



General Conference

40th Session, Paris, 2019

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United Nations
Educational, Scientific and
Cultural Organization

Organisation
des Nations Unies
pour l'éducation,
la science et la culture

Organización
de las Naciones Unidas
para la Educación,
la Ciencia y la Cultura

Организация
Объединенных Наций по
вопросам образования,
науки и культуры

منظمة الأمم المتحدة
للتربية والعلم والثقافة

联合国教育、
科学及文化组织

Item 9.7 of the provisional agenda

40 C/39

3 September 2019

Original: English

CONSOLIDATED REPORT ON THE IMPLEMENTATION OF THE 2015 RECOMMENDATION CONCERNING THE PRESERVATION OF, AND ACCESS TO, DOCUMENTARY HERITAGE INCLUDING IN DIGITAL FORM

OUTLINE

Source: 38 C/Resolution 55 and 206 EX/Decision 25.VI

Background: In compliance with 38 C/Resolution 55 and 206 EX/Decision 25.VI, the Director-General submits to the 40th session of the General conference the first consolidated report on the implementation of the 2015 Recommendation concerning the preservation of, and access to, documentary heritage, including in digital form, together with comments by the Executive Board thereon at its 206th session.

Purpose: This document presents the results of the first Consultation with Member States on the implementation of the 2015 Recommendation. The analysis was prepared on the basis of 38 national reports from Member States received by the Secretariat.

Decision required: paragraph 10.



Job: 201911303

I. BACKGROUND

1. The Recommendation concerning the preservation of, and access to, documentary heritage, including in digital form was adopted on 17 November 2015 by UNESCO's General Conference at its 38th session ("the Recommendation"). It provides a coherent normative framework for addressing the perceived needs and specific contexts of Member States in their individual and collective efforts to implement it through formulating and adopting appropriate policies, strategies and legislation across five key areas of documentary heritage *identification, preservation, access, policy and cooperation*.

2. During its 38th session, the General Conference decided that the periodicity of reporting on the action Member States have taken to give effect to this Recommendation will be every four years (38 C/Resolution 55). It should be recalled in this connection that the submission by Member States of reports on the action taken by them upon the recommendations adopted by the General Conference is provided for under Article VIII of the Constitution, as well as under Article 17 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution. Furthermore, the Executive Board adopted, at its 177th session, a specific multi-stage procedure for the implementation of UNESCO conventions and recommendations for which no specific institutional mechanism is provided, including this 2015 Recommendation (177 EX/Decision 35). This Specific multi-stage procedure was subsequently amended by the Executive Board at its 196th session (196 EX/Decision 20).

3. In compliance with the timetable for 2018-2021 of work of the Committee on Conventions and Recommendations on the implementation of these standard-setting instruments for whose monitoring the Board is responsible (204 EX/Decision 18.I), the guidelines for the preparation of reports by Member States on the Recommendation were approved by the Executive Board at its 204th session (204 EX/Decision 18.VI). Subsequently, the present consolidated report was examined by the Executive Board at its 206th session (document 206 EX/25 Part VI) and is submitted consequently to the General Conference at its present session.

4. The consolidated report of the first consultation of Member States reports is presented to the General Conference in Annex I of this document. Reports were received from 38 Member States, including one received after the last Executive Board session.

II. REPORT

5. In his introduction on this point to the CR Committee at the 206th session of the Executive Board, the Assistant Director-General for Communication and Information recalled that document 206 EX/25 Part VI and Corr. provided a consolidated report of the implementation of the 2015 Recommendation concerning the preservation of, and access to, documentary heritage, including in digital form, based on the responses of Member States to a questionnaire prepared for this purpose. The questionnaire focused on five key areas: general support of Member States to the Recommendation; legislation and mandates; identification and preservation status of documentary heritage; capacity building; and the status of the Memory of the World (MoW) Programme.

6. During the CR Committee's debate on this item, Member States welcomed the report and highlighted the importance of preservation and accessibility of documentary heritage and of the Memory of the World Programme. One Member State underlined the Secretariat's efforts to reinforce the MoW National Committees and to increase the number of nominations proposed for inscription. Another Member State, speaking as an Observer, stressed its long-term support to promoting different activities related to the preservation of documentary heritage, including by providing extra-budgetary funds to the MoW Programme for the organization of the Global Policy Forum on disaster risk reduction as a strategy for documentary heritage preservation.

