastic volatility models, *Journal of the Royal Statistical Society, Series B*, 63, 2002.

(with Siddhartha Chib and Federico Nardari) 'Markov Chain Monte Carlo Methods for Stochastic Volatility Models', *Journal of Econometrics*, 108, 2002.

(with Siddhartha Chib) 'Comment on "Numerical techniques for maximum likelihood estimation of continuous-time diffusion processes" by G Durham and A R Gallant', *Journal of Business and Economic Statistics*, 20, 2002.

**Hyun Song Shin** (Senior Research Fellow) completed a paper on financial disclosures and asset returns. By coincidence, the Enron affair and other accounting scandals in the US gave this topic a sudden topicality that was not foreseen when the project was begun. Accounting disclosures are tinged with self-interested motives, and the market's response is to discount any disclosure appropriately to take account of this bias. The residual uncertainty determines the subsequent risk, and hence the asset's price. It turns out that the uncertainty facing the market following a bad outcome is worse than that following a good outcome, giving rise to several predictions that appear consistent with those documented in empirical studies. For instance, returns are more volatile following a price decline than that following a price rise. In a separate project with Isabel Schnabel of Mannheim University, Shin examined the financial crisis of 1763 that hit Amsterdam, Hamburg and Berlin. Although the financial landscape looked very different in 1763 as compared to today, the crisis has many similarities to the crisis in 1998 that followed the collapse of Long Term Capital Management. The paper proposes an explanation of the swiftness and severity of the crisis in terms of the tight balance sheet interlinkages between merchant bankers through bills of exchange. Shin has also continued his collaboration with Stephen Morris of Yale University on extensions and applications of the so-called 'global games'. One of them has been to address several well documented observations from experiments on coordination games. Shin served as a consultant to the Bank of England and the Bank for International Settlements on financial stability issues.

### **Publications**

(with Sujoy Mukerji) 'Equilibrium Departures from Common Knowledge in Games with Non-Additive Expected Utility', *Advances in Theoretical Economics*, 2, 2002.

<http://www.bepress.com/bejte/advances/vol2/iss1/art2>

(with Benjamin Cohen) 'Positive Feedback Trading in the US Treasury Securities Market', *BIS Quarterly Review*, Bank for International Settlements, June, 2002.

**Stuart Soroka** (Postdoctoral Research Fellow) continued to work on agenda-setting dynamics in Canada, the US and UK, and began working on the Degrees of Democracy project with Christopher Wlezien. The latter project examines the relationship between public preferences and government spending in Anglo-American democracies. This year, we hosted a conference at Nuffield College (Budgetary Policy Change), and completed several conference presentations (PSA, APSA, EPOP) and Nuffield College Politics Working Papers. We have also been working with HM Treasury to develop more reliable measures of government spending by function from 1978 to the present.

On related issues, Stuart worked with Elvin Lim (D Phil student, Nuffield College) on linking

trends in health expenditures in the US and UK to 'problem definitions' identified in major party platforms. On the agenda-setting front, Stuart's book was completed, and an article published in the *International Journal of Public Opinion Research*. Stuart also completed a paper on issue salience as it pertains to US and UK defence policy, currently forthcoming in the *Harvard International Journal of Press and Politics*, and a Nuffield College Politics Working Paper on media agenda-setting for economic issues in the UK.

Finally, Stuart continued working with the 'Equality, Security, and Community' project, run by the Centre for Research on Economic and Social Policy at the University of British Columbia, Canada. He continues work with John Helliwell (University of British Columbia) on survey measurements of trust. Along with Richard Johnston (University of British Columbia) and Keith Banting (Queen's University at Kingston), Stuart completed a conference paper on the relationship between trust and support for social welfare programs. The paper was presented at the Nuffield College 'Conceptualising Trust' conference, co-organized with David Miller and Patti Tamara Lenard (D Phil student, Nuffield College), and at the annual general meeting of the Canadian Political Science Association.

As of August 2002, Stuart is an assistant professor in the Department of Political Science at McGill University, Montreal, Canada.

### ***Publications***

Agenda-Setting Dynamics in Canada. Vancouver, BC: *University of British Columbia Press*, 2002.

