

FORMAT		
1. Name of resource	CARE Principles for Indigenous Data Governance	
2. Location	https://www.gida-global.org/care	
3. Alternative location	https://static1.squarespace.com/static/5d3799de845604000199cd24/t/5da9f4479ecab221ce848fb2/1571419335217/CARE+Principles+One+Paggers+FINAL+Oct+17+2019.pdf	
4. Author[s]	S. R. Carroll and M. Hudson (co-leads) and others	
5. Publisher/producer/host	The Global Indigenous Data Alliance	
6. Year	2019	
7. Suggested citation	Research Data Alliance International Indigenous Data Sovereignty Interest Group. (September 2019). "CARE Principles for Indigenous Data Governance." The Global Indigenous Data Alliance. GIDA-global.org, available at https://www.gida-global.org/care .	
8. Languages in which available	English, Spanish, Vietnamese	
9. Geographic area resource relates to	International	
10. Does the resource relate to a specific time frame?	No	
11. Type	Report	
	Toolkit/Framework/Roadmap	Yes
	Sign-post to other resource (database)	
	Case studies	
	Other: Statement of Principles	Yes
12. If this is part of an initiative, what is the initiative?	<p>Part of the larger body of work by the Global Indigenous Data Alliance, "AN INTERNATIONAL NETWORK Advancing Indigenous Data Sovereignty and Governance</p> <p>Asserting Indigenous Peoples rights and interests in data</p> <p>Advocating for data for the self-determined wellbeing of Indigenous Peoples</p> <p>Reinforcing the rights to engage in decision-making in accordance with Indigenous values and collective interests" (Home)</p> <p>A summary of the CARE Principles is available at https://static1.squarespace.com/static/5d3799de845604000199cd24/t/5d79c383e904c741c9e9cd86/1568260995760/CARE+Principles+for+Indigenous+Data+Governance+FIN</p>	

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COLLECTIONS AND COLLECTIONS-BASED INSTITUTIONS		
13. Explicit links to collections	Yes	
14. Explicit links to museums/libraries/archives	No	
15. Types of institutions the resource covers	Museums	X
	Archives	X
	Libraries	X
	Other	X
16. Types of collections/disciplines the resource covers	Arts, humanities and social sciences: philosophy, psychology, religion, social sciences, law, politics, language, arts and recreation, architecture, literature, history, geography and ethnology, anthropology, archaeology	X
	Science, natural history, technology, medicine, engineering, manufacturing	X
17. If no explicit links to collections, justification for inclusion	This document acknowledges that Data (including digitised and born-digital heritage) has important implications for Indigenous Peoples' ability to exercise their individual and collective rights to self-determination. It outlines the principles that data collecting institutions must keep in mind to ensure Indigenous data sovereignty. Indigenous data includes Indigenous cultural heritage embedded in languages, knowledge, practices, technologies, natural resources, and territories. This could be applicable to any memory institution that is collecting/archiving digital Indigenous heritage.	
HOW IT CONTRIBUTES TO SUSTAINABLE DEVELOPMENT		
18. Collections-related activities the resource relates to (mark all that apply)		
Develop collections to protect and safeguard wider cultural and natural heritage more effectively , for example by targeting collecting to threatened forms of heritage in strategic ways	X	
Use collections to promote learning and educational opportunities that contribute to sustainable development more effectively , for example education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural diversity and of culture's contribution to sustainable development and/or skills development relating to collections	X	

