Response to the Presidency Draft of the European Consensus on Development
(issued on 24 March 2017)

About Lumos
Lumos is an international NGO¹, founded by author J.K. Rowling, working to end the institutionalisation of children around the world by transforming education, health and social care systems for children and their families and helping children move from institutions to family-based care. We are a founding member of the European Expert Group on the Transition from Institutional to Community-based Care. Lumos also sits on the Leaders’ Council of the Washington-Based Global Alliance for Children, a coalition of US government departments, the World Bank, the Canadian government and major foundations.

What is an institution?
An ‘Institution’ refers to any residential setting where ‘institutional culture’ prevails. Institutional culture, in terms of children, has been defined as follows: Children are isolated from the broader community and compelled to live together. Children and their parents do not have sufficient control over their lives and over decisions which affect them. The requirements of the organisation itself take precedence over the children’s individual needs. As a result, children cannot form attachments crucial to healthy physical and emotional development².

This definition usually includes large residential homes or orphanages, including compound/cluster complexes, but also smaller facilities with strict regimes, facilities for children who have committed minor offences, residential healthcare facilities, and residential special schools.

Institutionalisation – breach of human rights
A number of international and EU policy and legal instruments have declared institutional settings as a breach of human rights. The Convention on the Rights of the Child (CRC) affirms that, as far as possible, all children have a right to live with their families and that parents or other legal guardians have the primary responsibility to protect and care for the child.³ The Convention and the UN Guidelines for the Alternative Care of Children (A/RES/64/142)⁴ also call on States to ensure that families have access to forms of support in the caregiving role. The Guidelines state that, “[e]very child

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¹ Lumos Foundation (Lumos) is a company limited by guarantee registered in England and Wales number: 5611912 | Registered charity number: 1112575
⁴ United Nations (2009), Guidelines for the Alternative Care of Children, A/RES/64/142
and young person should live in a supportive, protective and caring environment that promotes his/her full potential. Children with inadequate or no parental care are at special risk of being denied such a nurturing environment”. The United Nations Convention on the Rights of Persons with Disabilities (UN CRPD) proclaims that States Parties shall take all necessary measures to ensure the full enjoyment by children with disabilities of all human rights and fundamental freedoms on an equal basis with other children and that the best interests of the child shall be a primary consideration (Art. 7). Furthermore, the CRPD makes strong commitments to community living by stating that persons with disabilities have access to a range of in-home, residential and other community support services, including personal assistance necessary to support living and inclusion in the community, and to prevent isolation or segregation from the community (Art 19). The “EU Guidelines for the Promotion and Protection of the Rights of the Child (2017) Leave no child behind” have included institutionalisation among the risks for children in vulnerable situations. The document highlights the importance of appropriate alternative care for children that allows them to participate in community life, and preventing family and child separation (see section 5.A) and states that the primary consideration for spending should be the best interests of the child (see section 5.D). It further recommends improving coherence in the EU’s external action on children, including that carried out by member states. The Guidelines underline the importance of data to design effective policy, and especially the importance of disaggregated data (“crucial”) in order to ensure no child is left behind.

The European Commission’s 10 Principles for Integrated Child Protection Systems also clearly state the need to ensure adequate care for children in line with international standards, including the UN Guidelines for the alternative care of children.

Moreover, by introducing an ex-ante conditionality on social inclusion (9: 9.1.) with an investment priority on the “transition from institutional to community based services” in the Regulation 1303/2013 on the ESIF, the EU has prohibited for the ESIF to be used for the maintenance or renovation of existing, and the construction of new, large residential institutional settings.