'Issue Attributes and Agenda-Setting: Media, the Public, and Policymakers in Canada', *International Journal of Public Opinion Research*, 14, 2002

**Alec Stone Sweet** (Official Fellow) works in the fields of comparative and international politics, and comparative and international law. In addition to several articles and book chapters, he published a book, *On Law, Politics, and Judicialization*, and edited a special issue of *West European Politics* on delegation to non-majoritarian institutions. His project to develop and test a theory of European integration is coming to an end, with the publication of an article in the *American Journal of Sociology*, and the completion of a book on the construction of the legal system (whereupon EU studies will be abandoned). During the 2001-02 academic year, he gave invited presentations in Bonn, Florence, Lisbon, Madrid, Stockholm, and Trento.

### ***Publications***

(with M Shapiro) *On Law, Politics, and Judicialization*. Oxford: Oxford University Press, 2002.

(editor with M Thatcher) *The Politics of Delegation: Non-Majoritarian Institutions in Europe*. Special Issue of *West European Politics*, 25, 2002.

(with N Fligstein) 'Of Markets and Polities: An Institutional Account of European Integration', *American Journal of Sociology*, 107, 2002.

'Constitutional Courts and Parliamentary Democracy', *West European Politics*, 25, 2002.

(with M Thatcher) 'Theory and Practice of Delegation to Non-Majoritarian Institutions', *West European Politics*, 25, 2002.

Come si è arrivati a questo punto? L'istituzionalizzazione dell'Unione europea. (How Did We Arrive Here? The Institutionalization of the EU), in S Fabbrini (ed.), *Nation, Federalism, and Democracy: The EU, Italy, and the American Federal Experience*. Trento: Compositori, 2002.

'Cidadania Transnacional Sociedade Global' (Transnational Citizenship and Global Society). In *Cidadania e Novos Poderes numa Sociedade Global* (Citizenship and New Powers in a Global Society). Lisbon: Fundação Calouste Gulbenkian, 2002.

**Alice Sullivan** (British Academy Research Fellow) is working with Anthony Heath on a book on inequalities in British education. This will be a general book covering social class, gender and ethnic differences in educational attainment, differences between school sectors and changes over time, as well as theoretical debates on the nature of and explanations for educational inequalities. An empirical analysis (using NCDS) of school sector differences which will be included in this book is available as a working paper on the Sociology Department website, and a version of the paper will be published in G Walford (ed.), 2003, *British Private Schools: Research on Policy and Practice*, Woburn Press, London.

Alice has papers under consideration by *Sociology of Education*, *Sociology*, the *Netherlands Journal of Social Sciences* and the *Oxford Review of Education*. A joint paper with Herman van de Werfhorst and Sin Yi Cheung has been accepted for publication in the *British Educational Research Journal*, and should appear next year.

### **Publication**

'Cultural Capital and Educational Attainment, *Sociology*, 35, 2001

**Adam Swift** (British Academy Research Fellow) finished his book on the morality of school choice. *How Not To Be A Hypocrite: School Choice for the Morally Perplexed* will be published by Routledge Falmer in March 2003. The first half argues that we should all vote to abolish private and selective schools. The second half explains why some of us – but not many of us – may be justified in sending our children to them.

He didn't finish the second project proposed in his application to the British Academy, but he did start it. Having participated in a workshop on 'Intergenerational Inequality' at the Santa Fe Institute in October, he contributed a paper – 'Justice, Luck and Family Values: Normative Aspects of the Intergenerational Transmission of Advantage' – to a forthcoming collection, edited by S Bowles, H Gintis and M Osborne, to be called *Unequal Chances: Family Background and Economic Success* (Princeton UP). This tries to explain why inequality-generating bedtime stories are justified by 'family values' while inequality-generating private education is not. In collaboration with Harry Brighouse he wrote three papers: 'Defending Liberalism in Education', 'Legitimate Parental Partiality' and 'Fairness, Equality and Positional Goods', two of which he defended in the Nuffield Political Theory Workshop. In Hilary Term he co-organised, with John Goldthorpe, a seminar series - *Social Mobility and Meritocracy: Interdisciplinary Perspectives on Current Issues* – contributing a paper, now called 'Would Perfect Mobility Be Perfect?', which he also presented at RC 28. In July he talked on 'Political Philosophy and Real Politics' at the Mario Soares Foundation in Lisbon, and in September he visited Japan, giving papers at Kobe University, Waseda University, and the University of Tokyo.

