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Chair: Professor Lord Stern  
of Brentford

24<sup>th</sup> January 2017

Dear Claire,

### **Review of CCCEP's list of publications for its Mid-Term Review and in the RCUK Gateway to Research**

We have undertaken a thorough review of the list of publications we compiled for our Mid-Term Review in 2012/13, as well as the list of CCCEP publications that is held in RCUK's Gateway to Research. I am writing with the results of that review and a summary of actions we are proposing to undertake. We would be grateful to receive confirmation from you that these actions will be appropriate.

#### Mid-Term Review

As part of our Mid-Term Review submission, we appended a list of 520 research outputs and 139 newspaper articles and blogs. It was agreed that this list would include all outputs within the remit of CCCEP, which had been produced by CCCEP members since its launch on 1 October 2008. This reflected the role of leveraged funding in making CCCEP much larger than ESRC resources alone would support. At the same time, we developed a system of starring publications to identify them as having been "Produced under the auspices of CCCEP, but without any ESRC funding". This was in order to single out research that had not received direct financial support from the ESRC CCCEP grant. Our Mid-Term Review submission contained 23 starred outputs.

Our audit of the list of publications indicates that a further 8 journal articles should have been starred in this way. Despite these 8 articles being published in the print version of their respective journals after CCCEP formally started work on 1 October 2008 (which explains why they were incorrectly included in the list), the research was completed beforehand. Our investigations demonstrate this, either because the article was published online before 1 October 2008, or because the submission date of the accepted draft is documented and it was before 1 October 2008.

In addition, we have identified 4 publications, which, despite being produced by members of the Centre, during the life of the Centre, should not have been included in our list, because their topics, while related to the environment, do not sufficiently address climate change and fall outside CCCEP's remit in a strict sense. It must be highlighted that a degree of judgement is unavoidable in determining what is and what is not within the scope of CCCEP.

Lastly, we have identified 2 clerical errors, whereby publications were reported on the list twice.

All of these publications are detailed in the appendix.

As the Mid-Term Review has long since been completed, and ESRC has already indicated that a small number of mistakes in the list of CCCEP publications would not have affected its outcome, we will simply publish a list of the errors described above alongside our Mid-Term Review submission, which, as you know, we decided to publish in the interests of openness.

### Gateway to Research

At the time of our review, the RCUK Gateway to Research held 990 research outputs across the two phases of the Centre.

Our review of the CCCEP publications held in the RCUK Gateway to Research has identified several issues. The issues affecting the database of our Phase 1 publications are different in character to those affecting the database of our Phase 2 publications. This reflects the fact that the Phase 2 database has been compiled through Researchfish, whereas the Phase 1 entry predates Researchfish and was therefore put together in a different way.

Our review of the Phase 1 database has identified the following:

- 24 published outputs, which were included in our Mid-Term Review list of publications, but were incorrectly omitted from the database;
- 9 publications were wrongly included, because they were in print before 1 October 2008;
- 5 publications may have been wrongly included, because they may have been in print before 1 October 2008 (in each of these cases there is insufficient publically available information to make a definitive determination);
- 29 publications would have been starred, if the possibility to do so were available in the Gateway to Research;
- 18 publications were wrongly included, because their topics fall outside CCCEP's remit in a strict sense;
- 2 publications were entered twice;
- One publication by authors who have never been affiliated with CCCEP;
- One book chapter, which wrongly appears in the place of the correct book chapter, because an error was made in entering the ISBN number;
- Some conference papers that have been assigned a publication date of 1900.

Regarding Phase 2 publications, the only issue has been that 50 articles were mistakenly entered into the database twice. After reviewing our procedures, it appears that this has been due to a lack of experience working with the Researchfish system.

Again, all the affected publications are listed in the appendix.

In contrast to the Mid-Term Review, we are editing our Gateway to Research database to correct all the mistakes listed above. One point that needs to be clarified is our approach to starred publications in the Gateway to Research. Our discussions at the CCCEP Advisory Group meeting last October highlighted the different purpose of the Gateway compared with the Mid-Term Review and in particular led to the conclusion that starred publications should not feature in the Gateway. Therefore we will remove them.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Simon Dietz'. The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Professor Simon Dietz