X Use collections to promote cultural participation/social inclusion more effectively, for example by reducing barriers to participation, to ensure no-one is 'left behind'	X
Use collections to promote sustainable tourism more effectively, for example by developing new products based on local cultural heritage, and/or considering the rights of stakeholder groups in relation to collections	
Use collections to support research that contributes to sustainable development (including all forms of personal and self-directed research at all levels that make use of stored collections) more effectively, for example by providing effective facilities, collections and information to meet researchers' needs	X
Make decisions around collections that contribute to sustainable development more effectively	X
i. employment (recruiting, staff training, staff safety)	
ii. energy consumption, greenhouse gas emissions, reduction, monitoring and reporting	
iii. waste management and reduction of waste	
iv. transport (forms of transport, energy use)	
v. commercial activities including copyright and IP	X
vi. governance and management	X
vii. security, disaster preparedness and risk reduction	
Direct external leadership, partnerships and collaborations towards sustainable development more effectively, for example by developing impactful partnerships	X
19. Does the resource relate clearly to any international conventions (mark all that apply)?	
Culture conventions:	
1952, 71 Protection of Copyright and Neighbouring Rights	X
1954 Protection of Cultural Property in the Event of Armed Conflict	
1970 Fighting Against the Illicit Trafficking of Cultural Property	
1972 Protection of the World Cultural and Natural Heritage	
2001 Protection of the Underwater Cultural Heritage	
2003 Safeguarding of the Intangible Cultural Heritage	X
2005 Protection and Promotion of the Diversity of Cultural Expressions	X
Rio Conventions:	
Convention on Biological Diversity (CBD), Convention to Combat Desertification (UNCCD), Framework Convention on Climate Change (UNFCCC)	X
AIMS AND CONTENT	
20. What issues does the resource aim to address?	"The current movement toward open data and open science does not fully engage with Indigenous Peoples' rights and interests. Indigenous data sovereignty reinforces the rights to engage in decision-making in accordance with Indigenous values and collective interests.

	This includes the right to create value from Indigenous data in ways that are grounded in Indigenous worldviews and realise opportunities within the knowledge economy.”
21. Intended audience of resource	[Governments and institutions that hold data or digital heritage arising from or relating to Indigenous peoples in their collections]
22. Process of development	“The CARE Principles for Indigenous Data Governance were drafted at the International Data Week and Research Data Alliance Plenary co-hosted event “Indigenous Data Sovereignty Principles for the Governance of Indigenous Data Workshop,” 8 November 2018, Gaborone, Botswana.” These principles complement the existing FAIR principles (www.go-fair.org).
23. Organisation/structure/contents	<ul style="list-style-type: none"> • The increasing convergence of technology infrastructure and digital connectivity has raised the value of data across the globe. • Indigenous data sovereignty reinforces the rights to engage in decision-making in accordance with Indigenous values and collective interests. • The CARE principles are made up of the following headings: Collective Benefit, Authority to Control, Responsibility, and Ethics. [The document outlines key principles within each of these headings]
FRAMEWORKS	
24. Framework structure	<p>The CARE principles can be considered as a framework:</p> <p>Collective benefit:</p> <ul style="list-style-type: none"> • For inclusive development and innovation • For improved governance and citizen engagement • For equitable outcomes <p>Authority to Control:</p> <ul style="list-style-type: none"> • Recognizing rights and interests • Data for governance • Governance of Data <p>Responsibility:</p> <ul style="list-style-type: none"> • For positive relationships • For expanding capability and capacity • For Indigenous languages and worldviews <p>Ethics:</p> <ul style="list-style-type: none"> • For minimizing harm and maximizing benefit • For justice • For future use
25. Relevant policy considerations	Yes
26. Resources for implementation	No

identified	
27. Specific assessment points/indicators/milestones/action plan for monitoring	Yes
28. ASPECTS OF SUSTAINABILITY COVERED BY RESOURCE (mark all that apply)	
People (social sustainability)	X
Planet (environmental sustainability)	
Prosperity (economic sustainability)	
Peace	X
Partnerships	X
29. CROSS-CUTTING CONSIDERATIONS COVERED BY RESOURCE (mark all that apply)	
Gender perspectives	X
North and South perspectives	X
HOW THE RESOURCE CONTRIBUTES TO AGENDA 2030 AND THE SDGs	
HOW AGENDA 2030 AND THE SDGs FEATURE IN THE RESOURCE	
30. SDGs and Agenda 2030 specifically mentioned?	No
31. SDGs specifically mentioned?	No
32. SDG targets specifically mentioned?	No
33. SDG indicators specifically mentioned?	No
SDGs AND SDG TARGETS AND LINKAGES	
34. Comments on SDG linkages	The resource is most closely related to SDGs 1.4 (access to all forms of property and inheritance), 4.5 (removing barriers to education for Indigenous peoples and other groups), 9.1 (sustainable, resilient and inclusive infrastructures), 9.A (sustainable infrastructure development for developing countries), 16.10 (access to information and protecting fundamental freedoms, which relates to copyright and other human rights). These support SDG 10.2 (ensure the full social, political and economic inclusion of all) and 10.3 (ensure equal opportunity and reduce inequalities of outcome), SDGs 16.6 (effective, accountable and transparent institutions) and 16.7 (inclusive and participatory decision making). The resource can also support activity for SDG 17.8 (enhance