In October he returns to Balliol where his punishment for such a productive and pleasurable couple of years will be its Tutorship of Admissions. He will greatly miss Nuffield and its inhabitants, thinking of them often, wistfully, and with gratitude.

## ***Publications***

'Rawls and the Left: Review Essay on Jon Mandle's "What's Left of Liberalism?"', *Imprints*, 6, 2002.

'Social Justice: Why Does It Matter What the People Think?', in D Bell and A de-Shalit (eds.) *Forms of Justice*. Lanham, Maryland: Rowman and Littlefield, 2002.

(with Stephen Mulhall) 'Rawls and Communitarianism', in S Freeman (ed.), *The Cambridge Companion to Rawls*. New York: Cambridge University Press, 2002.

**Elaine Tan** (Postdoctoral Research Fellow) continued her doctoral research on the political economy of institutional change in British and European history, focussing on the kinds of laws, rules and customs that promoted efficiency and equity. She completed papers in economic history on agriculture and property rights, religion and usury laws, corruption, wage regulation and the methodology of the new institutional economic history. She also started a project on antitrust in early nineteenth-century Britain and co-organised the Workshop in Economics, Cognition and Philosophy. Presentations were given at Nuffield, Windsor, Michigan, UCLA and Warwick.

**Herman Van de Werfhorst** (Postdoctoral Research Fellow) spent the academic year working on four projects. First, he continued his work on 'subject choice in education and social inequality'. Second, with Robert Andersen he analysed the impact of credential inflation on decisions to continue schooling at educational transitions. Thirdly, with Fabrizio Bernardi, Meir Yaish and Markus Gangl a project is set up to study a cross-national comparison of the transition from school to work, using transition rate models that allow for a simultaneous estimation of effects on 'timing' and 'quality' of events. Fourthly, ideas have been developed to bridge cross-national and cross-sectoral approaches on the institutional impact on individual labour market opportunities. Papers have been presented at the Spring meeting of the Research Committee on Social Stratification and Mobility (RC28) of the International Sociological Association in Oxford, the Social Science Study Days in Amsterdam, the Institute of Education, London, and the Transitions in Youth conference in Florence.

He taught Sociology of Education in the Department of Sociology.

## ***Publications***

'Avkastning av utdanning: Hva betyr en god match mellom fagområde og jobbtype?', *Søkelys på Arbeidsmarkedet*, 18, 2001 (in Norwegian).

'A Detailed Examination of the Role of Education in Social Class Mobility', *Social Science Information*, 41, 2002.

'Onderwijs en sociale klassemobiliteit. Studiekeuzes als onderdeel van mobiliteitsstrategieën', *Sociale Wetenschappen*, 45, 2002 (in Dutch).

(with Alice Sullivan and Sin Yi Cheung) 'Social Class, Ability and Choice of Subject in Secondary and Tertiary Education in Britain', *British Educational Research Journal*, 2002.

**Megan Vaughan** (Faculty Fellow) is working on the biography of an African 'native clerk' who worked for the colonial administration in Tanzania and Malawi, and is using this to explore questions of ethnicity and colonial policy. She is also beginning a new research project on the history of consumption in Africa. Throughout the year she has been engaged in policy issues arising from the famine in Southern Africa. Apart from her work on the social and economic

history of Africa, she maintains an interest in the history of slavery and of the Indian Ocean. She presented papers on slavery and creolisation at Aix-en-Provence, University of London, Australian National University, University of California in Los Angeles and University of Illinois. She was elected a Fellow of the British Academy.

### ***Publications***

“I Am My own Foundation”: Frantz Fanon and Third-Worldism’, in *London Review of Books*, 23, 2001.

