

# ASSESSMENT TOOL FOR THE IMPLEMENTATION OF THE UN GUIDELINES FOR THE ALTERNATIVE CARE OF CHILDREN

## Imprint

**This assessment tool was drafted by:**

Nigel Cantwell International expert, children's rights  
Emmanuel Sherwin Advocacy Adviser - SOS Children's Villages International

**The following people made important contributions to the tool:**

Alan Kikuchi-White Geneva Representative – SOS Children's Villages International  
Christian Posch International Director – Programme Development  
Inés Invernizzi Programmes Advisor – Latin America  
Irene Rojnik Advocacy and Human Resources Adviser – Western Europe  
Jenessa Bryan New York Representative to the United Nations – International Office  
Julieta Mendes Regional Programme Development Advisor – Africa  
Kélig Puyet Representative to the EU – SOS Children's Villages International  
Magdalena Krenn Advocacy Adviser – SOS Children's Villages International  
Nidhi Pundhir Deputy Programme Development Director – Asia  
Professor June Thoburn Emeritus Professor Of Social Work – University Of East Anglia  
Raluca Verweijen-Slamnescu Advocacy Adviser – SOS Children's Villages International  
Rusudan Chkheidze Head of Advocacy – CEE/CIS/Baltics  
Véronique Lerch Head of Liaison And Advocacy – SOS Children's Villages International  
Violeta Velkoska Continental Advocacy Adviser – CEE/CIS/Baltics

© Copyright SOS Children's Villages International 2012

Unless explicitly stated otherwise, all rights including those in copyright in the content of this document is owned by or controlled for these purposes by SOS Children's Villages International.

Except as otherwise expressly permitted under copyright law or SOS Children's Villages International's Terms of Use, the content of this document may not be copied, reproduced, republished, downloaded, posted, broadcast or transmitted in any way without first obtaining SOS Children's Villages International's written permission or that of the copyright owner.

This tool is based on the General Assembly (A/RES/64/142) the UN Guidelines for the Alternative Care of Children. It has been designed to support the advocacy activities of SOS Children's Villages.

For further information please contact [lao@sos-kd.org](mailto:lao@sos-kd.org)

**Publisher:**

SOS Children's Villages International  
Programme Development  
Hermann-Gmeiner-Straße 51  
6020 Innsbruck, Austria  
Tel.: +43/1/310 23 98  
Fax: +43/1/3 10 23 98 20  
E-Mail: [lao@sos-kd.org](mailto:lao@sos-kd.org)  
[www.sos-childrensvillages.org](http://www.sos-childrensvillages.org)

**Responsible for the contents:**

Christian Posch - International Director – Programme Development, SOS Children's Villages International

## PURPOSE OF THIS ASSESSMENT TOOL

This tool is designed to cover selected aspects of a country's alternative care system that might best indicate, through assessment, the quality of the care being delivered.

This assessment tool focuses on the range of measures to prevent family separation, the various living arrangements for children in alternative care and the administrative arrangements managing those services. It will also explore the national legal and policy framework which governs the delivery of all of these services. The tool is based on the articles of the UNCRC, and the 2009 UN Guidelines for the Alternative Care of Children

There are three types of questions to each area covered by this assessment tool:

1. Data of children  
These questions look at the scale of problems and the attitude of providers
2. Sources of data and additional comments (**green box**)  
This helps secure the credibility of the data and allows the researcher to comment on the data, the source and their personal thoughts. It also allows for comments on the lack of data.
3. Legal compliance (**blue box**)  
These questions look at the real children's human rights issues behind the data

## Table of contents

Purpose of this assessment tool .....	3
Country legal and policy framework .....	4
Short description of child protection/child care system .....	5
Preventative services .....	7
Informal care .....	9
Motives for placement .....	10
Admission process and placement/review procedures.....	11
Range of care options .....	15
Preparation and support for change of placement and leaving care.....	17
Authorisation/inspection .....	19
Financing alternative care .....	23
Staff capacity (training for staff, in service training and numbers of staff).....	26
Protection and complaints .....	29

## 1. COUNTRY LEGAL AND POLICY FRAMEWORK

### Step 1

Please make a list of all the legal care definitions used in your country, these could include: foster care, institutions, family group homes, residential care, kinship care. These definitions will need to be added to each box all the way the assessment tool. Ensure to list how SOS Children's Villages programmes fits into the legal definitions.

Care definition a		
Care definition b		
Care definition c		
Care definition d		
Care definition e		
Care definition f		
Care definition g		
EXAMPLE definition h	Small family group homes	A service for children without parental care provided by the government in city houses with staff working 8 hours per day

### Step 2

Next please insert all the definitions throughout the tool.