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7 Ibid, p.19
8 Ibid, p. 21
9 Ibid, e.g. p. 13
10 Ibid, p. 24
Lumos welcomes the publication of the Presidency Draft of the European Consensus on Development. In this paper, we would like to make a number of suggestions on how it can be further strengthened:

- We would like to see a specific mention of children in institutions and under risk of being left behind when addressing “those who are in disadvantaged, vulnerable and marginalised situations” (30).
- We would like to see a specific mention of the transition from institutions to family and community-based care for children and the right to family, when addressing “children’s needs, rights and aspirations” (29).
- Methods need to be developed that allow for governments globally to collect data on the wellbeing of children living outside of households and/or without parental care. Disaggregating data, not only by age, disability, gender, but also care status, is needed for governments to gain a comprehensive picture of the situation of children living outside of family care and their development progress (119).

Below we provide specific recommendations on how the text can be strengthened to ensure that children are not left behind in the European Consensus on development, and that their needs and human rights are being met sufficiently. These are arranged in line with the separate sections of the communication:

2.1. People – human development and dignity

1. The Presidency Draft contains a strong commitment to children’s rights, including “responding to their educational needs” (21.), “ensuring access to quality education for all” (28.), “universal health coverage, universal access to quality education and training, adequate and sustainable social protection” (22.), and recognition of under-nutrition as a “major obstacle to development and a lifelong burden” (24.) as well as the determination to give “particular attention to individuals in the most vulnerable situations, inter alia children under five, adolescent girls and women” (24.) and to “work towards reducing child and maternal mortality, promote mental health and address the growing burden of noncommunicable diseases in partner countries” (27.). Furthermore, The Presidency draft states, that the EU and its Member States “will intensify their efforts to provide a safe and nurturing environment for children as an important element for fostering a productive and healthy young population” (29), recognising, that “every child deserves a peaceful childhood and quality education, including in emergencies and crisis situations to avoid the risk of a “lost generation”, as well as that they will work with partner countries “to improve the protection of children and their participation in decisions that concern them” (29.). In addition, the Draft declares, that “the EU and its Member States will give special attention to those who are in disadvantaged, vulnerable and marginalised situations including children, the elderly, persons with disabilities” (30.) and will offer them “the same
opportunities and ensure non-discriminatory access to their rights, in line with the principle of leaving no-one behind” (30).

➢ **Lumos’ response**: None of the above commitments can be fulfilled, while there are still an estimated eight million children worldwide living in residential institutions and so-called orphanages that deny them their rights and that cannot meet their needs14. More than 80% of these children are not orphans and have at least one living parent15. For institutionalised children in Haiti, a similar percentage have living parents. Around the world, children are placed in institutionalised care because their parents face extreme poverty; because the children have physical and intellectual disabilities; or because they are from socially excluded groups16. In spite of the best of intentions in setting up institutions, more than 80 years of research from across the world has demonstrated the significant harm caused to children in institutions, who are deprived of loving parental care and who suffer life-long physical and psychological harm as a consequence17.

Babies in particular fail to develop as they should without one-to-one parental interaction, and research demonstrates the severe impact of institutionalisation on early brain development. According to numerous studies18, children who are removed from institutions after the age of six months often face severe developmental impairment, including mental and physical delays. They are likely to suffer from poor health, physical under-development and a deterioration in brain growth19. The cognitive development of children who grow up in institutional care is noticeably poorer compared to their non-institutionalised peers20. Early psychosocial deprivation has profound effects on brain activity in young children. Put simply, children need families to flourish.

Other research has found that babies with disabilities are particularly vulnerable. They require close sustained adult engagement to help them develop – including skills such as learning to eat properly. One study found that babies in institutions with disabilities were 100 times more likely to die in the institution than babies without disabilities21.

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The transition from institutions to family and community-based care is a pre-condition for fulfilling the Presidency’s Draft commitments to secure that *all* children have access to quality inclusive education, to food, to nurturing environment, to peaceful childhood, to protection and to the same opportunities.

- **Lumos recommends** the following additions to the Draft (underlined and highlighted in colour) in order to ensure that its commitments are fulfilled for *all* children.