‘Reported Speech and Other Kinds of Testimony’, in Luise White, Stephan Miescher and David William Cohen (eds.), *African Words, African Voices*. Bloomington: Indiana University Press, 2002.

‘Slavery and Colonial Identities in Eighteenth Century Mauritius’, in E A Alpers and V Teelock (eds.), *History, Memory and Identity*. Port Louis: Nelson Mandela Centre for African Culture and University of Mauritius, 2001.

**Lucy White** (Prize Research Fellow) Lucy White (Prize Research Fellow) successfully defended her PhD thesis *Essais en Finance d’Entreprise* at the Université de Toulouse in December 2001. This area of research marks a departure from the work in her earlier Oxford D Phil thesis *Strategic Behaviour under Uncertainty* (awarded in May 2000). Lucy has continued her work on banking with Alan Morrison (Saïd Business School and Merton College), producing two new papers in addition to their previous work on capital requirements. The first examines the merits of deposit insurance; the second shows how the dynamics of regulator reputation can lead to contagion of bank runs between banks and thence justify regulatory support of troubled banks. A third project was started analysing the effects of international competition between regulators. Lucy also started some new work with Volker Nocke (a former Prize Research Fellow). Preliminary results suggest that allowing mergers between firms and their suppliers can make it easier for the supplying firms to collude, leading to higher prices for consumers.

Papers were presented at the Universität Mannheim, the Université Libre de Bruxelles (ULB), and the Stockholm School of Economics. Lucy also acted as a discussant at the CEPR conference on Corporate Governance and the New Economy (Brussels, April 2002) and at the European Summer Symposium in Financial Markets at the Studienzentrum Gerzensee (Switzerland).

**Laurence Whitehead** (Official Fellow) This year Laurence Whitehead completed his stint as editor of the *Journal of Latin American Studies* and took up a new responsibility as first Chairman of the Area and Development Studies Committee within the Social Science Division. Building on earlier research on citizen security he organized two conferences on this subject, one in El Salvador, and one in Oxford. He also contributed to related work on Colombia. However his main research interest is now shifting to Mexico, and at the end of the year he was appointed the first Director of a new Centre for Mexican Studies (to be inaugurated by President Fox in November). In June he served for a month as Alfonso Reyes Visiting Professor of Mexican Studies at the Institut des Haut Études d’Amérique Latine/Paris III. Most of his publications this year related to the comparative politics of democratisation viewed more broadly (including the launch in Budapest of a book in Hungarian that incorporates his work on East European topics). The main highlight was the publication of his *Democratization: Theory and Experience*. He also contributed to comparative research projects organised by the UNDP, UNRISD, and the United Nations University, and to a study on the EU as ‘democracy promoter’ in the Maghreb (including a first visit to Morocco). Other publications concern the ‘transatlantic triangle’, especially the shifting relations between Europe, North America and Latin America in the wake of September

11th.

### **Publications**

*Democratization: Theory and Experience* (Oxford University Press, Oxford, 2002)

Laurence Whitehead *Demokratizálódás: elmélet és tapasztalat*. Budapest, XXI Század Intézet, 2001 (Translated into Hungarian by Gathy Vera).

(editor) *Emerging Market Democracies: East Asia and Latin America*. Baltimore: Johns Hopkins University Press, 2002.

(editor with Lourdes Sola, and Eduardo Kugelman) *Banco Central: Autoridade Política e Democratização – Um Equilíbrio Delicado* (São Paulo: Fundação Getulio Vargas, 2002).

‘Reforms: Mexico and Columbia’ in Manuel Antonio Garretón and Edward Newman (eds.), *Democracy in Latin America: (Re) Constructing Political Society*. Tokyo: United Nations University Press, 2002.

‘Hacia una reconfiguración del Triángulo Atlántico después de la Guerra Fría’, in Klaus Bodemer, Wolf Grabendorff, Winfried Jung and Josef Thesing (eds.), *El Triángulo Atlántico: América Latina, Europa y los Estados Unidos en el Sistema Internacional Cambiante* (Berlin: ADLAF, Adenauer Foundation, 2002).

‘El Reto de la Democracia en América Latina’, *Revista de Occidente*, 246, 2001.