- 1.1 Does legislation require the implementation of specified measures and services to prevent family separation?
- 1.2 If not, are such measures and services set out in a policy document?
- 1.3 Does legislation require the implementation of given processes and measures to ensure that the suitability of family-based alternative care for a child is considered before envisaging placement in a residential facility?
- 1.4 If not, are such processes and measures set out in a policy document?
- 1.5 Are there legal measures to support family strengthening initiatives?
- 1.6 Is the process for leaving care and after care support in the law'?
- 1.7 Is there a government-approved strategy for bringing about deinstitutionalisation of the alternative care system?
  - in general
  - for young children (e.g. under 3 years) in particular
  - with a target timeframe

## 2. SHORT DESCRIPTION OF CHILD PROTECTION/CHILD CARE SYSTEM

- Description of the key service providers of children in alternative care, family strengthening services.
- Please include NGOs, for profit organisations and state ministries.
- Please also include their responsibilities, and if appropriate, which regions do they do their work.

Who else is involved in the alternative care debate?

Youth in care networks, Foster parents associations and Associations of parents with children in alternative care  
What role do foster parent network and youth networks play indecision making, lobbying, campaigning?

The availability and content of information on children in alternative care naturally determine to a large degree the extent to which policies and responses are likely to be appropriate and adequate. Guideline 69 specifies that: "coordinated **policies** regarding formal and informal care for all children who are without parental care [...] should be based on **sound information and statistical data.**"

In many countries, much of the required or desirable data may not exist at national level, and this in itself is of course telling and should be noted. To the extent that, for the purposes of this assessment, data are gathered from scratch, this should therefore be clearly indicated.

### 2.1 Formal care as defined by the UN Guidelines for the Alternative Care of Children

26 b (ii) *Formal care: all care provided in a family environment which has been ordered by a competent administrative body or judicial authority, and all care provided in a residential environment, including in private facilities, whether or not as a result of administrative or judicial measures.*

### 2.2 Number/proportion of children in formal care settings: recent trends

Listing the definitions as described above	1990 N - %	1995 N - %	2000 N - %	2005 N - %	2010 N - %
Care definition a					
Care definition b					
Care definition c					
Care definition d					
Care definition e					
Care definition f					
Care definition g					
<b>Comments</b>					
<b>Data source</b>					

### 2.3 Number of children now in formal alternative care settings, by age and sex:

Please insert the ages groupings for which data is available in your country	0-2		3-6		7-11		12-17	
	Boy	Girl	Boy	Girl	Boy	Girl	Boy	Girl
Care definition a								
Care definition b								
Care definition c								
Care definition d								
Care definition e								
Care definition f								
Care definition g								
<b>Comments</b>								
<b>Data source</b>								

### 2.4 2010 proportion of total child population currently in formal care settings: \_\_\_\_%

Total child population		Divide by 100	XXX=1%
Child population in formal care		Divide by XXX	
<b>Comments</b>			
<b>Data source</b>			

## 2.5 Average length of stay in formal alternative care settings, by age at which first placement commences:

(These can be changed to the ranges used in our country)

Length of placement(s)	< 3 months	< 1 year	< 3 years	< 5 years	> 5 years
Age at placement					
< 6 months					
6 months – 12 months					
13 months – 24 months					
3-5 years					
6-11 years					
More than 11 years					
<b>Comments</b>					
<b>Data source</b>					

## 2.6 Which of these care options already existed 20 years ago:

	Yes	No
Care definition a	<input type="checkbox"/>	<input type="checkbox"/>
Care definition b	<input type="checkbox"/>	<input type="checkbox"/>
Care definition c	<input type="checkbox"/>	<input type="checkbox"/>
Care definition d	<input type="checkbox"/>	<input type="checkbox"/>
Care definition e	<input type="checkbox"/>	<input type="checkbox"/>
Care definition f	<input type="checkbox"/>	<input type="checkbox"/>
Care definition g	<input type="checkbox"/>	<input type="checkbox"/>
Public residential facilities for children with special needs:	<input type="checkbox"/>	<input type="checkbox"/>
Private residential facilities for children with special needs:	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>		
<b>Data source</b>		

## 2.7 Over the past ten years, how has capacity developed?

	High growth		Growth		Stable		Decline		Sharp decline		Disappeared	
	Yes	No										
Care definition a	<input type="checkbox"/>											
Care definition b	<input type="checkbox"/>											
Care definition c	<input type="checkbox"/>											
Care definition d	<input type="checkbox"/>											
Care definition e	<input type="checkbox"/>											
Care definition f	<input type="checkbox"/>											
Care definition g	<input type="checkbox"/>											
Public residential facilities for children with special needs	<input type="checkbox"/>											
Private residential facilities for children with special needs	<input type="checkbox"/>											
<b>Comments</b>												
<b>Data source</b>												

### **3. PREVENTATIVE SERVICES**

The 2009 Guidelines place considerable emphasis on the need to assist families to remain together, preventing the need for placing children in the alternative care system. Such assistance may take a variety of forms, and may concern general accessibility of services or targeted interventions.