Director, CCCEP

## Appendix 1. Mid-Term Review

### Publications that should have been starred

1. Bonilla, D. and T. J. Foxon (2009). "Demand for new car fuel economy in the UK, 1970-2005". Journal of Transport Economics and Policy **43**(1): 55-83.
2. Challinor, A. J., T. Osborne, A. Morse, L. Shaffrey, T. Wheeler, H. Weller and P. L. Vidale (2009). "Methods and resources for climate impacts research: achieving synergy". Bulletin of the American Meteorological Society **90**(6): 836-848.
3. Dechezleprêtre, A., M. Glachant and Y. Ménière (2009). "Technology transfer by CDM projects: a comparison of Brazil, China, India and Mexico". Energy Policy **37**(2): 703-711.
4. Fankhauser, S., F. Sehleier and N. Stern (2008). "Climate change, innovation and jobs". Climate Policy **8**: 421-429.
5. Gouldson, A. (2008). "Understanding business decision making on the environment". Energy Policy **36**(12): 4618-4620.
6. Hagedorn, R. and L. A. Smith (2009). "Communicating the value of probabilistic forecasts with Weather Roulette". Meteorological Applications **16**(2): 143-155.
7. MacKerron, G. J., C. Egerton, C. Gaskell, A. Parpia and S. Mourato (2009). "Willingness to pay for carbon offset certification and co-benefits among (high-)flying young adults in the UK". Energy Policy **37**(4): 1372-1381.
8. Stern, N. and S. Dietz (2008). "Why economic analysis supports strong action on climate change: a response to the Stern Review's critics". Review of Environmental Economics and Policy **2**(1): 94-113.

### Publications outside the remit of CCCEP

1. Claya, G. D., F. Worralla, E. Clarka and E. D. G. Fraser (2009). "Hydrological responses to managed burning and grazing in an upland blanket bog". Journal of Hydrology **367**(3-4): 486-495.
2. Suckall, N., E. Fraser and C. Quinn (2009). How class shapes perceptions of nature. Drivers of Environmental Change in Uplands. A. Bonn, T. Allott, K. Hubacek and J. Stewart. London, Routledge: 393-403.
3. Suckall, N., E. D. G. Fraser, T. Cooper and C. Quinn (2009). "The challenge of matching environmental conservation and visitors' cultural identity in the Peak District National Park, United Kingdom". Journal of Environmental Management **90**(2): 1195-1203.
4. Stringer, L. C., J. O. V. Gomar and J. Paavola (submitted). "Synergy and interplay management in institutional complexes: An analysis of the international governance system for biodiversity." International Environmental Agreements: Politics, Law and Economics.

### Publications reported twice

1. Paavola, J. (2012). Climate change: the ultimate 'tragedy of the commons'? Property in Land and Other Resources. E. Ostrom and D. H. Cole. Cambridge, MA, Lincoln Institute of Land Policy: 418-433.
2. Lopez, A., J. Imbers, C. Huntingford and M. Allen (submitted). "Re-orienting biodiversity governance in Romania: towards participation in conservation and protected area management." Environmental Conservation (nb. this entry carries article and journal titles; the article title should be "Sensitivity of climate change detection and attribution to the characterisation of internal variability")

and the journal title should be Journal of Climate; this entry already exists, however, so it has been double-counted).

## Appendix 2. Gateway to Research, Phase 1

(nb. citations as they appear in the database)

Published outputs included in the Mid-Term Review but not in the Gateway (not including starred publications)

