



TiGRE Webinar Series
“Trust & Regulatory Governance in an Age of Crisis”

Trust and Rule Compliance

December 17 2020

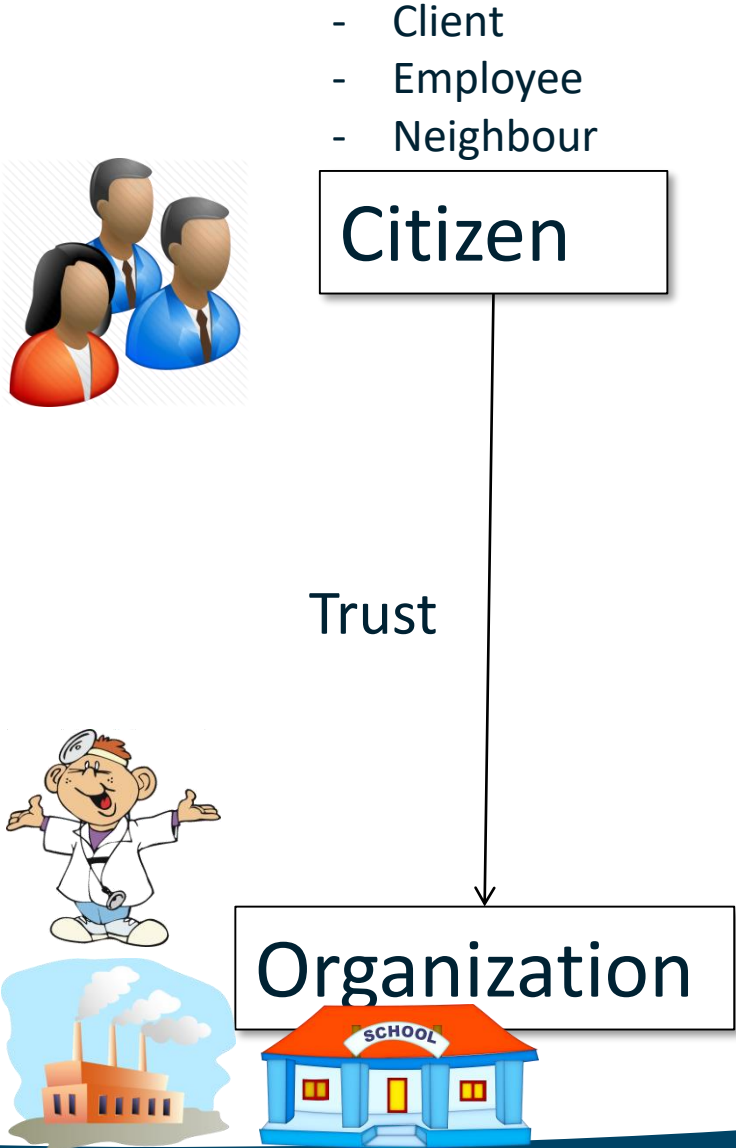
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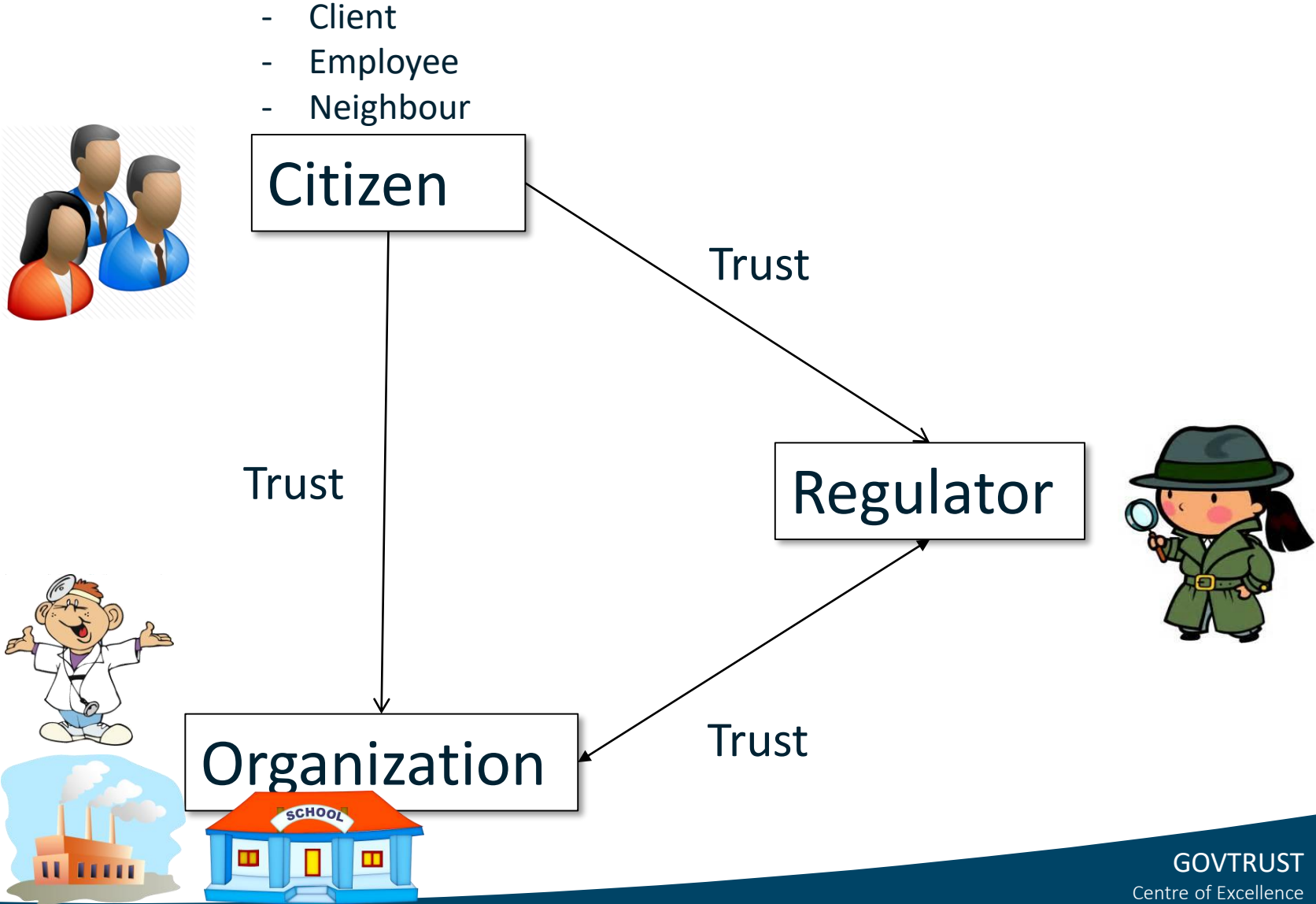
Overview

