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# SI 655

# Electronic Records Management

Week 08
Social Demands &
Incentives for Accountability
March 16, 2009

- US National Archives and Records Administration
  - http://toolkit.archives.gov

- US National Association of State Chief Information Officers
  - http://www.nascio.org/publications/

- AIIM White Papers / Case Studies (registration required)
  - http://www.aiim.org/Research/Information-Management-ECM-BPM-ERM-Case-Studies-and-Whitepapers.aspx

- *Health Affairs* (March/April 2009 - Vol 28, No 2) (via UM library subscription)
  - http://content.healthaffairs.org/current.shtml

# OUTLINE

- Social Demand / Incentives
  - Factors
  - Accountability
  - Transparency
  - Panopticism
  - Issues
  - Conventional / New Approaches
  - Multi-sectoral Networks
  - Global Reporting Initiative

# Factors

- Re-establishing legitimacy of institutions following series of scandals and malfeasance

- Globalization and the ineffectiveness of national sovereignty mechanisms

- Pressure from consumers and some investors for socially responsible policies and practices

# Accountability 1...

- <u>Definition</u>:  the *ability* to hold others to *account* for their actions
- <u>Mechanisms</u>:
  - Markets
  - Elections
  - Reputation
  - Oversight
  - Sanctions
  - Boycotts
  - Force
- <u>Limitations</u>:
  - Scope of influence
  - Access to accountability mechanisms
  - Power imbalance
  - Non-enforcement

# Accountability 2...

- Dynamic & contested
- Changes over time
- Sensitive to contexts
  - Historical
  - Social
  - Cultural
  - Political

(Zadek 2005; Fung, Graham & Weil 2007)

# Transparency: Social Demands / Incentives

- Visible

- Frank

- Candid

- Open

- Observable

- "complete and balanced disclosure of information on the issues and indicators required by stakeholders to make decisions, and on the processes, procedures, and assumptions used in preparing those disclosures" (Global Reporting Initiative)

# Targeted Transparency

- Mandated public disclosure
- By corporations or other private or public organizations
- Of standardized, comparable, and disaggregated information
- Regarding specific products of practices
- To further a defined public purpose

(Fung, Graham, Weil, 2007)