**Does national policy...**

**..Ensure the systematic collection of relevant data on the causal factors of family vulnerability and ensure that relevant data informs service delivery in support of families?**

**... Provide guidance on parenting and quality parental care?**

**..Foresee appropriate interventions to support and strengthen families in order to prevent separation and ensure that these interventions are consequently resourced, targeted, and implemented?**

**..Guarantee that family-oriented policies are in place and implemented to strengthen family environments without discrimination based on, for example, marital status, birth status, poverty or ethnicity?**

**..Recognise and promote the common responsibilities of mothers and fathers and ensure that they are equally empowered with the relevant attitudes, skills, capacities, and tools to provide a caring environment for the child?**

**..Ensure coordinated service provision and a range of relevant services to ensure tailored and appropriate responses to families facing difficulties?**

**...preview qualification and training schemes for staff and services working with families**

**...prescribe responsibilities for the coordination of family services clearly assigned**

**...ensure that there are measures in place to evaluate the use of these services and identify and remove obstacles and barriers related to access and availability?**

**..promote and support the development and implementation of a range of appropriate family support services as preventative measures to ensure children can be cared for within their families?**

**..provide for parenting education, and other relevant supports to parents in particular, for example, adolescent parents, to prevent child abandonment?**

**3.1 Describe what services and the quality of services that are provided that contribute to preventing family breakdown**

	State provision	NGO	For profit organisations	Religious organisations
Day-care				
Respite care				
Financial support				
family allowances				
minimum income support				
Psycho-social support				
Counselling				
other:				

**3.2 What is the geographical breakdown of family strengthening services and centres?**

**3.3 Are the facilities close to the children and families that need it most?**

**3.4 Are all forms of family strengthening services and centres available nationwide?**

## 4. INFORMAL CARE

In the majority of countries, most children who are not living with their parents, for whatever reason, are looked after by other persons (family members or others) on an informal basis. State services are not directly involved, by definition, in such informal arrangements. However, the 2009 Guidelines set out a number of principles that should be followed by the State in order to support desirable arrangements of this kind and to ensure as far as possible the continued protection and well-being of children in such informal care settings.

This section therefore seeks to gain basic insight into the realities of informal care provision.

### 4.1 Are there data or credible estimates of the number of children placed informally outside the parental home?

	Boys	Girls	Total
<b>In total</b>			
<b>With grandparents</b>			
<b>With other relatives</b>			
<b>With others in the local community</b>			
<b>With relatives or others elsewhere in the country</b>			
<b>Data source</b>			
<b>Comments</b>			

### 4.2 Has the state taken any initiatives to establish or improve support or oversight of informal arrangements?

Voluntary registration of informal carers

Provision of financial allowances on application

Making available support services

Combating exploitative practices

Other

### 4.3 Are there currently general and widespread concerns about rights violations of children in any of those situations? If so:

	Type of concern (e.g. exploitation, abuse, non-attendance at school, etc.)
<b>With grandparents</b>	
<b>With other relatives</b>	
<b>With others in the local community</b>	
<b>With relatives or others elsewhere in the country</b>	

## 5. MOTIVES FOR PLACEMENT

Guidelines references: 14, 22, 29, 47 etc.

It is important that care providers know and record the circumstances of each child's admission into alternative care, as this should clearly be a major consideration in care planning. Equally, the State should be aware of the reasons for which children come to be in care settings, and related trends, in order to draw up and refine child protection policies. Each child's family situation will differ, as will the weight of different factors that might lead to an alternative care placement. It would not be possible in the context of the present assessment exercise to analyse the vast array of possible specific causes. However, an important indicator is whether or not the placement results from a decision of the competent authorities or the parents, where the placement is made, and whether that decision concerns a placement that will in principle be temporary or permanent. This section deals with those issues.

**Does national policy ..**

**..clearly establish that the removal of a child from the family should be an action of necessity and last resort?**

**..dictate that poverty alone is never the primary justification for children being removed from their family and placed in alternative care?**

**..ensure that comprehensive criteria are used to assess the capacity of the family to care for the child when a risk to the child in that family has been identified?**

**..guarantee that parents and children fully participate in the decision-making process and are kept informed of their rights, particularly their right to appeal against a decision to remove a child?**

**..ensure that assessment processes are informed by multi-disciplinary perspectives on, for example, education, health, and other relevant areas of concern?**

**..require assessment processes to give all due consideration to identifying necessary supports for the family and make referrals to relevant services as an alternative to separation?**

**..support and encourage the training of professional groups, such as teachers and doctors, in identifying children at-risk and oblige them to make referrals to relevant services and responsible authorities?**

**..ensure vulnerable parents seeking to relinquish their children have access to counselling and financial or material support to care for children to prevent child abandonment?**

**..make provision for procedures which support those children who have been abandoned in gaining confidential access to relevant and appropriate information on their background?**

**5.1 Main reason for placements intended to be short-term/temporary in:**

	Foster care	Public residential care facility	Private residential care facility
Decision of administrative authority (removal due to neglect/maltreatment)			
Decision of judicial authority (removal due to neglect/maltreatment)			
Decision or request of parent(s)/caregiver(s)			
Recognised/certified as orphaned or abandoned			
<b>Comments</b>			
<b>Data source</b>			

**5.2 Main reason for placements viewed as potentially long-term/permanent in:**

	Foster care	Public residential care facility	Private residential care facility
Decision of competent authority (removal due to neglect/maltreatment)			
Decision or request of parent(s)/caregiver(s)			
Recognised/certified as orphaned or abandoned			
<b>Comments</b>			
<b>Data source</b>			

## **6. ADMISSION PROCESS AND PLACEMENT/REVIEW PROCEDURES**

Guidelines references: 44, 45, 74, 125 etc.