- Context
- Theories for influence trust on rule compliance
- Trust and rule compliance of COVID-19 measures over time

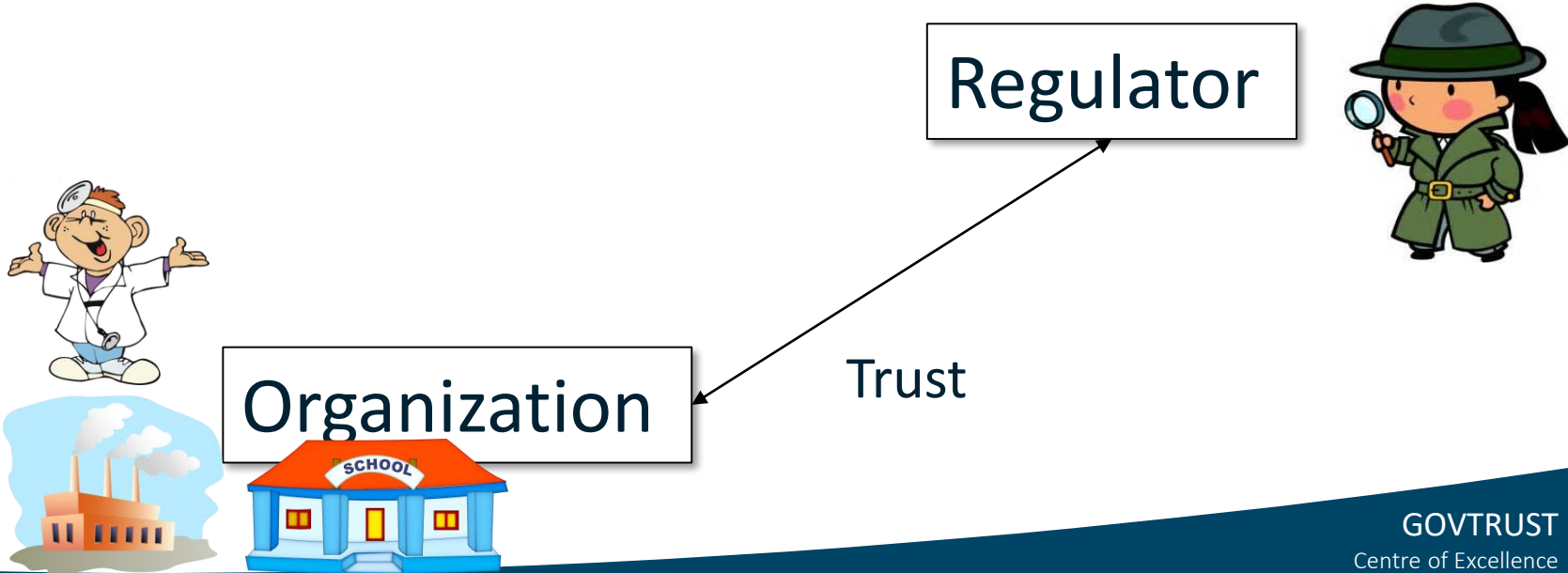
Regulatory trust triangle: why regulation?