# The Panopticon
# Accountability through transparency?
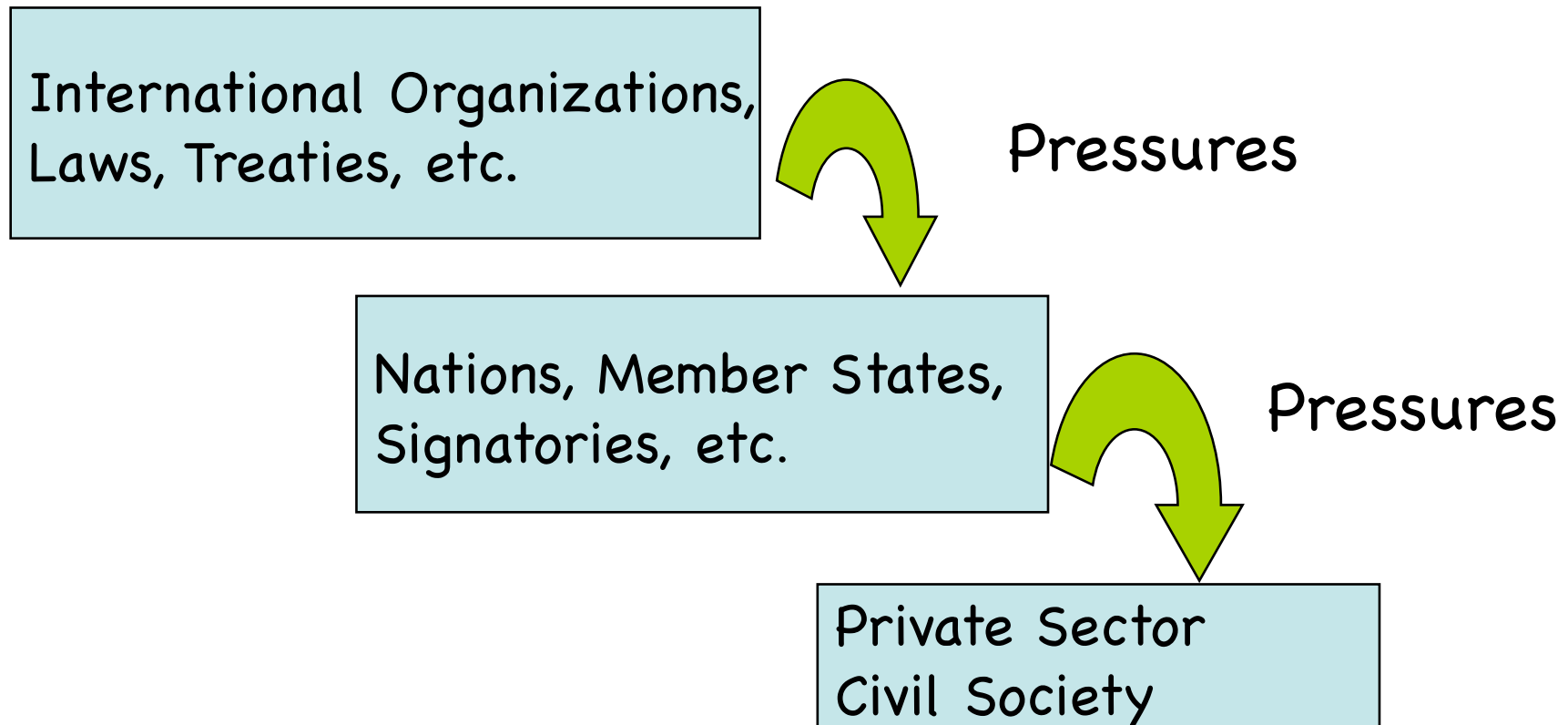


Jeremy Bentham (Wikimedia Commons)
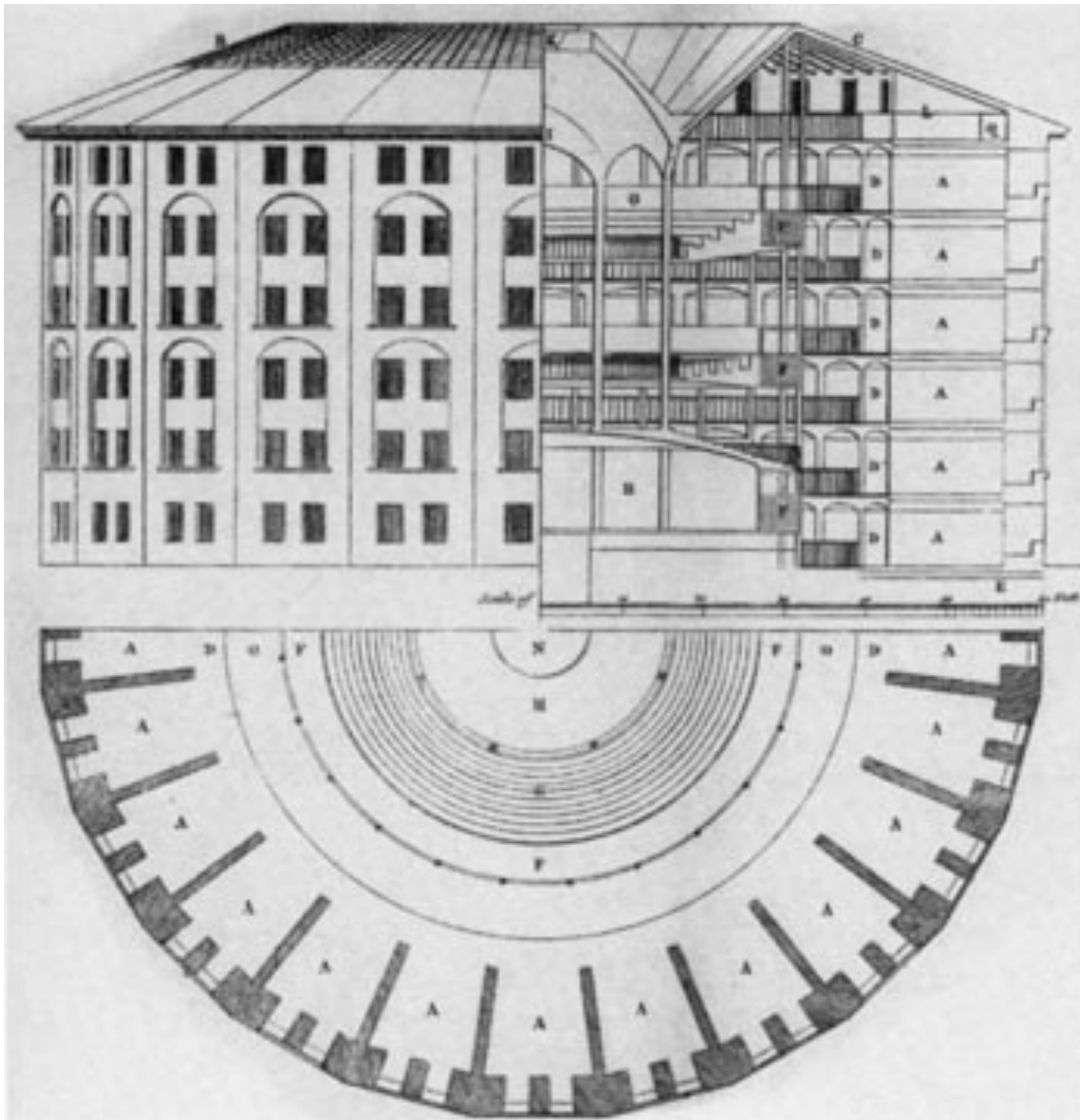
# Transparency / Accountability Issues