7. Some Member States underlined important initiatives undertaken in their countries, such as the exchanges of digital copies of documentary heritage between Spain and Latin America that could be used as a model of best practice. In this regard, it was pointed out that an agreement between Spain and the Dominican Republic had resulted in the identification and digitization of archival primary sources. For its part, Spain had also developed tools to improve accessibility and was preparing to constitute a National MoW Committee. Another Member State pointed out that the report could have referred to the international standards applied domestically for the training of relevant personnel.

8. In response, the Assistant Director-General for Communication and Information commended Member States for highlighting the importance of the MoW Programme and of the 2015 Recommendation. He noted that CI supports different activities on digitization of archives in different parts of the world, including Africa, with the objective of uniting different initiatives in the field, such as the case of the manuscripts of Mali. He concluded by assuring Member States that the Communication and Information Sector had taken note of the comments and feedback by Member States and would reflect on them as part of refining the questionnaire and the presentation of the consolidated report.

9. After examining document 206 EX/25 Part VI and Corr. and the report of the CR Committee thereon (document 206 EX/45, paragraphs 32 to 34), the Executive Board invited the Director-General to transmit to the General Conference, at its 40th session, this consolidated report on the implementation of this Recommendation, together with the Executive Board's observations.

PROPOSED RESOLUTION

10. After examining this document, the General Conference may wish to adopt the following resolution:

The General Conference,

Recalling 38 C/Resolution 55 and 206 EX/Decision 25.VI,

Having examined document 40 C/39 and its annexes,

Bearing in mind that the submission by Member States of periodic reports on the implementation of recommendations adopted by the General Conference is an obligation under Article VIII of UNESCO's Constitution and Article 17 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution,

Reaffirming the importance of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, and of its implementation by Member States,

1. *Notes* the fact that 38 Member States submitted their reports within the first consultation on the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, and *strongly encourages* the other Member States to submit their reports as soon as possible;
2. *Invites* all Member States to strengthen their efforts to ensure the full and comprehensive implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, especially in consultation with the memory institutions concerned;
3. *Requests* the Director-General to take the appropriate follow-up action to address the findings of the first consultation on the implementation of the 2015 Recommendation

concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, and to initiate the second consultation of Member States;

4. *Also requests* the Director-General to transmit to it, at its 42nd session, the next consolidated report on the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, and *decides* to include an item on this matter in the agenda of its 42nd session.



United Nations
Educational, Scientific and
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ANNEX I

40 C/39
Annex I

Executive Board

Two hundred and sixth session

206 EX/25.VI

PARIS, 15 March 2019
Original: English

Item 25 of the provisional agenda

IMPLEMENTATION OF STANDARD-SETTING INSTRUMENTS

PART VI

IMPLEMENTATION OF THE RECOMMENDATION CONCERNING THE PRESERVATION OF, AND ACCESS TO, DOCUMENTARY HERITAGE INCLUDING IN DIGITAL FORM (2015) - CONSOLIDATED REPORT ON THE IMPLEMENTATION OF THE RECOMMENDATION

SUMMARY

In compliance with 38 C/Resolution 55 and 204 EX/Decision 18.VI, the Director-General submits to the Executive Board at its 206th session the first consolidated report on the implementation of the 2015 Recommendation concerning the preservation of, and access to, documentary heritage, including in digital form, before its transmission to the General Conference at its 40th session.

No financial and administrative implications are anticipated from the proposed decision.

Action expected of the Executive Board: proposed decision in paragraph 24.



I. BACKGROUND

1. The Recommendation concerning the preservation of, and access to, documentary heritage, including in digital form was adopted on 17 November 2015 by UNESCO's General Conference at its 38th session ("the Recommendation"). At its 38th session, in November 2015, the General Conference decided that the periodicity of reporting on the action Member States have taken to give effect to this Recommendation will be every four years (38 C/Resolution 55). It should be recalled in this connection that the submission by Member States of reports on the action taken by them upon the recommendations adopted by the General Conference is provided for under Article VIII of the Constitution, as well as under Article 17 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution. Furthermore, the Executive Board adopted, at its 177th session, a specific multi-stage procedure for the implementation of UNESCO conventions and recommendations for which no specific institutional mechanism is provided, including this 2015 Recommendation (177 EX/Decision 35). This Specific multi-stage procedure was subsequently amended by the Executive Board at its 196th session (196 EX/Decision 20). In compliance with the timetable for 2018-2021 of work of the Committee on Conventions and Recommendations on the implementation of these standard-setting instruments for whose monitoring the Board is responsible (204 EX/Decision 18.I), this first consolidated report is submitted to the Executive Board at its present session, before its transmission to the General Conference at its 40th session. The guidelines for the preparation of reports by Member States on the Recommendation were approved by the Executive Board at its 204th session (204 EX/Decision 18.VI).