24. (...) Particular attention will be given to individuals in the most vulnerable situations, inter alia children under five, *particularly children in institutions*, adolescent girls and women particularly during pregnancy and breastfeeding. (...) They will continue to invest in the early development of children by addressing all forms of malnutrition, including stunting and wasting of children through the support for basic services in health, nutrition, water sanitation and hygiene, *access to family and community-based social services* and social protection.

29. (...) The EU and its Member States will intensify their efforts to provide a safe and nurturing *family or family-like* environment for children as an important element for fostering a productive and healthy young population.

2. The Presidency Draft recognises, that “targeted policies and appropriate investment are required to promote young people’s rights, to facilitate their engagement in social, civic and economic life, and to ensure their full contribution to inclusive growth and sustainable development” (32.) It expresses the EU commitment to “the promotion, protection and fulfilment of all human rights” (34.) and to “mainstream the reduction of inequality in their development cooperation and support innovative social practices” (37).

- **Lumos’ response:** There is insufficient research following up on young adults who were raised in institutions, but one research study of young adults who were raised in institutions found that they are 10 times more likely to be involved in prostitution as adults, 40 times more likely to have a criminal record, and 500 times more likely than their peers to commit suicide. Another found that young women raised in institutions were ten times more likely than their peers to be trafficked for the purposes of sexual exploitation.

**Supporting families**

Most families would not place their children in institutions or orphanages if they had been provided with the right support. This support would include raising awareness of the help available, counselling,

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23 International Organisation for Migration (2007), *Protecting Vulnerable Children in Moldova*
access to food, education and quality services, flexible working schemes, extra support for parents of children with disabilities and overall poverty reduction.

In some cases, children with very complex special needs require specialist services that cannot be provided in a family, but these cases are in the minority. With the right support structures in place, most children with disabilities should be able to live with their own families or in foster families and it is their right to do so. Prevention is essential for ensuring that families under risk keep their children. The access to family and community-based services, inclusive education, quality health care and rehabilitation, combined with flexible working schemes would keep families together.

**Reintegration and transition to family based care**

The purpose of the transition from institutions to family and community-based care is much broader than purely closing the existing institutions: the goal is to achieve a comprehensive transformation of the national child protection and care system. It is a cross-sectoral process, linked to reforming the social, health care, educational, security and child protection and financing systems, requiring the involvement of all the stakeholders at national, regional and local level.

As a result, a one-size-fits-all solution (institutional care) is replaced by holistic reform programmes that aim at:

- Preventing the need for alternative care
- Progressively eliminating unsuitable forms of care, such as institutional care; and in parallel
- Developing a range of appropriate family- and community-based alternatives to match the needs of each child (Guidelines principle of suitability)
- Take a case by case approach and put the best interest of the child at the centre of any decision about their care, welfare and support.

Experience across a variety of contexts has proven that a set of conditions need to be in place in order that reforms take place successfully and lay the foundations for long-lasting change:

- Sustained political will embedded in legislative and policy frameworks for the transition towards family and community-based care
- Local evidence and know-how to inform policy and practice for service development
- A capable national social workforce and a coordinated civil society to support and monitor implementation
- Funds to support the transition process and ensure long-term sustainability of the system.

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25 Whenever alternative care is effectively needed, such care should be provided in an appropriate way (principle of *suitability*). A range of care options should be available to match the individual needs of each child, following an individual assessment.

LUMOS recommends the following additions to the Draft (underlined and highlighted in colour) in order for the EU to ensure, that there are no children and young people left behind.

22. Eradicating poverty in all its dimensions, tackling discriminations and inequalities and leaving no one behind are at the heart of EU development cooperation policy. The EU and its Member States will pursue an end to hunger, all forms of malnutrition and institutionalisation as well as promote universal health coverage, universal access to family and community-based social services and to quality education and training, adequate and sustainable social protection and decent work for all within a healthy environment.

27. They will promote the investment in and empowerment of frontline healthcare and social workers who play a critical role in ensuring coverage of healthcare services in remote, poor, underserved and conflict areas as well as in the creation of a wide range of family and community-based social services.