1. Stern, N. (2010). Gérer les Changements Climatiques. Climat, Croissance, Développement et Équité. Paris, France, Collège de France.
2. Fankhauser, S., D. Kennedy and J. Skea (2009). The UK's carbon targets for 2020 and the role of the Committee on Climate Change. Building a Low-Carbon Future: The Politics of Climate Change. A. Giddens, S. Latham and R. Liddle. London, Policy Network: 99-110.
3. Fomichev, V. I. and P. Forster (2010). Chapter 3. Radiation. SPARC Report on the Evaluation of Chemistry-Climate Models. V. Eyring, T. Shepherd and D. Waugh. London.
4. Forster, P. M. and D. W. J. Thompson (2011). Stratospheric changes and climate. Scientific Assessment of Ozone Depletion: 2010, Global Ozone Research and Monitoring Project--Report No. 52. World Meteorological Organisation.
5. Foxon, T. J. (2010). Climate change mitigation policy: an overview of opportunities and challenges. Climate Change Mitigation Policy: An Overview of Opportunities and Challenges. J. Dodson. London, Springer: 231-242.
6. Foxon, T. J. (2010). Policy support for environmental innovation. The Political Economy of the Environment: An Interdisciplinary Approach. S. Dietz, J. Michie and C. Oughton. London, Springer.
7. Foxon, T. J. (2010). Systems of innovation: national, regional and technological innovation systems. The Political Economy of the Environment: An Interdisciplinary Approach. S. Dietz, J. Michie and C. Oughton. London, Springer: 117-131.
8. Paavola, J. (2012). Climate change: the ultimate 'tragedy of the commons'? Property in Land and Other Resources. E. Ostrom and D. H. Cole. Cambridge, MA, Lincoln Institute of Land Policy: 418-433.
9. Surminski, S. (2012). Flood insurance in the United Kingdom: the association of British insurers' view. Flood Hazards: Impacts and Responses for the Built Environment. J. Lamond, C. Booth, F. Hammond and D. Proverbs. Boca Raton, CRC Press: 89/98.
10. Bale, C. S. E., T. J. Foxon, M. J. Hannon and W. F. Gale (2012). "Making the case for strategic energy planning within local authorities: a study of the city of Leeds." Energy Policy **48**: 242–251.
11. Barrieu, P., & Tobelem, S. (2009). Robust asset allocation under model risk, Risk Magazine February: 91-95.
12. Falkner, R. and B. Lee (2012). "International affairs: special issue: Rio+20 and the global environment: reflections on theory and practice." International Affairs **88**(3).
13. Fankhauser, S. (2011). "Carbon trading: a good idea is going through a bad patch." The European Financial Review April: 32-35.
14. Fankhauser, S. and G. Schmidt-Traub (2011). "From adaptation to climate-resilient development: the costs of climate-proofing the Millennium Development Goals in Africa." Climate and Development **3**(2): 94-113.
15. Foxon, T. J. (2010). "Energy for the future: a new agenda." Environmental Values **19**: 130-132.

16. Marigo, N., T. Foxon and P. J. G. Pearson (2010). "Chinese low-carbon innovation: developing technological capabilities in the solar photovoltaic manufacturing industry'." Journal of Knowledge-Based Innovation in China **2**(3): 253-268.
17. Muth, K. T. and J. F. Helgeson (2011). "Stochastic environments as measurement tools: a new approach." Journal of Applied Economy **5**.
18. Paavola, J. (2009). "From market failure paradigm to an institutional theory of environmental governance." Economia Delle Fonti Di Energia E Dell'Ambiente **1**: 87-101.
19. Quinn, C., G. Ziervogel, A. Taylor, T. Takama and F. Thomalla (2011). "Coping with multiple stresses in rural South Africa." Ecology and Society **16**(3): 2.
20. Ranger, N., S. Hallegatte, S. Bhattacharya, M. Bachu, S. Priya, K. Dhore, F. Rafique, P. Mathur, N. Naville and F. Henriot (2011). "A preliminary assessment of the potential impact of climate change on flood risk in Mumbai." Climatic Change **104**(1): 139-167.
21. Stern, N. (2010). "Climate: what you need to know." New York Review of Books **57**(11).
22. Tavoni, A. (2012). "Coordinating to Protect the Global Climate." Review of Environment, Energy and Economics.
23. Townshend, T., S. Fankhauser, A. Matthews, C. Feger, J. Liu and T. Narciso (2011). "Legislating Climate Change on a National Level." Environment **September-October**.
24. Twyman, C., E. D. G. Fraser, L. C. Stringer, C. Quinn, A. J. Dougill, F. Ravera, T. A. Crane and S. M. Sallu (2011). "Closing the loop: climate science, development practice and policy interactions in dryland agro-ecological systems." Ecology and Society **16**(3): 14.

Publications definitely in print before 1 October 2008

1. Andrew Challinor (author) (2008) [\*Towards a science of adaptation that prioritises the poor\*](#) in IDS Bulletin : poverty in a changing climate
2. Boyd E (2008) [\*Resilience and 'Climatizing' Development: Examples and policy implications\*](#) in Development
3. Dechezleprêtre A (2008) [\*The Clean Development Mechanism and the international diffusion of technologies: An empirical study\*](#) in Energy Policy
4. FANKHAESER S (2008) [\*Climate change, innovation and jobs\*](#) in Climate Policy (note: spelling)
5. Hepburn C (2008) [\*A new global deal on climate change\*](#) in Oxford Review of Economic Policy
6. Maria Carmen Lemos (author) (2008) [\*Creating less disastrous disasters\*](#) in IDS bulletin : poverty in a changing climate
7. Mason M (2008) [\*The Governance of Transnational Environmental Harm: Addressing New Modes of Accountability/Responsibility\*](#) in Global Environmental Politics
8. Mason M (2008) [\*Transparency for Whom? Information Disclosure and Power in Global Environmental Governance\*](#) in Global Environmental Politics
9. Reed M (2008) [\*PARTICIPATORY INDICATOR DEVELOPMENT: WHAT CAN ECOLOGISTS AND LOCAL COMMUNITIES LEARN FROM EACH OTHER\*](#) in Ecological Applications