	<p>North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge sharing on mutually agreed terms) and 17.16 (global partnerships that share resources, including knowledge resources). Ensuring people have access to their heritage supports SDG 11.4 (strengthen efforts to protect and safeguard cultural and natural heritage). Fair and ethical use of Indigenous data can support a number of activities, for example SDGs 2.5 and 15.6 on the use of genetic resources from plants and animals, and fair sharing of any economic benefits arising from use.</p>
<p>35. SDGs and SDG targets the resource helps advance</p>	
<p>SDG 1: End poverty in all its forms everywhere 1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance</p>	<p>Numbers and proportions of people from particular groups using collections in comparison with demographics in broader society.</p> <p>Numbers of people accessing collections.</p> <p>Number of targeted programmes that aim to enhance access to collections by disadvantaged groups.</p> <p>Sustainable tourism that enhances local communities' access to basic services, ownership and control over land and other forms of property (including cultural and natural heritage), as well as to technology and markets.</p> <p>Involvement of people from disadvantaged groups in decision-making activities and processes relating to collections and collections-based institutions.</p>
<p>SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture 2.5 By 2020, maintain the genetic diversity of seeds, cultivated plants and farmed and domesticated animals and their related wild species, including through soundly managed and diversified seed and plant banks at the national, regional and international levels, and promote access</p>	<p>Collections development related to genetic diversity of seeds, cultivated plants, farmed and domesticated animals (notably of local or at-risk varieties) and related wild species, for example in herbaria, museums, seed and gene banks, and seed libraries.</p> <p>Number of educational programmes related to genetic diversity of domesticated plants, animals and wild relatives.</p> <p>Number of educational programmes related to fair and equitable benefits of use of genetic resources and associated traditional knowledge, following international agreements (e.g. Nagoya Protocol).</p>

<p>to and fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge, as internationally agreed</p>	<p>Number of educational and awareness programmes for people to ensure that they are aware of their rights and protections in terms of traditional knowledge, and exploitation of genetic resources.</p> <p>Number of research activities that help understand traditional knowledge, and genetic diversity of crop plants and animals.</p> <p>Ensure that producers of crop plants and animals are fairly compensated.</p> <p>Policies and procedures in place to ensure legal compliance with fair and equitable benefits of use of genetic resources and associated traditional knowledge, following international agreements (e.g. Nagoya Protocol).</p> <p>Number of partnerships at national, regional and international levels, as appropriate, to soundly manage seed and plant banks.</p>
<p>SDG 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all 4.5 By 2030, eliminate gender disparities in education and ensure equal access to all levels of education and vocational training for the vulnerable, including persons with disabilities, indigenous peoples and children in vulnerable situations</p>	<p>Number of educational and/or training programmes drawing on collections directed to meet the particular needs of persons with disabilities.</p> <p>Number of educational and/or training programmes drawing on collections directed to meet the particular needs of Indigenous peoples' groups.</p> <p>Number of educational and/or training programmes drawing on collections directed to meet the particular needs of children in vulnerable situations.</p>
<p>SDG 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation 9.1 Develop quality, reliable, sustainable and resilient infrastructure, including regional and transborder infrastructure,</p>	<p>Development of research-useful collections to support reliable, sustainable and resilient use by researchers and others.</p> <p>Number and proportion of collections facilities and stores that support economic development and human well-being.</p> <p>Number and proportion of collections facilities and stores</p>

<p>to support economic development and human well-being, with a focus on affordable and equitable access for all</p>	<p>that provide affordable and equitable access for all.</p> <p>Investment in collections facilities.</p> <p>Inclusion of collections information in regional and transborder initiatives, notably via digital access for discoverability.</p>
<p>SDG 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation</p> <p>9.A Facilitate sustainable and resilient infrastructure development in developing countries through enhanced financial, technological and technical support to African countries, least developed countries, landlocked developing countries and small island developing States.</p>	<p>Plans in place to support development of sustainable and resilient infrastructure in developing countries through financial, technological and technical support, for example through:</p> <ul style="list-style-type: none"> i. joint projects, ii. funding bids, iii. sharing equipment, collections and collections information as appropriate, iv. in order to support development of high-quality infrastructures for sustainable development, research and innovation.
<p>SDG 10. Reduce inequality within and between countries</p> <p>10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status</p>	<p>Collections development to ensure that collections effectively meet the needs of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status.</p> <p>Numbers and proportions of people making use of collections in relation to the demographic of the local population.</p> <p>Numbers and proportions of people involved in focused programmes aimed at promoting social, economic and political inclusion.</p> <p>Numbers and proportions of people from different demographic groups involved in decision-making processes relating to collections and collections-based institutions.</p> <p>Number and types of partnerships that build relationships with marginalized groups, individuals and communities.</p>