Regulatory trust triangle: third-party role trust



Regulatory trust triangle: trust and compliance



Attention to role of trust in compliance

- First major work: *Responsive Regulation Theory*
Ayres & Braithwaite (1992)
 - backed by Braithwaite & Makkai (1994) and Braithwaite et al (2007)
- Several journal articles:
 - e.g., Murphy (2004); Murphy et al. (2009); Gunningham & Sinclair (2009a, 2009b); Heimer & Gazley (2012)
- Edited volume to set agenda: *Trust in regulatory regimes*
Six & Verhoest (2017)
- TiGRE research consortium (2020-2023): *Trust in Governance and Regulation in Europe*

Overview of theories

Family	Theory	Authors
Responsive regulation theory	Civic Republican Theory	Ayres & Braithwaite (1992) Braithwaite & Makkai (1994)
	Motivational posturing theory	Valerie Braithwaite (2009)
Procedural justice theory		Tyler and colleagues* Murphy and colleagues*
Slippery Slope Framework		Kirchner and colleagues*
Self-Determination Theory		Ryan, Deci and colleagues* Six (2013); Mills & Reiss (2017)
Goal Framing Theory		Lindenberg and colleagues* Etienne (2011, 2013); Six et al (WIP)
		Deci et al (2017)

* These authors have published several relevant studies with varying co-authors

Towards integration: different trust relationships

- Regulator trust in regulatee:
 - Responsive regulation theory
 - Motivational posturing theory
 - Self-determination theory
- Regulatee trust in regulator:
 - Procedural justice theory
 - Slippery slope theory
 - Goal framing theory

→ Logically leads to differences in models (drivers and mediators)

→ Importance of mutual trust/distrust and actual interaction

Towards integration: similarities

- **Legitimacy** in broad sense always included
 - Legitimacy of authority
(procedural justice theory, goal framing theory)
 - Legitimacy of rule/law
(responsive regulation theory, procedural justice theory, self-determination theory, goal framing theory)
- **Procedural justice**
(motivational posturing theory, procedural justice theory, self-determination theory, goal framing theory)
- **Competing motivations**
(motivational posturing theory, self-determination theory, goal framing theory)

Variables unique to one theory

- **Social contagion** (goal framing theory)
 - Observed (non)compliance of other regulatees
- **Power** (slippery slope framework)
 - Power of authorities: perception authorities capable of detecting and punishing crimes
- **Regulator generalized trust in regulatees** (self-determination theory)

Lessons from studies on actual interaction

- John Braithwaite (e.g., 2007)
 - Heimer & Gazley (2012)
 - Six & van Ees (2017)
 - Mascini & van Wijk (2009)
 - Gunningham & Sinclair (2009a, 2009b)
- Importance of behavioural science: perception, motivations, influencing behaviour
- Importance of interpersonal communication skills inspectors

Tentative conclusions

(Mutual) trust between regulator and regulatee has positive influence on regulatee rule compliance

- Generalized trust/distrust
 - Regulatee → authority
 - Inspector → regulatees as group
- Trust involves showing care and concern for interests/concerns of other actor
 - Concern regulator: obtain relevant information
 - Concern regulatee: procedural justice
- Importance of interpersonal communication competencies
- Other factors:
 - Legitimacy of both authority and rule
 - Competing motivations
 - Social contagion, where other regulatees' compliance can be observed

How the effect of trust and other factors on rule compliance changes over time during the COVID-19 crisis

Frédérique Six, Steven De Vadder, Monika Glavina, Koen Verhoest

Research question

How does the effect of trust and other factors on rule compliance change over time during the COVID-19 crisis?

And how can we explain this dynamic?