‘Europe/Amérique latines: la longue durée’, in Daniel Van Eeuwen (ed.), *L’Amérique Latine et l’Europe à l’heure de la Mondialisation*. Paris: Karthala, 2002.

‘Of Bubbles and Buildings: Financial Architecture in a Liberal Democratic Era’, in Leslie Elliott Armijo (ed.), *Debating the Global Financial Architecture*, Albany, NY: SUNY Press, 2002.

(with Richard Gillespie) ‘European Democracy Promotion in North Africa: Limits and Prospects’, *Democratization* 9, 2002.

‘Review of “Arguing Comparative Politics”’, *Journal of Democracy*, 13, 2002.

**Christopher Wlezien** (Faculty Fellow) spent much of the year making the transition from the US with his wife and two boys. Previously he was a professor of political science and founding director of the Institute for the Study of Political Economy at the University of Houston.

Nuffield has been good for him. As for research, he continued work on a number of old projects. His primary, ongoing research develops a ‘thermostatic’ model of public opinion and policy and examines the dynamic interrelationships between preferences for spending and budgetary policy. During the past year, he nearly completed a book on the subject, entitled *Politics, Policy, and Public Opinion*, that focuses on the US. With Stuart Soroka, a former Nuffield postdoctoral fellow, he also began a related cross-national investigation of *Degrees of Democracy*. His other major project, on ‘The Timeline of Election Campaigns,’ addresses the evolution of voter preferences over the course of the election cycle. During the year, he completed a number of articles and otherwise continued his analysis of poll data.

He also began several new projects. With Soroka, and assisted by staff at HM Treasury, he is

generating new, reliable time series of functional public expenditure in the UK. This project is supported by a grant from the Nuffield Foundation. With Iain McLean and other co-directors, and supported by a grant from the Office of the Deputy Prime Minister, he is involved in producing valid measures of regional public expenditure in the UK. With David Firth and Steve Fisher, and supported by a grant from Economic and Social Research Council, he is involved in organizing and planning the new Oxford Spring School in Quantitative Methods for Social Research.

As for other activities, he hosted a conference in College with Soroka that focussed on 'Measures and Models of Budgetary Change' and convened the American Politics Seminar and, with Geoffrey Evans, the Political Science Seminar. He presented papers at conferences in San Francisco, New Orleans, Boston, Washington DC, and Salford and gave seminars at the University of Essex and Trinity College, Dublin. He served on the editorial boards of *Electoral Studies*, *Social Science Quarterly*, the *Journal of Political Marketing*, and the *Journal of European Public Policy*.

### ***Publications:***

(with Robert S Erikson) 'Patterns of Poll Movement', *Public Perspective*, September/October, 2002.

(edited with Mark N Franklin) 'The Future of Election Studies', a special issue of *Electoral Studies*, 21, 2002.

(with Mark N Franklin) 'Reinventing Election Studies', *Electoral Studies*, 21, 2002.

'A Note on the Endogeneity of Ideological Placements of Government Institutions,' *NES Technical Reports*. Ann Arbor: National Election Studies (NES), 2002.

(with Robert S Erikson) 'Campaign Effects in Theory and Practice', *American Politics Research*, 29, 2001.

(with Christopher Carman) 'Ideological Placements and Political Judgments of Government Institutions', *Public Opinion Quarterly*, 65, 2001.

**Meir Yaish** (Prize Research Fellow) has spent much of this year organizing an international conference in College (the ISA Research Committee No 28, on Social Stratification and Mobility). Yaish has also continued working in the area of social stratification and mobility, and has published two papers on the Israeli class structure. In the first paper Yaish examined the consequences of immigration for social mobility and inequality, and in the second paper he (with Robert Andersen), explored whether or not class affects voting in Israel. In September, Yaish left the college to take a position as a lecturer at the Department of Sociology in the University of Haifa in Israel.

### ***Publications***

'The Consequences of Immigration for Social Mobility: The Experience of Israel,' *European Sociological Review*, 18, 2002

(with R Andersen) 'Social Cleavages, Electoral Reform and Party Choice: Israel's 'Natural' Experiment', *Electoral Studies*, 21, 2000