A fundamental element of “quality care” is making sure that alternative care is used only when necessary and is then carried out in the most appropriate setting for the child. This implies a series of assessments from the moment that alternative care is envisaged for the child (gate keeping) and subsequently throughout the placement(s) (care planning and review). Assessment at the gate keeping stage should ensure that all possibilities other than a care placement (remaining with family, kinship care, etc.) have been examined and discounted. The usefulness and impact of such an assessment exercise will most often depend considerably on the existence of family support services that can be mobilised to make a non-placement solution viable. Gate keeping should also determine which care setting is initially the most suitable for the child in question where placement appears to be the only or best option.

Once a placement is made, an initial care plan should be drawn up, taking account of the needs and circumstances of the child, directed towards that child's eventual return to the family where possible, or another stable and secure environment. Thereafter, regular reviews of the plan are needed to establish whether or not the child continues to need alternative care and, if so, whether or not the current care setting still responds most adequately to his/her needs and situation. Such reviews should therefore serve as the basis for decisions to move from one care setting to another or to end alternative care completely for the child in question.

This section looks at the degree to which this series of assessments is implemented.

**Does the law require and set out an admission process (gate keeping) for all children going into care?**

**Are there differing authorities for different forms of care?**

**Whether or not required by law, is a gate keeping procedure actually in place for, foster care, public care and private care arrangements? How well are these applied?**

**If so, who is responsible for ensuring gate keeping, in the various forms of alternative care, is it the national authority, courts, the care provider or a mixed team?**

**Whether or not required by law, are the families and/or children actively involved in decision-making about admission into, foster care, public care or private care?**

**Does the law require that a care plan be drawn up for each child in foster care, public care or private care?**

**In practice, is a care plan drawn up for each child in foster care, public care or private care?**

**Guarantee that assessment processes identify and seek to address root causes for the unnecessary separation of children, such as discrimination, poverty, or disability?**

**Guarantee that any placement of a child in alternative care is subject to periodic reviews to assess the continuing necessity for a placement outside the family, and the possibility for reunification with the family?**

**6.1 Who is responsible for establishing the care plan?**

	Social services	Court	Care provider	Mixed team
Care definition a				
Care definition b				
Care definition c				
Care definition d				
Care definition e				
Care definition f				
Care definition g				
<b>Comments</b>				
<b>Data source</b>				

**6.2 Is regular review of placement carried out?**

Every>>	Always			Sometimes		Never	
	3 month	6 month	1 year	3 month	6 month	1 year	
Care definition a							
Care definition b							
Care definition c							
Care definition d							
Care definition e							
Care definition f							
Care definition g							
<b>Comments</b>							
<b>Data source</b>							

**6.3 Is it mandatory, in national law and policy, to ensure that children who move from one care setting to another are fully informed of, and involved in, preparations for the move?**

 Yes  


 No  

**6.4 If so, who is responsible for initiating and conducting the review...?**

	Social services	Court/ judicial reviews	Care provider	Mixed team	Others (please define)
Care definition a					
Care definition b					
Care definition c					
Care definition d					
Care definition e					
Care definition f					
Care definition g					
<b>Comments</b>					
<b>Data source</b>					

**6.5 and who is responsible for decision-making based on the review**

	Social services	Court	Care provider	Mixed team
Care definition a				
Care definition b				
Care definition c				
Care definition d				
Care definition e				
Care definition f				
Care definition g				
<b>Comments</b>				
<b>Data source</b>				

**6.6 Whether or not required by law, are the families and/or children consulted/involved in decision-making about change of placement from:**

	Always	Sometimes	Never
Care definition a			
Care definition b			
Care definition c			
Care definition d			
Care definition e			
Care definition f			
Care definition g			
<b>Comments</b>			
<b>Data source</b>			

**6.7 What proportion of children in alternative care have changed placements in the past two years as a result of the review?**

**6.8 What proportion of children has returned to their family of origin in the past two years?**

	None	< 5%	<10%	< 20%	>20%
	Yes	Yes	Yes	Yes	Yes
All children in care	<input type="checkbox"/>				
Care definition a	<input type="checkbox"/>				
Care definition b	<input type="checkbox"/>				
Care definition c	<input type="checkbox"/>				
Care definition d	<input type="checkbox"/>				
Care definition e	<input type="checkbox"/>				
Care definition f	<input type="checkbox"/>				
Care definition g	<input type="checkbox"/>				
<b>Comments</b>					
<b>Data source</b>					

**6.9 Are there monitoring systems for the situation of reintegrated children after a placement in alternative care?**

## 7. RANGE OF CARE OPTIONS

Guidelines references: 53, 54 etc.

Does national policy ..

..guarantee practices that ensure regular contact between the child placed in alternative care, his/her parents, other family members, friends, and their community?

..foresee the need to challenge social attitudes and the stigmatisation of children with alternative care backgrounds and specifically prohibit discrimination, for example, on access to education, health care, and employment?