<p>SDG 11. Make cities and human settlements inclusive, safe, resilient and sustainable 11.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage</p>	<p><i>11.4.1 Total expenditure (public and private) per capita spent on the preservation, protection and conservation of all cultural and natural heritage, by type of heritage</i></p> <p>Plans, policies and procedures in place for the safe use of collections for a variety of purposes, protecting and safeguarding both collections and those who use them.</p> <p>Plans, policies and procedures in place for the identification, safeguarding and protection of cultural and natural heritage at risk.</p> <p>Collecting programmes in place to protect, safeguard and make use of cultural and natural heritage, addressing the needs of communities and stakeholders, and ensuring that collections can be an effective resource for sustainable development.</p> <p>Number and diversity of educational, awareness-raising, research programmes, and partnerships that aim to strengthen protection of cultural and natural heritage.</p>
<p>SDG 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss 15.6 Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed</p>	<p>Policies, plans and agreements in place for access and benefit sharing relating to use of collections, in line with the Nagoya Protocol (notably relating to natural history collections, gene banks, tissue banks, seed banks).</p> <p>Effective communication and dissemination methods in place to promote access to resources, and access to relevant policies, plans and agreements, in place.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive</p>	<p><i>16.6.2 Proportion of the population [audience/users/non-users] satisfied with their last experience of public services</i> Access to information, and accountability policies and mechanisms, in place.</p>

<p>institutions at all levels. 16.6 Develop effective, accountable and transparent institutions at all levels</p>	<p>Effective institutional arrangements, both for own working and for working in partnership with other sectors, in place.</p> <p>Plans and arrangements in place for extraordinary circumstances such as natural and human-caused disasters.</p> <p>Effective arrangements in place to fulfil legal and social obligations and responsibilities.</p> <p>Effective arrangements in place for transparent communication and reporting of institutional performance.</p> <p>Effective arrangements in place for transparent decision-making and accountability.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. 16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	<p><i>16.7.1 Proportions of positions (by sex, age, persons with disabilities and population groups) in public institutions (national and local legislatures, public service, and judiciary) compared to national distributions</i> <i>16.7.2 Proportion of population [audience/users/non-users] who believe decision-making is inclusive and responsive, by sex, age, disability and population group</i></p> <p>Decision-making addresses societal, environmental and economic challenges related to the community, considering short-term and long-term risks and opportunities.</p> <p>Decision-making draws on diverse backgrounds, viewpoints and interests, reflecting a broad base of stakeholders, and working to promote inclusion and provide effective services for all of society.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. 16.10 Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements</p>	<p>Adopt and implement constitutional, statutory and/or policy guarantees for public access to information.</p> <p>Plans in place, and plans implemented to enhance public access to information relating to collections.</p> <p>Plans in place, and plans implemented to support fundamental freedoms, in line with human rights, national and international agreements and legislation.</p> <p>Plans and procedures in place for public access to information relating to the operation and management of collections-based institutions.</p>

	Complaint mechanism in place for public to use where public access to information and fundamental freedoms not supported or fulfilled.				
SDG 17. Partnerships for the goals 17.6 Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge-sharing on mutually agreed terms, including through improved coordination among existing mechanisms, in particular at the United Nations level, and through a global technology facilitation mechanism	Number and diversity of North-South, South-South and triangular co-operations and projects to support access to science, technology and innovation and enhance knowledge-sharing on mutually agreed terms.				
SDG 17. Partnerships for the goals 17.16 Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries	Number and/or increase in number, and diversity of global and international multi-stakeholder partnerships that share collection-related knowledge, expertise, technology and financial resources to address the SDGs, or that otherwise involve collections-based organisations and institutions. Number and/or increase in number, and diversity of global and international multi-stakeholder partnerships involving developing countries that share collection-related knowledge, expertise, technology and financial resources to address the SDGs.				
1	2	3	4	5	6
7	8	9	10	11	12
13	14	15	16	17	