II. CONSOLIDATED REPORT

2. Following the adoption of 38 C/Resolution 55, the Director-General, by a letter dated 26 July 2018 (ref. CL/4245, copy in Annex I), invited Member States to submit, by 30 November 2018, their reports on actions taken to implement the Recommendation, according to the guidelines prepared for that purpose and sent to Member States together with the above-mentioned letter.

3. On 3 December 2018, the Assistant Director-General for Communication and Information granted Member States an extension to submit their reports by 15 December 2018 (Ref. ADG/CI/ML/18/322, copy in Annex II).

4. By 15 January 2019, the Secretariat had received 36 reports from Austria, Albania, Armenia, Bulgaria, Canada, China, Côte d'Ivoire, Cuba, Ecuador, Estonia, Greece, Hungary, Iceland, Iran (Islamic Republic of), Jordan, Republic of Korea, Lebanon, Lithuania, Mexico, Myanmar, New Zealand, Oman, Pakistan, Peru, Poland, Russian Federation, Serbia, Slovenia, South Africa, Sweden, Switzerland, Netherlands, Turkey, United Kingdom of Great Britain and Northern Ireland, Ukraine and Uzbekistan.

Elements for reporting on the specific provisions of the Recommendation

General Support

5. Most Member States reporting have promulgated the Recommendation to appropriate ministries and institutions. While some have translated it into their national languages, others plan to do so. Some others use it in the existing UNESCO languages.

6. Twenty-nine Member States reported having created a supportive, participatory, enabling environment for their line ministries and memory institutions to develop policies, tools and projects to protect and disseminate documentary heritage. Some have enabled direct access to all citizens, such as in Ecuador, where citizens reportedly donate important documents to memory institutions.

7. Several States apply international standards. The curatorial practices of the United Kingdom of Great Britain and Northern Ireland, constantly under review, reflect such international standards. Canada's digital preservation strategy follows the international ISO standards. Hungary and Estonia also apply several standards of the International Organization for Standardization (ISO) and the European Committee for Standardization (CEN). Ecuador has domesticated the Universal Declaration on Archives of International Council on Archives (ICA). For its part, the Netherlands is promoting sustainable and trustworthy data infrastructures through the Core Trust Seal certification. The reports also indicate that other Member States are working to apply international standards within their regulations, with only few not reporting on this issue.

8. Several Member States reported on various cases of consultation between policy makers, memory institutions and practitioners and in some cases funders. Consultations are encouraged by different means, such as establishing advisory bodies to coordinate tasks, including on archival issues (Russian Federation, New Zealand). The National Commissions and the MoW National Committees (where they exist), take a leading role in establishing a bridge between relevant ministries and memory institutions (e.g. Serbia, Turkey). Many States report forming policies by establishing a system of laws, instructions and regulations based on internationally recognized recommendations and norms. Several focus on formulating national cultural heritage digitization infrastructures by strengthening digitization management and ensuring interoperability of digital products on national and international level. In Netherlands, the National Plan Open Science provides a strong impetus for the preservation of scientific publications and data and encourages the participation of national institutions in international organizations like the International Federation of Library Associations and Institutions (IFLA), the Association of European Research Libraries (LIBER), the Cultural Emergency Response (CER) programme and ICA where standards are constantly developed and discussed. The National Archives in Sweden is developing national formats primarily by adopting international standards. Poland encourages participation of memory institutions in international cooperation thus enhancing the exchange of experiences and knowledge of its national professionals and the organization of scientific conferences and meetings of experts. Lebanon trains national civil servants to organize their own archives.

