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Title	Draft Implementation Checklist under the HCCH 2000 Protection of Adults Convention	
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Mandate(s)	C&R No 34 of the 2019 CGAP; C&D No 31 of the 2020 CGAP	
Objective	To obtain comments from Members before 30 October 2020 on an Implementation Checklist under the 2000 Protection of Adults Convention to be included in the future Practical Handbook on the Operation of the 2000 Protection of Adults Convention. Members are invited to provide available resources for the purpose of Annex IV.	
Action to be taken	For Approval For Decision For Information For Comments	
Annexes	Annex I – A summary of provisions in the Convention that may require implementing measures, e.g. changes to legislation, prior to the Convention entering into force. Annex II – A summary of information to be communicated to the depositary (the Minister of Foreign Affairs of the Kingdom of the Netherlands), and the Permanent Bureau of the HCCH. Annex III – A summary of the functions performed by Central Authorities, competent authorities and other authorities under the Convention. Annex IV – List of available resources from States that may be of assistance to other States.	
Related documents	<u>Prel. Doc. 10 of December 2019</u> – CGAP – Report on the planning for a first meeting of the Special Commission to review the practical operation of the HCCH 2000 Adults Convention	

DRAFT IMPLEMENTATION CHECKLIST

Introduction

A "Checklist" of matters that may need to be examined in implementing the Convention

The purpose of this Checklist is to highlight issues which may need to be considered by States when implementing the Convention. The Checklist is intended as a guide, and is not binding.

The Checklist does not seek to prescribe the method by which the Convention should be implemented in Contracting States. Rather, it indicates some questions that may arise prior to, or upon implementation of, the Convention. The list is not exhaustive and there undoubtedly will be other issues specific to States that will require consideration.

The Checklist includes "Preliminary Matters" for consideration that relate to the Convention generally, while "Specific Measures of Implementation" and the annexes to the Checklist may assist a State when considering particular aspects of the Convention. The annexes cover the following matters:

Annex I

A summary of provisions in the Convention that may require implementing measures, *e.g.* changes to legislation, prior to the Convention entering into force.

Annex II

A summary of information to be communicated to the depositary (the Minister of Foreign Affairs of the Kingdom of the Netherlands), and the Permanent Bureau of the HCCH.

Annex III

A summary of the functions performed by Central Authorities, competent authorities and other authorities under the Convention.

Annex IV

List of available resources from States that may be of assistance to other States.

PRELIMINARY MATTERS

Contemplating Becoming a State Party

- Consult with the Permanent Bureau of the HCCH and other Contracting States about the benefits of the Convention.
- □ Identify and consult stakeholders and experts in your State, *e.g.* government and non-government agencies, judiciary, welfare services and the legal profession, to:
 - determine the implications of becoming a State Party;
 - decide whether to become a State Party;
 - identify the best methods to implement the Convention; and
 - develop a plan for the implementation and operation of the Convention.

Methods of Implementation

- Consider the method by which the Convention will be implemented in your State.
 - In your State's legal system, is the Convention automatically incorporated in domestic law once the Convention enters into force?

or

• In your State's legal system, is it necessary to incorporate or transform the Convention into domestic law? If so, by what means will this be achieved?

Regardless of whether incorporation or transformation is required in your State's legal system, some implementing measures will be needed to assist with the effective implementation and operation of the Convention.

- □ Conduct a comprehensive review of domestic laws, rules, regulations, orders, policies and practices to ensure that existing provisions are not contrary to the Convention.
- ☐ If there are any existing provisions that create obstacles or impediments to the effective implementation and operation of the Convention, identify what amendments are required.
- □ Consider the appropriate form to handle matters:
 - Legislation, e.g.:
 - i. rules of jurisdiction to take measures of protection, including provisions to transfer or assume jurisdiction;¹
 - ii. recognition and enforcement of other States' decisions;²
 - iii. providing powers for the Central Authority and competent authorities to perform their functions.³

¹ Arts 6 to 11.

² Arts 22 and 25.

³ Art. 38.

- Rules, regulations and orders, e.g.:
 - i. rules of Court on findings of fact in recognition proceedings;⁴
 - ii. providing information to other States to assist in proceedings;⁵
 - iii. exemption on legalisation of documents forwarded or delivered under the Convention.⁶
- Administrative acts, e.g.:
 - i. appointment of a Central Authority;⁷
 - ii. non-disclosure of sensitive information.8

Becoming a State Party – Signature and Ratification, or Accession

Any State may become a Party to the Convention. The following describe the different ways in which a State may do this.