Theory and hypothesis

Normal times:

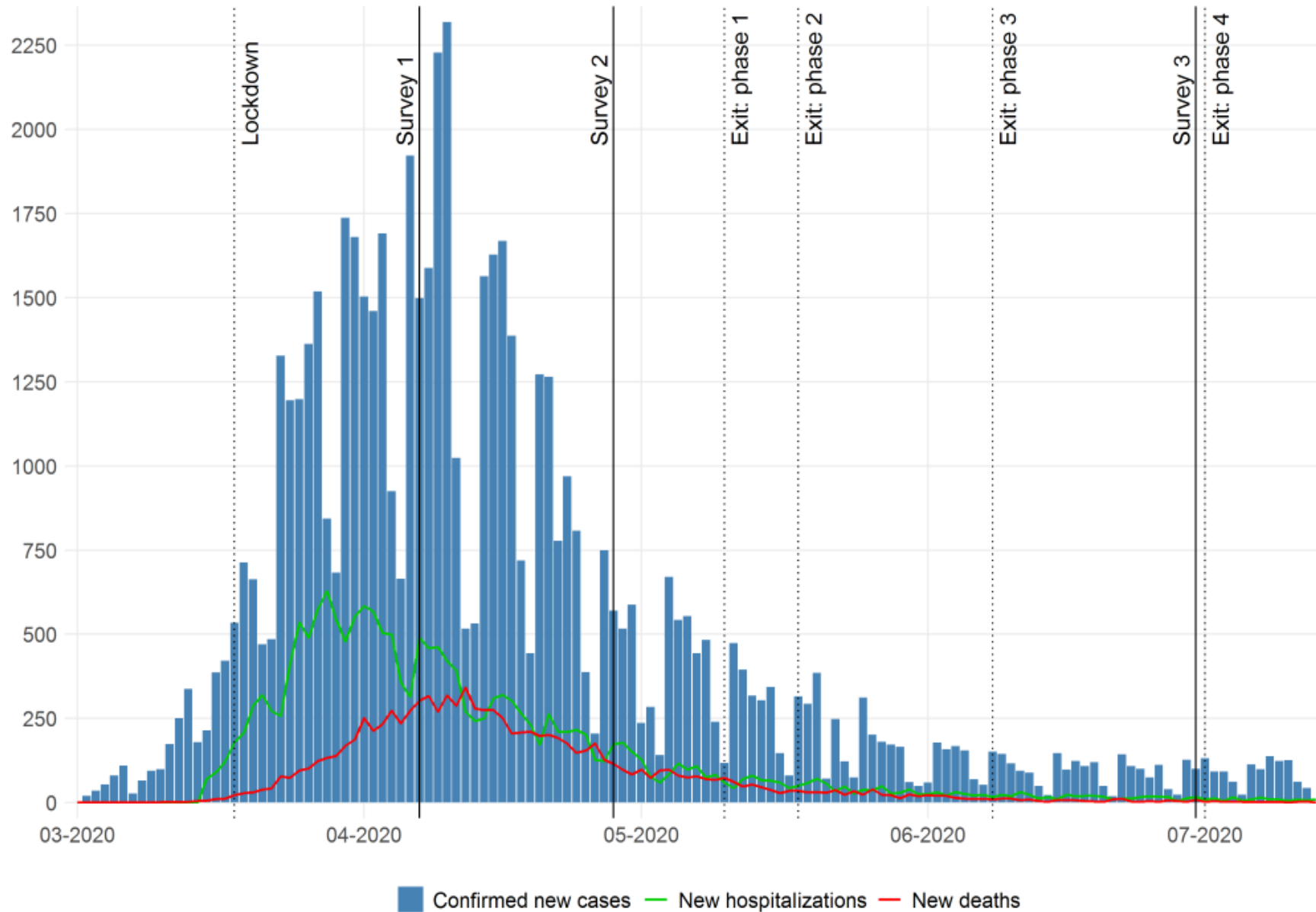
- Regulatee trust in regulator has a positive effect on regulatee compliance (e.g. Gunningham and Sinclair 2009; Murphy 2004; Six and Verhoest 2017)
- Citizen trust in government has a positive effect on citizen compliance (e.g., Tyler and Degoey 1995; Lago-Peñas and Lago-Peñas 2010)

Times of crisis:

- Citizen trust in government has a positive effect on citizen compliance in non-COVID-19 crises (financial crisis, SARS, Ebola) (e.g., Blair et al. 2017; Vinck et al. 2019; Rubin et al. 2009; Kaplanoglou et al. 2016)
- Citizen trust in government has a positive influence on citizen compliance in current COVID-19 crisis (e.g., Jørgensen et al. 2020; Brouard et al. 2020; Bargain and Ulugbek 2020)