3. The Presidency Draft states, that “the EU and its Member States will strengthen resilience, particularly of vulnerable populations, in the face of environmental and economic shocks, natural and manmade disasters and global threats to health” (38).

Lumos’ response: Children in institutions are a specific vulnerable group during humanitarian crises. They are the most likely to be left behind when populations flee and institutions often become specific targets for political motives. For example, in the occupied regions of Ukraine, rebel groups set up bases inside baby institutions; demanded social service departments provide lists of children in institutions; forcibly removed children from institutions and trafficked them across the border into Russia, whilst claiming they were rescuing them from the ‘fascist junta’. These children are at significantly increased risk of sexual exploitation by armed forces, a major concern in many humanitarian situations. Similar anecdotal evidence exists from other conflict crises, such as Bosnia and Afghanistan.

There is a strong, but largely unrecognised, connection between institutionalisation and trafficking. Firstly, institutionalised children are at high risk of becoming victims of trafficking compared with those raised in families and, secondly, children recovered from traffickers are often placed (back) in institutions by the authorities, reinforcing the trauma they suffer. This creates a vicious circle for trafficked children and additional risks to their peers in institutions. This response also effectively penalises the child for their victimisation and can

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place them at greater risk: the specific institutions where trafficked children are placed are often known to the traffickers, who will target them there for re-trafficking.

There is evidence that institution managers and staff have actively solicited parents living in poverty to place children in their facilities, marketing their services, nutrition, shelter, access to education, health care, and improved life chances\textsuperscript{28}.

Establishing institutions has become a ‘business’ in a number of countries, including Haiti, Cambodia and Uganda. A galaxy of private actors (including NGOs and faith based organisations) run orphanages/institutions for children and often operate without any proper regulation or supervision.

When this is the case, the model usually functions as follows: an orphanage is established; children are recruited through purchase; coercion or deception; children are neglected, abused and exploited, usually for profit; orphanage advertises for support, funds and volunteers; foreigners donate money; volunteers arrive to provide support; children often go missing; few prosecutions or follow up; some institutions close, but many continue to function\textsuperscript{29}.

The UNICEF Factsheet Residential Care in Cambodia highlights that “many centres turn to orphanage tourism to attract more donors, fuelling a system that exposes children to risk.”\textsuperscript{30}

Unaccompanied children after natural and manmade disasters of them being placed in institutions face similar risks. As already explained, however, placing them in an institution does not provide a solution but exactly the opposite: it brings serious child protection and welfare issues.

\begin{quote}
Therefore, the international development policy framework should specifically call for child protection, family support and prevention of separation to be prioritised during conflict and emergency situations. Any residential care required during emergency situations must be a last resort and temporary in nature.
\end{quote}

\begin{itemize}
\item \textbf{Lumos recommends} the following additions to the Draft (underlined and highlighted in colour) in order for the EU to ensure that adequate measures are taken in the face of environmental and economic shocks so that the risks for the most vulnerable children are significantly decreased.
\end{itemize}

38. The EU and its Member States will strengthen resilience, particularly of vulnerable populations, in the face of environmental and economic shocks, natural and manmade disasters and global threats to health. \textbf{Special attention should be given to children, particularly children outside}\textsuperscript{28} Lumos (2016) Orphanage Entrepreneurs: The Trafficking of Haiti’s Invisible Children \url{https://wearelumos.org/sites/default/files/Haiti%20Trafficking%20Draft_ENG_WEB_NOV16.pdf} [accessed 31st March 2017]

\textsuperscript{29} ibid

\textsuperscript{30} UNICEF, Residential Care in Cambodia, \url{https://www.unicef.org/cambodia/Fact_sheet_-_residential_care_Cambodia.pdf}
parental care and children on the move, and persons with disabilities. They will systematically integrate resilience in their action ensuring that individuals, communities, institutions and countries can better prepare for, withstand, adapt, and quickly recover from stresses and shocks without compromising long-term development prospects. This will also be done during post disaster recovery, rehabilitation and reconstruction. The planned measures should guarantee respect for human rights and exclude harmful practises such as institutionalisation.