Publications possibly in print before 1 October 2008

1. Foxon, Timothy J.; Kohler, Jonathan; Oughton, Christine (2008) [\*Innovation for a Low Carbon Economy: Economic, Institutional and Management Approaches\*](#)

2. Gallagher, Kevin P. (2008) [Handbook on Trade and the Environment](#)
3. Liverman, D.G.E.; Pereira, C.; Marker, B. (2008) [Communicating Environmental Geoscience: No. 305: Special Publication](#)
4. Martinez-Alier, Joan; Ropke, Inge (2008) [Recent Developments in Ecological Economics](#)
5. Oecd Publishing, Publishing; Bernan (2008) [Indicators of Industrial Activity: 1996 3](#)

Starred publications (e.g. accepted manuscript was submitted before 1 October 2008)

1. Adger, W. Neil; Jordan, Andrew (2009) [Governing Sustainability](#)
2. Anthoff D (2009) [Equity weighting and the marginal damage costs of climate change](#) in Ecological Economics
3. Beven K (2012) [On virtual observatories and modelled realities \(or why discharge must be treated as a virtual variable\)](#) in Hydrological Processes
4. Burdett, Ricky; Sudjic, Deyan (2011) [Living in the Endless City: The Urban Age Project by the London School of Economics and Deutsche Bank's Alfred Herrhausen Society](#)
5. Di Falco S (2010) [Agrobiodiversity, farm profits and land fragmentation: Evidence from Bulgaria](#) in Land Use Policy
6. Fisher B (2008) [ECOSYSTEM SERVICES AND ECONOMIC THEORY: INTEGRATION FOR POLICY-RELEVANT RESEARCH](#) in Ecological Applications
7. Fraser E (2008) [Quantifying socioeconomic characteristics of drought-sensitive regions: Evidence from Chinese provincial agricultural data](#) in Comptes Rendus Geoscience
8. Gouldson A (2009) [Better environmental regulation - contributions from risk-based decision-making](#) in Science of The Total Environment
9. Gouldson A (2008) [New alternative and complementary environmental policy instruments and the implementation of the Water Framework Directive](#) in European Environment
10. Gouldson A (2008) [Understanding business decision making on the environment](#) in Energy Policy
11. Gregory J (2008) [Transient climate response estimated from radiative forcing and observed temperature change](#) in Journal of Geophysical Research (this wasn't accepted until after 1 October 2008 but a final version appears to have been submitted before then)
12. Hamilton K (2008) [Wealth Accounting, Exhaustible Resources and Social Welfare](#) in Environmental and Resource Economics
13. Harrison S (2009) [Predicting Climate Change: Lessons From Reductionism, Emergence, and the Past](#) in Eos, Transactions American Geophysical Union
14. Hepburn C (2010) [Behavioural Economics, Hyperbolic Discounting and Environmental Policy](#) in Environmental and Resource Economics
15. Hepburn C (2009) [Social discounting under uncertainty: A cross-country comparison](#) in Journal of Environmental Economics and Management
16. Lange B (2010) [Trust-based environmental regulation](#) in Science of The Total Environment
17. Marchiori C (2009) [Concern for Fairness and Incentives in Water Negotiations](#) in Environmental and Resource Economics
18. Mol, Arthur P. J.; Sonnenfeld, David A.; Spaargaren, Gert (2009) [The Ecological Modernisation Reader](#)