- Who is held accountable? For what?
- How are they held accountable?
- How do we create / enforce effective mechanisms for accountability?
- What are the limits on transparency?

# Conventional Approaches

Top Down

International Organizations, Laws, Treaties, etc.

Pressures

Nations, Member States, Signatories, etc.

Pressures

Private Sector
Civil Society

# New Approaches: Multi-Sectoral Networks

- **Interdependence**
  - no one entity can address the problem; diffusion of power; pluralistic & collective accountability mechanisms

- **Flexibility**
  - evolve practice as issue evolves (plusses and minuses of legal & non-legal approaches)

- **Complementarity**
  - diversity of constituencies / voices not cooption; negotiation; sharing of knowledge; mediation

# Accountability in Multi-Sectoral Networks 1...

- How do you know that the organic eggs you buy are organic?

- How do you know that your Michigan Archives sweatshirt was not produced with child labor?

- How do you know that a factory in Midland is not releasing dioxin into the water supply?

- How do you know that your insurance company (which is owned by a Dutch bank) will cover its liabilities?

- How do you know whether the government of Haiti was legitimately elected?

# Accountability in Multi-Sectoral Networks 2...

- Governments + International Organizations + Civil Society + Businesses

- Address issues that no sector can manage alone:
  - Corruption
  - Climate change
  - Environmental protection
  - Health & Disease
  - Sustainable Development
  - Human Rights
  - Labor Rights
  - Internet Governance

# Emerging Accountability Mechanisms in Multi-Sectoral Networks

- Market-oriented
  - Contract and purchasing requirements
  - Labeling and certification
  - Boycotts

- Regulatory & Legal
  - Standards and Protocols (Koyoto Protocol)
  - Inspections  and Treaties (IAEA)

- Voluntary
  - Open reporting movement
  - Self regulation / persuasion
  - Codes of conduct / certification / peer accountability
  - Reputational orientation (brand)

# Global Reporting Initiative

- Beyond Financial Reporting
- Impacts: Community to Global
- Impacts: Immediate to very long-term
- Issues?
- What role do electronic records play in this initiative?