4. **The Presidency Draft** declares that the EU and its Member States will “promote the dignity and resilience of long-term forcibly displaced persons and their inclusion in the economic and social life of host countries and host communities” (42.), paying “special attention to women, accompanied and unaccompanied minors and highly vulnerable persons” (42.)

- **Lumos’ response:** The current migration flows across the world including thousands of unaccompanied minors present a serious risk of the creation of new institutions to accommodate them. A total of 98,400 unaccompanied refugee and migrant children applied for asylum worldwide in 2015. This is compared with 34,300 in 2014 and 25,300 in 2013. Eurostat calculates that 88,300 of these children applied for asylum in EU countries in 2015. Many countries are relying on an institutional system of care for unaccompanied migrant and refugee children, even those who have recently moved away from this model for children who are citizens. On arrival in Europe, many children end up in camps, detention, residential institutions, or are left to fend for themselves on the streets. Evidence demonstrates that unaccompanied migrant and refugee children are likely to have suffered abuse and trauma on their journey to, and stay within, Europe and that their needs are not adequately met. Furthermore, it has been reported that some EU countries consider building institutions outside Europe where the unaccompanied minors would be sent.

As explained above however, this puts these children under a serious risk of being trafficked and/or becoming victims of violence. Instead, the EU should be looking for ways to support family-based care that meets unaccompanied migrant and refugee children’s needs and helps them integrate into the community, including in its external action.

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31 The UN definition of an unaccompanied or separated child is someone under the age of eighteen who is “separated from both parents and is not being cared for by an adult who by law or custom has responsibility to do so”. UNHCR (1997) Guidelines on Policies and Procedures in dealing with Unaccompanied Children Seeking Asylum [Accessed 21 December 2016]
33 Eurostat (2016) *Almost 90 000 unaccompanied minors among asylum seekers registered in the EU in 2015* [Accessed 12 January 2016]
Lumos’ recommends the following additions to the Draft (underlined and highlighted in colour) so that all children receive adequate support in line with their human rights, protection and wellbeing in crisis situations.

42. (...) The EU and its Member States will apply a rights-based approach, paying special attention to women, accompanied and unaccompanied minors and highly vulnerable persons. They will avoid harmful practices such as institutionalisation and detention, and protect longer-term social structures, integrating persons in protracted displacement into wider development planning, including through access to education, family and community-based care and decent jobs.

3.1 Working better together

5. The Presidency Draft states, that at country level, “the EU and its Member States will enhance Joint Programming in development cooperation to increase their collective impact by bringing together” (74.) It further explains, that “Joint Actions will be inclusive and open to all EU partners who agree and can contribute to a common vision their resources and capacities” (77.). The Draft informs, that “budget support can also contribute to addressing the causes of fragility and to promoting stability and state-building in countries in fragile situations or transition”. (80.)

Lumos’ response: By prohibiting the use of ESIF on the maintenance, renovation or construction of residential institutions\(^{35}\), the EU demonstrates its recognition of the harm caused by institutionalisation. In doing so the EU has played an instrumental role in the efforts to end this harmful practice. In the interest of policy coherence and better outcomes for children, it is important that such principles are applied across all EU policies and funding streams – wherever in the world they apply.

Lumos recommends the following additions to the Draft (underlined and highlighted in colour) in order for the EU to secure achieving coherence between the EU policies and funding streams and better outcomes for children.

74. (...) Joint programming should be led by the partner country’s development strategy and aligned to partner country’s development priorities as well as to the international human rights legislation and the EU values and principles.

77. Joint Actions will be inclusive and open to all EU partners who agree and can contribute to a common vision, including Member States’ agencies and their development financial institutions, the private sector, civil society and academia. Joint Actions should be in line with the international human rights legislation and the EU values and principles.