..ensure the availability of a suitable range of alternative care options appropriate to the individual needs of children requiring care and protection?

..obligate care providers to conduct appropriate background checks to ensure the suitability of potential carers?

..include the need to consider the desirability of keeping siblings together in alternative care settings as a key requirement in assessing appropriateness?

..obligate care providers and carers to ensure the full participation of the family and the child in planning, reviewing, and other decision-making processes regarding the alternative care placement?

..provide a rights-based framework that takes a holistic approach to ensuring the rights of the child, taking into account not only care and protection but also, for example, education, health, identity, participation, faith, or privacy?

..oblige care providers to ensure the implementation of rigorous, multi-disciplinary approaches to decision-making that includes the informed participation of children and their families?

..oblige care providers to ensure that comprehensive records are kept from the outset so that, for example, the initial decision-making process provides a solid foundation for future care planning and regular reviews?

..dictate that periodic reviews of the care placement give all due consideration to the general conditions of care experienced by the child, the continued necessity of the placement, and take account of the views of the child?

..oblige care providers to ensure individualised care solutions that promote stability and permanence in planning care, through reunification with the family, or the continued provision of alternative care?

Are children with disabilities placed in mainstream alternative care arrangements? Are they overrepresented in the care system?

What alternative care arrangements exist in the country for the care of indigenous children?

Are children of minority groups equally represented in the care system?

### 7.1 Are there legally recognised alternative care options specifically for: Emergency care, short-term care and longer-term care

**7.2 Based on the most recent figures available, what is the capacity and current occupation of the following care options:**

Number of children	Capacity	Actual
Care definition a		
Care definition b		
Care definition c		
Care definition d		
Care definition e		
Care definition f		
Care definition g		
<b>Comments</b>		
<b>Data source</b>		

**7.3 What does national policy say about sibling groups?**

**7.4 How does this work in reality?**

**7.5 Are siblings groups kept together?**

**7.6 When sibling groups are split, are the lines of communication and contact maintained?**

**7.7 What is the geographical breakdown of children in alternative care?**

**7.8 Are institutions in appropriate vicinity to the children in their care?**

**7.9 Are children living far from their family or communities of origin?**

**7.10 Are all forms of alternative care available nationwide?**

**7.11 How is SOS Children's Villages arranged in the country and how many children does SOS Children's Villages have in its programmes?**

## 8. PREPARATION AND SUPPORT FOR CHANGE OF PLACEMENT AND LEAVING CARE

Guidelines references: 68, 132-136

In the long-term, the quality of any alternative care placement will depend in good part on how the inevitable transition, at some point, to another placement or to independent living is foreseen and managed. This section seeks to determine how seriously that transition is perceived.

### LEAVING THE ALTERNATIVE CARE SYSTEM

- 8.1 Is it mandatory, in national law and policy, in national law and policy, to ensure that children who move out of alternative care are fully informed of, and involved in, preparations for their departure and future life?**

Yes

No

- 8.2 Whether or not they are mandatory, in national law and policy, do such preparations take place in practice**

	Always		Sometimes		Never	
	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>					
Care definition b	<input type="checkbox"/>					
Care definition c	<input type="checkbox"/>					
Care definition d	<input type="checkbox"/>					
Care definition e	<input type="checkbox"/>					
Care definition f	<input type="checkbox"/>					
Care definition g	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

*For young people leaving the care system who are of legal age, to lead independent lives (i.e. not returning to the family home):*

- 8.3 Do preparations include advice/mentoring from young people with experience of leaving care?**

**Comments**

**Data source**

**8.4 What practises are missing for the preparations for leaving care arrangements?**

**8.5 Is there provision for assisted or supervised semi-independent living arrangements?**

Comments

Data source

**8.6 Is there provision for after-care support?**

**8.7 Is the aftercare support system of a god quality?**

**8.8 Can an adult come back for some of the after care system support measures, after leaving care for some years?**

**8.9 Are the after care services only available until are certain age?**

**8.10 Is after care available to all forms of alternative care?**

Comments

Data source

**8.11 Based on the last available data, annually, what is known about outcomes for children leaving the alternative care system?**

<b>% of all care-leavers</b>	<b>Male</b>	<b>Female</b>
Supervised (semi-independent) living		
Fully integrated adult		
Continue education/vocational training		
Return to a formal care setting (including adult care placements)		
Homelessness		
Mental health problems		
Unemployment		
Criminal offending		
Imprisonment		
Sexual exploitation		
Suicide		
<b>Comments</b>		
<b>Data source</b>		

## 9. AUTHORISATION/INSPECTION

Guidelines references: 55/105/128 etc.

The first vital step to ensure quality care is of course to know where care is being provided and to monitor the way in which it is provided. Thus, registration, assessment, approval and inspection of private residential care facilities are necessary. While it can be presumed that all public facilities are known to, and authorised by, the competent authorities, they of course still need to be inspected regularly. This section sets out to examine the effectiveness of systems to carry out these tasks.

### Does national policy...

...set and monitor appropriate standards for facilities to ensure that the physical environment is suitably fit for purpose with respect to health and safety regulations, providing adequate sanitary and hygiene conditions that respect the child's right to privacy?