9. Many States have created archives' protection and development programmes and centres for professional training and capacity building, such as China's MoW Knowledge Centres and MoW Forum. Other Member States report research activities by universities and memory institutions, including on existing academic courses in the fields of archival and document management, scientific information and library science as well as conservation and restoration of manuscripts. Scholarships, seminars, exchange programmes and workshops are also mentioned in this regard. Other States organize in-service training courses and workshops, which may be open to the general public in some countries. Other States organize thematic and jubilee exhibitions of valuable collections, with online publications for wider access to the communities. Partnerships between two or more institutions from different countries are also important especially when the digitization of collections is coupled with training of professionals (e.g. the Rivonia Trial dictabelts collection from South Africa). The MoWCAP meeting organized in South Asia and the subregional meeting in Iran (Islamic Republic of) and national meetings organized by its MoW National Committee helped to train stakeholders in Iran (Islamic Republic of) and Myanmar.

Legislation and mandates

10. Twenty-five reporting Member States have a legislative framework for formulating policies to safeguard documentary heritage and ensure its accessibility. In many cases, documentary heritage is addressed in laws and regulations that relate to cultural heritage in general. Strategies and programmes develop in parallel to the establishment of laws and regulations (e.g. the formation of the Lithuanian Libraries Fund). Several States' legislation covers aspects of public records' protection relating to

copyright issues, privacy and secrecy, protection of personal data as well as freedom of information. Sweden's copyright law enables memory institutions to enter into collective agreements with copyright organizations to ease access to concerned materials. For federal States, laws are established at federal and provincial levels (Canada). China is amending its Archives Law, stressing the protection and use of documentary heritage during the digital age.

11. The budget allocated by the majority of Member States for national memory institutions has increased (Albania, Austria, Canada, China, Cuba, Estonia, Iceland, Iran (Islamic Republic of), Lithuania, Myanmar, Oman, Pakistan, Poland, Republic of Korea, Russian Federation, Serbia, Sweden, Netherlands, Turkey), or is planned to be increased (Serbia). The increase ranges from 3% to 20%. For the European countries, additional funding is allocated from EU structural funds for national cultural heritage digitization and actualization initiatives. For a few States the budget has remained stable or decreased, and for one it remains critical.

12. Member States have also put in place or are preparing for long-term investment in cultural heritage digitization infrastructure and long-term access and preservation of digital archives. EU structural funds are used for this purpose. In Lithuania, memory institutions developed digitization infrastructure, including making digital heritage information accessible to people with disabilities. Republic of Korea's investment includes the preservation and digitization of analogue public and private documentary heritage. Canada, Iceland and New Zealand are investing in the preservation of audiovisual documentary heritage. Other States are strengthening and renovating building infrastructures, material and technical bases for storage and conservation laboratories and special processing of archival documents (Côte d'Ivoire, Estonia, Greece, Russian Federation and Ukraine).

13. The development of open source software and access to proprietary codes by memory institutions is ongoing in several States, whereas it is not yet established in others. A mix of open source and proprietary software tools is available for cataloguing, digital access and preservation, such as Archivematica and Preservica (Ecuador, New Zealand, South Africa, United Kingdom of Great Britain and Northern Ireland). In Switzerland, an open source software (SIARD) is used to simplify archiving of databases and in Austria open source is standard in case of audiovisual documents. Many memory institutions are equipped with open source software in Albania. In Sweden, the regulations of the National Archives stipulate the use of standard and non-proprietary formats. In Estonia the development of open source software is well under way, whereas in Poland this issue is under discussion. In Republic of Korea, Iceland, Cuba and Canada, plans are under way to switch to a management system based on open source software.

Identification and preservation status of documentary heritage

14. Twenty-one national memory institutions are governed by preservation and access policies, criteria and rules for selecting and acquiring materials as well as rules for deselecting. In Poland, documents classified as archival material are permanently preserved. China has put in place a National Advisory Committee for Chinese archives. Cuba and Turkey are in the process of planning a national policy of archival management.

15. Some States report on the safety of the facilities, the technical infrastructure of the buildings, and storage. For the largest majority, the process of natural ageing of various types of media, neglect, obsolescence, chemical instability and the fragility or bad quality of certain formats presents a challenge. Many States have identified specific parts of collections of memory institutions that are at potential risk, especially materials on non-durable carriers. Where there is a possible risk, regular inspections are undertaken and priority is given to preservation and digitization (Canada, Estonia, Poland, Republic of Korea and South Africa). In China, the quantity of documentary heritage to be preserved is enormous and there is still a large number of documentary heritage to be protected. The government has set up