80. (...) Budget support can also contribute to addressing the causes of fragility and to promoting stability and state-building in countries in fragile situations or transition. It should be aligned to EU legislation and internal funding rules.

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\(^{35}\) European Union (2013), Regulation (EU) 1303/2013, Article 9: 9.1, ex-ante conditionality on social inclusion
4.1 Mobilising and making effective use of all means of implementation

6. **The Presidency Draft** states, that “the EU and its Member States will continue to ensure that ODA is well targeted and used strategically, and coherently in relation to other means of implementation from all sources.” (103.)

- **Lumos’ response**: The above is an opportunity for the EU to commit to achieving coherence between all its internal and external policy, legislative and funding instruments.

- **Lumos’ recommends** the following additions to the Draft (underlined and highlighted in colour) in order for the EU to secure achieving coherence between the EU policies and funding streams and better outcomes for children.

   103. The EU and its Member States will continue to ensure that ODA is well targeted and used strategically, and coherently in relation to other means of implementation from all sources and to all other EU policy, legislative and funding instruments.

5. FOLLOWING UP ON OUR COMMITMENTS

7. **The Presidency Draft** states, that “the EU and its Member States will boost the statistical capacity of developing countries” and data will be disaggregated by a number of factors and provide information on the “marginalised, vulnerable and hard-to-reach groups”. (119).

- **Lumos’ response**: The 2030 Agenda contains the strong commitment to *leaving no one behind* (Preamble, p. 26)\(^{36}\). To ensure that this commitment is truly lived up to, it is important that methods used to measure outcomes of the Sustainable Development Goals assess progress made for the most vulnerable and hard to reach populations. Existing methods to measure development progress of child-related goals, are not equipped to reach some of the most vulnerable children. Children living outside of households and/or without parental care - including those living in institutions – are commonly missed in the data. Any data that exist on children living in institutions or otherwise outside of households and/or without parental care, often fails to specify the child’s living arrangement. Living arrangement is however a key indicator for adversity in childhood. Any data that is collected should therefore be disaggregated by care status.

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Children’s invisibility in the data has serious repercussions for their future opportunities.\(^{37}\) Therefore it is essential for the European Union and its Member States to: 1. Improve and expand data collection methodologies to ensure all children living outside of households and/or without parental care are represented in the data and 2. that any data collected on children is disaggregated by care status, in addition to gender, age, disability and geography.

**Lumos recommends** the following additions to the Draft (underlined and highlighted in colour) in order for the EU to secure, that there is no child left behind.

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119. The EU and its Member States will boost the statistical capacity of developing countries, including through strengthened capacity for the production and analysis of data, to inform policy and decision-making, which should be disaggregated where possible by income, gender, age, care status and other factors, and provide information on all marginalised, vulnerable and hard-to-reach groups, inclusive governance and other issues, consistent with the EU’s rights-based approach. It will improve and expand data collection methodologies to ensure all groups, including children living outside of households and/or without parental care, are represented. It will also include investments in stronger statistical institutions at sub-national, national and regional level, and the use of new technologies and data sources. The EU and its Member States will encourage their partner countries to include the voices of marginalised Communities, including children in institutions, in monitoring the SDGs and to promote concrete mechanisms to this end.

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\(^{37}\) According to UNICEF’s 2015 Progress for Children report, “as the world prepares for a new development agenda, data and evidence will only increase in importance and national systems must be strengthened to meet new demands. The new data agenda will need to harness the potential of new technologies to collect, synthesize and speed up the use of data, and also reinvigorate efforts to ensure complete and well-functioning registration systems. The new data agenda will need to provide insight into the most vulnerable children, relying on household surveys that provide data regardless of whether or not a child attends school or is taken to a health facility, as well as developing new approaches for collecting information about children who are homeless, institutionalized or internally displaced.” UNICEF (2015) Progress For Children Report 2015 – Beyond Averages: Learning from The MDGs https://www.unicef.org/publications/files/Progress_for_Children_No._11_22June15.pdf [accessed 13th April 2017]