..provide a suitable regulatory framework to ensure authorisation, registration, monitoring and accountability of care providers?

..ensure the authorisation of care providing agencies and facilities, including the requirement to present policies on staff recruitment, conduct and monitoring, the standards of care provided, and procedures to report misconduct?

..oblige care providers to ensure up-to-date records are kept, the confidentiality of those records, and also to facilitate access to those records by children, if required?

..set minimum employment standards to ensure suitable working conditions, adequate remuneration and thus the motivation and retention of carers and other staff?

..establish criteria to ensure that care providers maintain care standards through personal development of carers and training on relevant issues, for example, child protection legislation, children's rights, the appropriate use of restraint, child development issues and children with special needs?

### 9.1 Have attempts been made to identify unregistered/unauthorised facilities operating?

Estimated number of unregistered/unauthorised facilities currently operating	
Estimated number of children in those facilities	
Estimated percentage of all children in formal alternative care who are in unregistered/unauthorised facilities	
<b>Comments</b>	
<b>Data source</b>	

### 9.2 Are there nation-wide criteria set out on the basis of which authorisation is to be granted?

Yes

No

**9.4 If not, are criteria explicitly set at regional/local level?**

	Regional		Local	
	Yes	No	Yes	No
Everywhere	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In most places	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In some places	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nowhere	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>				
<b>Data source</b>				

**9.5 If/where such criteria exist, do they apply to:**

	Yes	No	Yes	No
All facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Only public facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Only private facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>				
<b>Data source</b>				

**9.6 If/where such criteria exist, do they include:**

	Yes	No	Yes	No
Written statement of goals consistent with Guidelines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Qualifications of staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appropriate levels of staffing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minimum standards on accommodation, nutrition and health care				
Minimum standards on education, vocational training and recreational activities				
Enabling the child's contact with his/her family				
Written commitment to ensuring return to family wherever appropriate and possible				
Financial transparency				
Agreeing to unannounced inspections (of records, conditions and financial activity)				
<b>Comments</b>				
<b>Data source</b>				

**9.7 Is registration/authorisation of private providers of alternative care required by law? Yes / no**

 Yes  


 No  

**9.8 How often each care place should renew its registration or authorisation?**

	Each year	Every 2 years	Every 3 years	Every 5 years	never
Care definition a		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Care definition b		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Care definition c		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>					
<b>Data source</b>					

**9.9 Is there a functioning system for assessing the suitability of private providers of alternative care?**

Yes

No

**If so: Is the system centralised or at regional or local level?**

What body/bodies is/are responsible?

**Comments**

**Data source**

**9.10 Is there a functioning system for inspecting the operation of private providers of alternative care?**

Yes

No

**9.11 What proportion of private facilities are inspected each year?**

\_\_\_%

**Comments**

**Data source**

**9.12 As a result of these inspections, what proportion of private facilities are:**

	%
Required to improve care provision	
Required to improve care provision and then inspected to ensure compliance	
Closed down	
<b>Comments</b>	
<b>Data source</b>	

**9.13 Is there a functioning system for authorising private providers of alternative care to operate?**

Yes

No

**If so: Is the system centralised or at regional or local level?**

What body/bodies is/are responsible?

**Comments**

**Data source**

**9.14 Annually, what proportion of applications has been refused?**  
\_\_\_%

**Comments**

**Data source**

**9.15 Is there a functioning system for inspecting the operation of public providers of alternative care?**

Yes

No

**9.16 What proportion of public facilities are inspected annually (for the year, most recent data available)?**  
\_\_\_%

**Comments**

**Data source**

**9.17 Each year, as a result of these inspections, what proportion of public facilities are:**

	%
Required to improve care provision	
Required to improve care provision and then inspected to ensure compliance	
Closed down	
<b>Comments</b>	
<b>Data source</b>	

## 10. FINANCING ALTERNATIVE CARE

Guidelines reference: 108 etc.

The Guidelines outline a regulatory framework that emphasises State responsibility for the authorisation, monitoring and accountability of care providers, care facilities and individual carers.

While the amount of financing made available to the alternative care system and each of its constituent parts will likely affect the conditions of care, the way the system is funded can have profound implications for the manner in which it is used. In particular, the source and basis of funding can greatly influence the number of children in care and the kind of setting in which they are placed.

This section therefore seeks to shed light on the extent to which the different parts of the care system are financed by the State – at central, regional or local levels – or through private sources, within the country or abroad, and the criteria adopted for the provision of funds.