→ **Hypothesis 1: Citizen's trust in government has a positive effect on rule compliance during all phases of the crisis**

COVID-19 in Belgium



Results



		WAVE 1					
		Step 0	Step 1	Step 2	Step 3	Step 4	Step 5
Intercept		9,017*** (0.079)	8,804*** (0.088)	8,730*** (0.090)	8,208*** (0.140)	7,558*** (0.169)	6,149*** (0.174)
Age		0.018*** (0.001)	0.017*** (0.001)	0.016*** (0.001)	0.016*** (0.002)	0.015*** (0.002)	0.012*** (0.002)
Female		0.269*** (0.029)	0.260*** (0.029)	0.254*** (0.029)	0.222** (0.041)	0.201** (0.041)	0.167* (0.038)
Alone		-0.177* (0.044)	-0.180* (0.044)	-0.174* (0.044)	-0.179· (0.062)	-0.183· (0.062)	-0.092 (0.059)
Education		0.059* (0.017)	0.055* (0.017)	0.042 (0.017)	0.028 (0.024)	0.031 (0.024)	0.008 (0.023)
Labour Situation	Temporary Unemployed	0.032 (0.036)	0.038 (0.036)	0.039 (0.036)	0.042 (0.051)	0.045 (0.051)	0.037 (0.048)
	Unemployed	-0.017 (0.097)	-0.016 (0.097)	0.000 (0.098)	0.029 (0.141)	0.038 (0.140)	0.043 (0.133)
	Closed Own Company	0.063 (0.065)	0.070 (0.064)	0.077 (0.065)	0.079 (0.091)	0.089 (0.091)	0.066 (0.086)
	New Job	-0.175 (0.189)	-0.178 (0.188)	-0.187 (0.190)	-0.166 (0.261)	-0.186 (0.258)	-0.183 (0.244)
Pro-Social			0.362** (0.066)	0.296* (0.068)	0.282 (0.096)	0.261 (0.096)	0.188 (0.091)
Trust in Government (handle COVID 19 crisis)				0.302** (0.056)	0.047 (0.094)	0.062 (0.094)	-0.036 (0.089)
Effectiveness					0.457* (0.109)	0.337· (0.109)	0.118 (0.104)
Appropriateness					0.547*** (0.070)	0.466*** (0.071)	0.495*** (0.067)
Risk Proximity						0.080 (0.081)	0.156 (0.077)
Risk Severity						0.894*** (0.132)	0.814*** (0.125)
Social contagion							2,330*** (0.113)
R ²		0.042	0.046	0.050	0.076	0.090	0.186
Adjusted R ²		0.041	0.045	0.048	0.073	0.086	0.183

	WAVE 1	WAVE 2	WAVE 3
	Step 5	Step 5	Step 5
Intercept	6,149*** (0.174)	6.478*** (0.117)	4.631*** (0.191)
Age	0.012*** (0.002)	0.012*** (0.001)	0.021*** (0.002)
Female	0.167* (0.038)	0.212*** (0.028)	0.374*** (0.049)
Pro-Social	0.188 (0.091)	0.131 (0.065)	0.670*** (0.105)
Trust Government	-0.036 (0.089)	-0.192 (0.061)	-0.428* (0.118)
Effectiveness	0.118 (0.104)	0.257* (0.071)	-0.027 (0.130)
Appropriateness	0.495*** (0.067)	0.434*** (0.045)	1.084*** (0.083)
Risk Proximity	0.156 (0.077)	0.192* (0.053)	0.553*** (0.092)
Risk Severity	0.814*** (0.125)	0.880*** (0.080)	1.193*** (0.143)
Social contagion	2,330*** (0.113)	2.044*** (0.078)	1.943*** (0.114)
Adjusted R ²	0.183	0.180	0.230

Contribution paper

1. Integrate different strands of trust and compliance literature in normal times and in times of crisis
2. The dynamics of drivers of rule compliance change over time during a crisis
3. Role of trust is more nuanced
4. Fear and social contagion are important, but not widely recognized drivers of compliance
5. Lindenberg's Goal Framing Theory strong candidate to explain dynamics of drivers of compliance

GOVTRUST Annual Symposium 2021

Trust and the COVID-19 Crisis: Regulation and Compliance in Multi-level Governance

Friday 29 January 2021 | 14:00 - 17:00 CET | Online event

Register on our GOVTRUST website:

<https://www.uantwerpen.be/en/research-groups/govtrust/news/upcoming-events/symposium2021/>



Thank you for your attention!



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