19. Paavola J (2008) [Livelihoods, vulnerability and adaptation to climate change in Morogoro, Tanzania](#) in Environmental Science & Policy
20. Paavola J (2008) [Towards Polyvocal Environmental Debates](#) in Environmental Values
21. Parry M (2009) [Report On Reports: Adaptation to Climate Change: Assessing the Costs](#) in Environment: Science and Policy for Sustainable Development
22. Perkins R (2010) [Geographic Variations in the Early Diffusion of Corporate Voluntary Standards: Comparing ISO 14001 and the Global Compact](#) in Environment and Planning A
23. Singh, S. N. (2009) [Climate Change and Crops](#)
24. Soane E (2010) [Flood perception and mitigation: the role of severity, agency, and experience in the purchase of flood protection, and the communication of flood information](#) in Environment and Planning A
25. Steinberger J (2012) [Pathways of human development and carbon emissions embodied in trade](#) in Nature Climate Change
26. Sullivan, Rory (2011) [Corporate Greenhouse Gas Management: from Operations to Strategy](#)
27. Sullivan, Rory (2011) [Valuing Corporate Responsibility: How Do Investors Really Use Corporate Responsibility Information?](#)
28. Thornton P (2010) [Agriculture and food systems in sub-Saharan Africa in a 4 C+ world](#) in Philosophical Transactions of the Royal Society A: Mathematical, Physical and Engineering Sciences
29. Tompkins E (2008) [A less disastrous disaster: Managing response to climate-driven hazards in the Cayman Islands and NE Brazil](#) in Global Environmental Change

#### Publications outside CCCEP's remit

1. Anderson K (2008) [Valuing future development rights: The costs of conservation easements](#) in Ecological Economics (note: not about climate change)
2. Atkinson G (2011) ['When to Take "No" for an Answer'? Using Entreaties to Reduce Protests in Contingent Valuation Studies](#) in Environmental and Resource Economics (note: not about climate change)
3. Balcombe K (2010) [Traffic lights and food choice: A choice experiment examining the relationship between nutritional food labels and price](#) in Food Policy
4. BLACK J (2010) [Valuing complex environmental goods: landscape and biodiversity in the North Pennines](#) in Environmental Conservation
5. Bonn, Aletta; Hubacek, Klaus; Allott, Tim; Stewart, Jon (2008) [Drivers of Environmental Change in Uplands](#) (note: Suckall 2009 book chapter; date also wrong)
6. Di Falco S (2011) [A Dark Side of Social Capital? Kinship, Consumption, and Savings](#) in Journal of Development Studies
7. Eriksson, Johan; Gilek, Michael; Ruden, Christina (2010) [Regulating Chemical Risks: European and Global Challenges](#) (note: Heyvaert book chapter on chemicals regulation)
8. Falkner R (2010) [Rethinking world politics: a theory of transnational neopluralism](#) in Journal of Power (note: review of a book, which is not about climate change)
9. Graham, Linda J. (2010) [\(De\)constructing ADHD: Critical Guidance for Teachers and Teacher Educators](#) (note: this one is a real mystery)

10. Helm D (2012) [\*The economic analysis of biodiversity: an assessment\*](#) in Oxford Review of Economic Policy
11. Heyvaert V (2009) [\*Levelling Down, Levelling Up, and Governing Across: Three Responses to Hybridization in International Law\*](#) in European Journal of International Law
12. Heyvaert V (2009) [\*Globalizing Regulation: Reaching Beyond the Borders of Chemical Safety\*](#) in Journal of Law and Society
13. Hobson K (2011) [\*Public responses to climate change: The role of deliberation in building capacity for adaptive action\*](#) in Global Environmental Change
14. Mares, Radu (2011) [\*The UN Guiding Principles on Business and Human Rights: Foundations and Implementation\*](#)
15. Metcalfe P (2012) [\*An assessment of the nonmarket benefits of the Water Framework Directive for households in England and Wales\*](#) in Water Resources Research
16. Suckall N (2009) [\*Visitor perceptions of rural landscapes: A case study in the Peak District National Park, England\*](#) in Journal of Environmental Management
17. Velázquez Gomar J (2011) [\*Moving Towards Sustainability? An Analysis of CITES' Conservation Policies\*](#) in Environmental Policy and Governance
18. Weinhold D (2013) [\*THE HAPPINESS-REDUCING COSTS OF NOISE POLLUTION\\*\*](#) in Journal of Regional Science

Publications entered twice

1. Dietz S (2008) [\*Note--On the Timing of Greenhouse Gas Emissions Reductions: A Final Rejoinder to the Symposium on "The Economics of Climate Change: The Stern Review and its Critics"\*](#) in Review of Environmental Economics and Policy
2. Simon Dietz (Author) (2010) [\*The equity-efficiency trade-off environmental policy : evidence from stated preferences\*](#) in Land economics