### 10.1 Foster-care

	Completely		Mostly Greater than 70%		Partly Greater than 50%		Never	
	BG	PC	BG	PC	BG	PC	BG	PC
<i>[Block grants or per capita]</i>								
Funded at central level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded at regional level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded at local level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded by non-State sources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organised by non-State sources but commissioned as required by competent authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>								
<b>Data source</b>								

### 10.2 Public residential facilities

	Completely		Mostly Greater than 70%		Partly Greater than 50%		Never	
	BG	PC	BG	PC	BG	PC	BG	PC
<b>Block grants (BG) or per capita (PC)</b>								
Funded at central level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded at regional level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded at local level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded by domestic non-State sources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded by foreign non-State sources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded by foreign State sources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funded by intergovernmental sources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>								
<b>Data source</b>								

### 10.3 Private residential facilities

	Completely		More than 70%		Partly		Never	
	BG	PC	BG	PC	BG	PC	BG	PC
<b>Block grants (BG) or per capita (PC)</b>								
Funded at central level?	<input type="checkbox"/>							
Funded at regional level?	<input type="checkbox"/>							
Funded at local level?	<input type="checkbox"/>							
Funded by domestic non-State sources?	<input type="checkbox"/>							
Funded by foreign non-State sources?	<input type="checkbox"/>							
Funded by foreign State sources?	<input type="checkbox"/>							
Funded by intergovernmental sources?	<input type="checkbox"/>							
<b>Comments</b>								
<b>Data source</b>								

### 10.4 If public residential facilities are involved in the inter-country adoption of children in their care, are donations or contributions from adoption agencies or prospective adoptive parents (PAPs):

	Fixed amount?		Suggested amount?		Discretionary amount?	
	Agency	PAPs	Agency	PAPs	Agency	PAPs
Prohibited	<input type="checkbox"/>					
Requested	<input type="checkbox"/>					
Required	<input type="checkbox"/>					
Accepted	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

If "yes", indicate either "yes" or the specified amount.

### 10.5 If private residential facilities are involved in the inter-country adoption of children in their care, are donations or contributions:

	Fixed amount?		Suggested amount?		Discretionary amount?	
	Agency	PAPs	Agency	PAPs	Agency	PAPs
Prohibited	<input type="checkbox"/>					
Requested	<input type="checkbox"/>					
Required	<input type="checkbox"/>					
Accepted	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

If "yes", indicate either "yes" or the specified amount.

**10.6 Are foreign volunteers who apply to work at a residential facility asked to make a financial contribution to it?**

	Often	Sometimes	Never
Public residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>			
<b>Data source</b>			

**10.7 Are foreign tourists solicited for contributions?**

	Often	Sometimes	Never
Public residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>			
<b>Data source</b>			

**10.8 If so, are children involved in securing such contributions?**

	By goods they make			By attraction/performance		
	Often	Sometimes	Never	Often	Sometimes	Never
Public residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>						
<b>Data source</b>						

## 11. STAFF CAPACITY (TRAINING FOR STAFF, IN SERVICE TRAINING AND NUMBERS OF STAFF)

Guidelines references: 71 etc.

The competence, suitability and motivation of care staff are clearly important determinants of the “quality of care” provided. This section examines some of the basic issues that can influence those factors.

Does national policy...

...oblige formal care providers to ensure carers are professionally qualified and appropriately trained, for example, on children’s rights and child development issues?

### FOSTER-CARE AND FAMILY-BASED CARE

11.1 Is there a national foster-carer selection policy, on the basis of fixed criteria?

Comments

Data source

11.2 Do all carers receive a set course of preparatory training?  
How many hours training are offered before they can start their work?

Comments

Data source

11.3 Do foster-carers have access to support/advisory services?

Comments

Data source

11.4 Do foster-carers receive:

	Always		Mostly Greater than 70% of foster parents		Sometimes		Never	
	Yes	No	Yes	No	Yes	No	Yes	No
A monetary allowance per child	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A salary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments								
Data source								

11.5 If foster-carers receive a salary, how does it compare to the salary of a teacher

Much lower		Lower		Same		Higher		Much higher	
Yes	No								
<input type="checkbox"/>									
Comments									
Data source									

**11.6 Is there a limit on the number of children that may be looked after in each foster- or other family-based care setting?**

	Foster-care		Family-based care	
	Yes	No	Yes	No
Is there a limit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How many?				
<b>Comments</b>				
<b>Data source</b>				

**RESIDENTIAL CARE**

**11.7 Are there fixed qualifications set out and required for care staff working in**

	Always	Sometimes	Never
	Yes	Yes	Yes
Public residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private residential facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>			
<b>Data source</b>			

**11.8 Are background checks required and made for staff working in**

	Always		Sometimes		Never	
	Yes	No	Yes	No	Yes	No
Public residential facilities	<input type="checkbox"/>					
Private residential facilities	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

**11.9 How does the salary of carers compare to that of a teacher**

	Much lower		Lower		Same		Higher		Much higher	
	Yes	No								
Public residential facility	<input type="checkbox"/>									
Private residential facility	<input type="checkbox"/>									
<b>Comments</b>										
<b>Data source</b>										

**11.10 What is the average annual turnover rate of staff in**

	< 10%		11-20%		21-30%		>31%	
	Yes	No	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>							
Care definition b	<input type="checkbox"/>							
Care definition c	<input type="checkbox"/>							
Care definition d	<input type="checkbox"/>							
Care definition e	<input type="checkbox"/>							
Care definition f	<input type="checkbox"/>							
Care definition g	<input type="checkbox"/>							
<b>Comments</b>								
<b>Data source</b>								

**11.11 How is the performance of staff monitored?**

**11.12 Do public residential facilities seek or allow volunteers to work with children?**

**Comments**

**Data source**

**If so, are checks made concerning the suitability of such volunteers?**

**Comments**

**Data source**

**11.13 Do private residential facilities seek or allow volunteers to work with children?**

**Comments**

**Data source**

**If so, are checks made concerning the suitability of such volunteers?**

**Comments**

**Data source**

## 12. PROTECTION; VIOLENCE AND COMPLAINTS

Guidelines references: 92, 93, 98, 99 etc.