special funds for its rescue, preservation, digitization and development especially in local levels. In Ecuador, documentary heritage is at risk because of natural disasters such as the 2016 earthquake, for which a special project was implemented providing training for specific conservation aspects and making it possible to carry out first-aid actions on each archive, thus stopping the advance of the alteration. In Peru, since 2012 a systematic ongoing digitization of documentary heritage ensures preservation and dissemination. In Sweden, there is discussion as to whether archival law should extend its remit into certain parts of private specific archives, such as those from power industries that can be of great public interest and may not have sufficient guarantees for their long-term preservation. In Jordan, national institutions are advising on archival methods for schools and municipalities that hold historical documents. For several States, digital archives are considered to be at the highest risk. This is why Slovenia and the Netherlands have put in place specific controls starting from their creation. Some countries have reported not having items at potential or imminent risk (Turkey, Uzbekistan). Armenia, Canada and New Zealand have identified audiovisual (AV) materials as a category at imminent risk of loss. AV materials are particularly at risk and are thus prioritized. This is because they are subject to obsolescence of carriers and software, along with the wide range of playback equipment that is required but is becoming increasingly difficult to source as well as the difficulty associated with finding spare parts for repairs.

16. Furthermore, Member States report reinforcing measures for the rescue and protection of endangered documentary heritage, committing to the research of protection techniques and creating constructive and collaborative mechanisms to mitigate the risks faced by vulnerable collections through sharing knowledge, guidance, training and supporting of the development of appropriate case studies. Special measures are deployed in Poland for the protection of documentary heritage in case of armed conflict or crisis situations. The country has joined the Blue Shield programme and has engaged in several events regarding the protection of documentary heritage. Ecuador has risk management plans and security systems for all memory institutions and collections, in addition to training its personnel for preparedness in case of an emergency. In Russia, the State supports public-private partnerships in the field of archives and encourages the creation and functioning of private archives. It also stresses the responsibility of the private sector to ensure the safety of the created archives. Canada, New Zealand, the Netherlands and the United Kingdom of Great Britain and Northern Ireland recognize digitization as one of the main challenges. As a result, digital strategies are being developed, including capacity building and investing in digital infrastructure.

17. Despite the fact that very few States report that they cannot support private, local and individual collections, the majority of States see the value in doing so. Canada has a programme to digitize, safeguard and improve accessibility of local collections. In the United Kingdom of Great Britain and Northern Ireland, the Discovery Platform acts as a central place for documenting the nation's heritage. Iceland offers support to local archives through training, funding and access to professional assistance for national institutions. Private collections may be present in national directories. Poland has been granting financial support for archival assets of non-state origin to facilitate their organization, description and conservation. The church and monastic archives are also given assistance for preservation (Estonia, Poland). In several Chinese provinces, archival authorities have established NGOs providing professional consultation services, setting up heritage protection funds and encouraging and supporting individuals to collect documentary heritage. Estonia has launched the Compatriots' programme activities to collect, preserve and make accessible expatriate cultural heritage and "Estonian Enterprises 100+" drawing attention to the need for preservation of business records. Public and private archives register in the national directory (Slovenia, South Africa,) and public archives work continually with private ones (Lebanon, Sweden). In Iran (Islamic Republic of) and Jordan, private collectors are encouraged to sell or donate their resources to competent authorities for preservation and protection. In the Republic of Korea, private records are given preservation supplies and support for their safe management. New Zealand offers short courses for institutions around the country, information on where to purchase

conservation-quality materials, advice on storing and displaying collections, including on how to minimize disaster risks for indigenous community centres.

Capacity building

18. In Poland, five centres, focused on the digitization of specific types of resources, are operational. Côte d'Ivoire underlines the important role of their National MoW Committee in encouraging best practices, coordination and sharing of tasks among memory institutions. Most other States report on creating multiple partnerships, often led by ministries of culture, to spearhead capacity building for memory institutions.

19. Several of States report that their university programmes include curricula on documentary heritage, such as archives keeping and records management, from Bachelor, Master to Doctor's degrees. Others have prepared distance learning courses and post-graduate courses. In the vast majority of States, education and training programmes are organized in order to enhance qualifications and specialization in the field of preservation of documentary heritage but also to highlight best practices. Other States report that memory institutions offer training programmes in order to improve the competences and skills of their personnel. The Republic of Korea provides manuals, guidelines and field training to newly established local archives. Since 2009, the Republic of Korea has been hosting the UNESCO MoW Training Workshop to support developing countries' capacity building in Asia-Pacific and Africa.