□ Signature followed by ratification

- A State which was a Member of the HCCH on 2 October 1999 may sign and ratify the Convention.⁹
- By signing the Convention, a State expresses its intention to become a Party. It does not
 oblige a State to ratify the Convention.¹⁰ The State will need to ratify the Convention for
 it to enter into force.
- The Convention enters into force three months after ratification. 11

□ Accession

- Other States wishing to become a Party may accede to the Convention.¹²
- For an acceding State, the Convention will enter into force nine months after the date of accession.¹³
- Within the first six months of this nine-month period, any other Contracting State may raise an objection to the accession.¹⁴ The Convention will not enter into force between the acceding State and any State which raised an objection, until such an objection is withdrawn.

⁴ Art. 24.

⁵ Art. 32.

⁶ Art. 41.

⁷ Art. 28.

⁸ Art. 35.

⁹ Art. 53.

¹⁰ However, Art. 18 of the *Vienna Convention on the Law of Treaties*, obliges States, once an expression of consent to be bound by the treaty has been made, not to defeat the object and purpose of the treaty prior to its entry into force.

¹¹ Art. 57(2).

¹² Art. 54(1).

¹³ Art. 57(2)(b).

¹⁴ Art. 54(3).

- The Convention, nevertheless, will enter into force between the acceding State and all other Contracting States which have not raised an objection.
- □ Ratification or accession requires the deposit by a State of the appropriate instrument with the Ministry of Foreign Affairs of the Kingdom of the Netherlands, as depositary of the Convention. ¹⁵

Developing a Timetable

Determine the date on which the Convention should come into force in your State. The following should be completed in line with that date.

- ☐ Ensure the appropriate implementing measures are put in place, or enacted and in force, before the Convention enters into force in your State.
- □ Ensure the necessary instrument and information are deposited with the depositary and communicated to the Permanent Bureau (see *Annex II*).
- □ Ensure all key stakeholders (*e.g.* government departments, welfare agencies, courts, the legal profession) are informed of when the Convention will come into force, any changes to current law and procedure, and their respective roles under the Convention.
- ☐ Ensure that adequate training is provided to individuals involved in the application of the Convention (e.g. government departments, welfare agencies, courts, the legal profession).
- Disseminate information on the Convention to the public.

Designations, Declarations and Reservations

The following are some obligatory designations to be made under the Convention, as well as optional declarations and reservations that States may consider necessary.

- ☐ Ensure that the designation of a Central Authority or Authorities is made at the time of ratification / accession (or at least before the Convention enters into force).¹6
- ☐ Ensure that the contact details of each Central Authority, and the language(s) of communication, are communicated to the Permanent Bureau and are kept up to date.
- □ Consider designating an authority competent to draw up an international certificate under Article 38.¹⁷
- □ Consider designating an authority under Article 42 to receive requests under Articles 8 and 33. 18
- ☐ Consider whether a declaration under Article 32(2) is necessary. 19

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¹⁵ Arts 53(2) and 54(2).

¹⁶ Arts 28 and 43.

¹⁷ This certificate indicates the capacity and powers of a person who is entrusted with protection of the adult's person or property.

¹⁸ This applies to situations when a transfer of jurisdiction to a more appropriate forum (Art. 8) or a placement abroad (Art. 33) is contemplated.

¹⁹ This requires that all requests for information from a Contracting State when they are contemplating a measure of protection must be communicated through the Central Authority.

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- □ Consider whether a reservation under Article 51 is necessary. ²⁰
- □ Consider whether a declaration under Article 55 is necessary. ²¹

Ongoing Processes of Implementation

- Develop and implement mechanisms to monitor and evaluate the application and function of the Convention, *e.g.* consultation with courts and other responsible authorities. Regular evaluation will assist in identifying and responding to any implementation difficulties that may arise.²²
- □ Ensure that any changes to contact details of Central Authorities and designated bodies are provided to the Permanent Bureau.
- □ Use the following resources for assistance:
 - Website of the HCCH < hcch.net >.
 - P. Lagarde, "Explanatory Report on the Hague Convention of 13 January 2000 on the International Protection of Adults" available at < https://explanatory.net/ then "Publications" then "Explanatory Reports".
 - List of available resources from States that may be of assistance to other States (see *Annex IV*).

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²⁰ If your State objects to the use of French or English.

²¹ If your State has two or more territorial units in which different systems of law are applicable, you can declare to which the Convention applies. If no declaration is made, the Convention will extend to all territories.

²² Art. 52.

SPECIFIC MEASURES OF IMPLEMENTATION

The Convention accommodates States of different legal traditions and systems, allowing the implementation of the Convention to be adapted to specific needs. This Checklist identifies a number of issues that may arise before, or upon, implementation of the Convention, including responses offered by the Convention.