Does national policy...

..establish a regulatory framework ensuring open and impartial complaints procedures and the independent oversight of such a system?

..ensure that care providers facilitate any child pursuing a complaint, for example, with the support of a "person of trust" throughout the whole process?

..prohibit and sanction all forms of violence against children in alternative care, and oblige care providers to ensure relevant training and awareness-raising for carers?

..oblige care providers to ensure that procedures are in place to record and respond to incidents of violence against children in alternative care, and ensure accountability?

..require care providers to ensure that carers are trained in non-violent de-escalation techniques and the appropriate use of physical restraint when it is necessary?

..emphasise obligations to record incidents of physical restraint and the need for care providers to respond appropriately and monitor such incidences?

...have national guidelines that promote prevention of abuse and maltreatment

...is training of the staff in child protection mandatory in national law and policy?

**12.1 Is there a recognised child protection policy in place in all forms of alternative care?**

**12.2 Have cases of the mistreatment of children (abuse, neglect) been denounced in the past two years by:**

	authorities		staff		Families		community		media		Children
	Yes	No									
Care definition a	<input type="checkbox"/>										
Care definition b	<input type="checkbox"/>										
Care definition c	<input type="checkbox"/>										
Care definition d	<input type="checkbox"/>										
Care definition e	<input type="checkbox"/>										
Care definition f	<input type="checkbox"/>										
Care definition g	<input type="checkbox"/>										
<b>Comments</b>											
<b>Data source</b>											

**12.3 Have cases of the exploitation of children (trafficking, etc.) Been denounced in the past two years by:**

	authorities		staff		Families		community		media		Children
	Yes	No									
Care definition a	<input type="checkbox"/>										
Care definition b	<input type="checkbox"/>										
Care definition c	<input type="checkbox"/>										
Care definition d	<input type="checkbox"/>										
Care definition e	<input type="checkbox"/>										
Care definition f	<input type="checkbox"/>										
Care definition g	<input type="checkbox"/>										
<b>Comments</b>											
<b>Data source</b>											

**12.4 Are children informed of their rights and responsibilities on arrival in**

By law	All		Some		None	
	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>					
Care definition b	<input type="checkbox"/>					
Care definition c	<input type="checkbox"/>					
Care definition d	<input type="checkbox"/>					
Care definition e	<input type="checkbox"/>					
Care definition f	<input type="checkbox"/>					
Care definition g	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

**12.5 Is there a known and accessible mechanism for registering complaints and concerns in**

By law	All		Some		None	
	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>					
Care definition b	<input type="checkbox"/>					
Care definition c	<input type="checkbox"/>					
Care definition d	<input type="checkbox"/>					
Care definition e	<input type="checkbox"/>					
Care definition f	<input type="checkbox"/>					
Care definition g	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

**12.6 If so, do children use the mechanism for registering complaints and concerns in**

	Often		Sometimes		Never	
	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>					
Care definition b	<input type="checkbox"/>					
Care definition c	<input type="checkbox"/>					
Care definition d	<input type="checkbox"/>					
Care definition e	<input type="checkbox"/>					
Care definition f	<input type="checkbox"/>					
Care definition g	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

**12.7 If so, do children consider the mechanism for registering complaints and concerns to be effective in**

	Generally		Sometimes		Never	
	Yes	No	Yes	No	Yes	No
Care definition a	<input type="checkbox"/>					
Care definition b	<input type="checkbox"/>					
Care definition c	<input type="checkbox"/>					
Care definition d	<input type="checkbox"/>					
Care definition e	<input type="checkbox"/>					
Care definition f	<input type="checkbox"/>					
Care definition g	<input type="checkbox"/>					
<b>Comments</b>						
<b>Data source</b>						

**12.8 Do children in foster-care or other family-based care setting have access to a person or mechanism to register a complaint or concern?**

**Comments**

**Data source**

**12.9 Do children fear negative consequences/reprisals if they register a complaint or concern?**

**Comments**

**Data source**

**12.10 What forms of violence, child exploitation or abuse have been reported or investigated in the past five years?**

Comments

Data source

**12.11 Are forms of group punishment used?**

Comments

Data source

**12.12 Is corporal punishment illegal? Or practised?**

Comments

Data source

**12.13 Are there other forms of cruel or degrading treatment reported or investigated?**

Comments

Data source

### 13. RECOMMENDATIONS

List the key recommendations (maximum of 10) for changes to legislation and practise in the country

	Issue	Reccomendation for change
13.1		
13.2		
13.3		
13.4		
13.5		
13.6		
13.7		
13.8		