20. Most States highlight the partnership of their national memory institutions with other national institutions globally, including as part of international professional associations and networks. Visits of professionals from other countries, lectures, and exchanges of experiences are also largely reported. States are actively participating in projects, activities and networks of their respective regions and subregions (Europe and North America, Asia and the Pacific, Latin America and the Caribbean), and of regional branches of international associations (such as ICA; and IFLA; Nordic, Commonwealth and Francophone associations, etc.).

21. Public-private partnerships are reported in some of the States and for specific projects (Côte d'Ivoire, Estonia, Iran (Islamic Republic of), South Africa, Sweden, United Kingdom of Great Britain and Northern Ireland), whereas others have reported collaborations between the public sector exclusively (Armenia, Poland). The National Archives of the United Kingdom of Great Britain and Northern Ireland has supported the development of shared facilities between institutions so that its members can work collaboratively and deliver long-term cost effective digital preservation.

Memory of the World Programme

22. Twenty-five of the reporting States have already established a National Memory of the World Committee. Many of them operate a national register and have had successful nominations inscribed on the international and national registers as well as on the regional registers (where these exists). Many Member States organize annual or biennial visibility and outreach activities through their National Committees and UNESCO National Commissions but also through the national memory institutions involved in the programme. In a majority of States, specific events and award ceremonies are held when items are inscribed on the various registers. Many emphasize that such exhibitions, conferences, seminars, workshops, round tables and different meetings contribute to raising awareness about the Memory of the World Programme among the professionals and the general public. Many of the States have published articles, created brochures, specific websites, newsletters and other information materials. They communicate information on social media and sometimes through broadcast media in order to reach a larger public. Some have been preparing joint nominations and have organized meetings in this respect. In Poland, the visibility of the Programme has been strengthened by

international meetings organized since its creation. In Cuba, a traveling exhibition of reproductions from different institutions helped raise awareness among the public.

23. Some States reported seeking funding to develop further their projects. Bulgaria has created a Digital Library hosted by the National Library to enhance accessibility. The open call for nominations on national registers (Iceland), the creation of educational programmes by custodians (Estonia), the introduction of the MoW Programme to pupils from the ASPNET schools, students and professors from the UNESCO Chairs (Greece), broadcasting programmes on the registries (Mexico) have been useful means of promoting the MoW Programme.

Proposed decision

24. In light of the above, the Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Bearing in mind Member State's obligations under Article VIII of UNESCO's Constitution and Article 17 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution,
2. Recalling 177 EX/Decision 35.I and 196 EX/Decision 20 on the Specific multi-stage procedure for the monitoring of the implementation of UNESCO conventions and recommendations for which no specific institutional mechanism is provided,
3. Also recalling 38 C/Resolution 55 and 204 EX/Decision 18.VI,
4. Having examined document 206 EX/25.VI and the report of the Committee on Conventions and Recommendations thereon (206 EX/...),
5. Recalling that the periodic consultation of Member States on the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, is intended to enable the Organization to assess both the extent to which Member States are implementing that instrument as well as the obstacles they encounter,
6. Reaffirms the importance of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, and of its implementation by Member States;
7. Takes note that 36 Member States submitted reports for this first consultation;
8. Recommends that the General Conference invite those Member States which have not taken measures to implement the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, to do so and to provide the required reports on their implementation of the 2015 Recommendation;
9. Requests the Director-General to transmit to the General Conference at its 40th session the first consolidated report on the measures taken by Member States for the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage, including in Digital Form, together with the Executive Board's observations thereon, and any observations or comments that the Director-General may wish to make.



United Nations
Educational, Scientific and
Cultural Organization

206 EX/25.VI
Annex I

ANNEX I

Ref.: CL/4245

Subject: **First consultation on the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage Including in Digital Form**

Sir/Madam,

Under Article VIII of UNESCO's Constitution, Member States are required to submit, every four years, a report on the legislative and administrative provisions and any other measures they have taken to implement the conventions and recommendations adopted by the Organization.

Against this background, Member States are requested to submit their reports on the 2015 Recommendation concerning the Preservation of and Access to, Documentary Heritage Including in Digital Form, in one of the two working languages of UNESCO, by **30 November 2018** to Mr Indrajit Banerjee, Director of the Knowledge Societies Division, Communication and Information Sector (tel.: +33 1 45 68 42 78; e-mail: i.banerjee@unesco.org). Mr Banerjee remains at your disposal for any additional information you may require.

Member States are encouraged to organize the necessary consultations within and outside the concerned ministries and institutions, including with key memory institutions, national Memory of the World committees, professional associations, relevant civil society partners and National Commissions for UNESCO. Member States should also use to that end the questionnaire, herein enclosed.

The Secretariat will submit to the 206th session of the Executive Board, in spring 2019, the first consolidated report on the implementation by Member States of the 2015 Recommendation for its consideration. This report, together with the comments of the Executive Board's Committee on Conventions and Recommendations, will subsequently be submitted to the 40th session of the General Conference in 2019.

Please accept, Sir/Madam, the assurances of my highest consideration.

Audrey Azoulay
Director-General

Encl.: 1

Cc: National Commissions for UNESCO
Permanent Delegations to UNESCO

**QUESTIONNAIRE FOR THE PREPARATION OF REPORTS BY MEMBER STATES
ON THE APPLICATION OF THE RECOMMENDATION CONCERNING T
HE PRESERVATION OF, AND ACCESS TO, DOCUMENTARY HERITAGE
INCLUDING IN DIGITAL FORM (2015)**

Preliminary remarks

Member States are invited to consult the Implementation Guidelines that have been prepared to assist them with the practical application of the various provisions of the Recommendation. The proposed questionnaire has been established based on the topics set out in the Implementation Guidelines, which can be found on the Memory of the World (MoW) website at: https://en.unesco.org/sites/default/files/2015_mow_recommendation_implementation_guidelines_en.pdf

Pursuant to Articles 15 and 16.1 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the UNESCO Constitution, the Director-General of UNESCO has invited Member States by the Circular Letter 4155 dated 28 April 2016 to submit the Recommendation to their competent authorities within a period of one year from the close of the session of the General Conference.

Furthermore, under Article VIII of UNESCO's Constitution, Member States are required to submit a report on the legislative and administrative provisions and any other measures they have taken to implement the conventions and recommendations adopted by the Organization.

Submission and dissemination of reports

Please designate a contact person responsible for the information sharing and cooperation with UNESCO in relation to this Recommendation.

The report should not exceed 15 pages, excluding annexes and is to be submitted to UNESCO in electronic form only (standard .pdf or .rtf or .doc format) in English or French, to the extent possible.

The report will be made available on UNESCO's website in order to facilitate the exchange of information relating to the promotion and implementation of this Recommendation.

QUESTIONNAIRE

GENERAL INFORMATION:

Country:

Organization(s) or entity (s) responsible for the preparation of the report:

Officially designated contact person/institution:

Name(s) of designated official(s) certifying the report:

Brief description of the consultation process established for the preparation of the report:

REPORTING ON THE SPECIFIC PROVISIONS OF THE RECOMMENATION:

General support:

1. Has the Recommendation been promulgated to appropriate ministries and institutions? (Section 1)
2. Has the Recommendation been translated into the national language(s) (if applicable)?
3. Has your country created a supportive, participatory, enabling and stable environment for all parties? (1.1, 1.2, 3.1, 4.5, 5.1, 5.2)
4. How, if at all, has your country applied international standards and curatorial best practice (2.4, 2.7, 2.8, 2.9, 4.2, 5.1, 5.2, 5.5)?
5. What consultation mechanisms does the government maintain with stakeholders in the documentary heritage sector (national and private memory institutions, professional associations, relevant NGOs)? (1.2)
6. What actions has your country taken in order to support memory institutions in establishing policies and standards by research and consultation, guided by internationally established norms? (1.1, 1.2, 2.2, 2.3, 3.2)
7. What major capacity-building measures and policies have taken place within the sector? Is research and training for documentary heritage professionals organized in your country? How often? (2.4, 2.7, 2.8, 2.9, 5.1, 5.2)

Legislation and mandates:

8. What legislation does your country have in place to:
 - define the authority, mandate, independence and governance structure of your national memory institutions? (3.1, 4.5)
 - guarantee the ability of memory institutions to take unhindered preservation action on documents in their collections? (3.5 to 3.7)
 - promote and facilitate maximum inclusive access by empowering memory institutions? (3.2)

- support memory institutions providing access to material whose copyright status cannot be clarified? (3.5 to 3.7)
 - ensure statutory deposit of documents in memory institutions? (4.6)
9. Has government net funding of national memory institutions (in recent years) increased or decreased? By how much? (4.1)
 10. What long term investment in analogue and digital documentary preservation has been made? (4.1)
 11. What encouragement has been given in the development of open source software and access to proprietary codes by memory institutions? (4.7, 4.8)

Identification and preservation status of documentary heritage

12. Do all national memory institutions have published collection development, preservation and access policies? Are there in your country established policies, mechanisms and criteria for selecting, acquiring and de-selecting documentary heritage? What policies have been developed recently? (1.1)
13. What documentary heritage has been identified as at potential or imminent risk (if any)? What action has been taken? Was it brought to the attention of competent bodies? (1.3, 2.7, 5.5)
14. What arrangements are in place to protect the documentary heritage from danger? (5.4)
15. What practical support has been given to private, local and individual collections of documentary heritage? Are they visible in national directories? (1.3, 4.3)

Capacity-building

16. What specific steps have been taken to encourage consistency of best practice, coordination and sharing of tasks among memory institutions? (2.1, 2.7)
17. What training schemes have been developed? (1.5)
18. What is the level of involvement of national memory institutions in international professional associations and networks? (2.8, 2.9)
19. Are there partnerships, including public-private ones, established allowing sharing of costs, facilities and services? (2.2, 3.4, 4.2)

Memory of the World programme

20. Is there in your country a national Memory of the World committee? If not, what plans exist to establish one? (4.10, 5.6)
21. What recent nominations have been made to Memory of the World registers (international, regional, national)? (1.4)
22. Are there any Memory of the World outreach and visibility activities organized in your country enhancing accessibility of documentary heritage? Please give examples. (3.7)



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Annex II

ANNEX II

The Assistant Director-General for Priority Africa and External Relations

To National Commissions for
UNESCO

3 December 2018

Ref.: ADG/CI/ML/18/322

Subject: **First consultation on the implementation of the Recommendation concerning the Preservation of, and Access to, Documentary Heritage Including in Digital Form (2015)**

Sir/Madam,

Through the circular letter No. CL/4245 of 26 July 2018 (copy attached), the Director-General requested your Government to prepare a report on the implementation of the 2015 Recommendation Concerning the Preservation of and Access to Documentary Heritage Including in Digital Form. You may wish to note that the deadline for submitting the report has been extended to **15 December 2018**.

For any additional information or a copy of the questionnaire sent in annex to the above-mentioned Circular Letter, I invite you to contact Mr Indrajit Banerjee, Director of the Knowledge Societies Division, Communication and Information Sector, (tel.: +33 1 45 68 09 74; e-mail: i.banerjee@unesco.org).

Please accept, Sir/Madam, the assurances of my highest consideration.

Yours sincerely,

Firmin Edouard Matoko

Enclosure: 1

cc: Permanent Delegations to UNESCO

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United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundred and sixth session

206 EX/25.VI Corr.

PARIS, 27 March 2019
Original: English

Item 25 of the provisional agenda

IMPLEMENTATION OF STANDARD-SETTING INSTRUMENTS

PART VI

IMPLEMENTATION OF THE RECOMMENDATION CONCERNING THE PRESERVATION OF, AND ACCESS TO, DOCUMENTARY HERITAGE INCLUDING IN DIGITAL FORM (2015) - CONSOLIDATED REPORT ON THE IMPLEMENTATION OF THE RECOMMENDATION

CORRIGENDUM

On page 1, paragraph 4 should read as follows:

4. By 15 January 2019, the Secretariat had received 37 reports from Austria, Albania, Armenia, Bulgaria, Canada, China, Côte d'Ivoire, Cuba, Czechia, Ecuador, Estonia, Greece, Hungary, Iceland, Iran (Islamic Republic of), Jordan, Republic of Korea, Lebanon, Lithuania, Mexico, Myanmar, New Zealand, Oman, Pakistan, Peru, Poland, Russian Federation, Serbia, Slovenia, South Africa, Sweden, Switzerland, Netherlands, Turkey, United Kingdom of Great Britain and Northern Ireland, Ukraine and Uzbekistan.

On page 6, under paragraph 24, number 7 should read as follows:

7. Takes note that 37 Member States submitted reports for this first consultation;