Chapter I | Scope of the Convention

- □ Verify whether the laws of your State cover the scope of the Convention, specifically that they provide for measures of protection for persons over the age of 18 years²³ who, by reason of an impairment or insufficiency of their personal faculties, are not in a position to protect their own interests.²⁴
- Identify what measures of protection are already available in domestic law and how they relate to the Convention. The measures listed in Article 3 are not exhaustive and there may be other measures of protection available in your State.²⁵

Chapter II | Jurisdiction

- □ Consider whether changes to legislation are required for judicial or administrative authorities to have jurisdiction to take measures of protection based on the adult's *habitual residence*. ²⁶
- □ Consider whether changes to legislation are required for judicial or administrative authorities to have jurisdiction to take measures of protection based on an adult being *present* in the State.²⁷
- Consider whether changes to legislation are required for judicial or administrative authorities of which the adult is a national to have jurisdiction to take measures of protection based on the Contracting State being in the best position to assess the interests of the adult (and there are no proceedings pending elsewhere).²⁸
- □ Consider what implementing measures may be required to facilitate the transfer of jurisdiction, ²⁹ such as:
 - Changes to legislation or rules to enable competent authorities to transfer or assume jurisdiction. Authorities should be aware of the conditions under which transfer may occur, in particular, that it is in the interests of the adult.

²³ Art. 2.

²⁴ Arts 1(1) and 3.

²⁵ By contrast, the list in Art. 4 of matters for which the Convention does not apply is exhaustive. See Explanatory Report, paras 29 to 46.

²⁶ Art. 5.

²⁷ Arts 6, 10 and 11.

²⁸ Art. 7.

²⁹ Art. 8.

- Procedures for the transmittal and receipt of requests for the transfer of jurisdiction and the role, if any, of the Central Authority. States should consider how their authorities will communicate with authorities in other Contracting States, e.g. by a direct exchange between the competent authorities concerned with the proceedings or communication through the Central Authority. Consider whether a declaration under Article 42 is needed.
- Implementation of internal procedures, including mechanisms for transferring or assuming jurisdiction and the ability for authorities to agree to requests to transfer or assume jurisdiction.
- Procedures for parties to a matter (other than Central Authorities or competent authorities) to request the transfer of jurisdiction, including where one or more parties may be located in another State.
- Consider how applications for measures of protection will come before an authority where jurisdiction has been assumed.
- Consider how to ensure the case is no longer dealt with by the authorities of the State after jurisdiction has been transferred.
- Consider whether changes to legislation are required for judicial or administrative authorities to have jurisdiction to take measures of protection concerning property based on the situate of the property.³⁰

Chapter III | Applicable Law

- □ Consider whether changes to legislation are required to enable:
 - authorities to exceptionally apply or take into account the law of another State where the adult has a "substantial connection";³¹
 - implementation of a decision made in another Contracting State governed by the law of that State;³²
 - implementation of powers of representation to be granted by an adult, either under an
 agreement or by a unilateral act, to be exercised when such adult is not in a position to
 protect his or her interests;³³
 - the existence, extent, modification and extinction of powers of representation to be governed by domestic law or foreign law;³⁴ and
 - powers of representation to be withdrawn or modified in accordance with domestic law or foreign law.³⁵

³⁰ Art. 9.

³¹ Art. 13(2).

³² Art. 14.

³³ Art. 15.

³⁴ Art. 15.

³⁵ Art. 16.

Chapter IV | Recognition and Enforcement

- Consider whether any implementing measures are needed to amend existing legislation or procedures that are contrary to the following provisions:
 - measures of protection taken by the authorities of a Contracting State must be recognised "by operation of law";³⁶
 - recognition of measures of protection taken in another Contracting State may only be refused on the grounds provided in Article 22(2);
 - any "interested person" may request a decision on the recognition or non-recognition of a measure taken in another Contracting State, ³⁷ even if the interested person is located outside the requested State;
 - the procedure for the declaration of enforceability or registration of measures of protection must be "simple and rapid";³⁸
 - enforcement of a measure takes place in accordance with the law of the requested State to the extent provided by such law.³⁹
- Examine any existing laws outside the Convention that apply to the recognition, declaration of enforceability or registration for enforcement of foreign measures of protection taken by another State and consider how these laws relate to the Convention.

Chapter V | Co-operation

a) Central Authorities

Central Authorities play an important role in the effective operation of the Convention. They should be established and managed to provide a point of contact between Contracting States, and provide and facilitate services related to the Convention.

- □ When planning to establish a Central Authority, consider:
 - Which authority is best placed to perform the functions of a Central Authority. This will most likely be an authority with responsibilities that are closely related to the subject matter of the Convention. The Central Authority should also be in a position to promote co-operation amongst the national authorities responsible for the different aspects of protection of adults, as well as to co-operate with other Contracting States. It might be, e.g., a government authority such as a ministry of justice.
 - Whether your State will appoint more than one Central Authority. 40
 - The functions that Central Authorities will perform and the functions that other authorities will perform (See Annex III).

³⁶ Art. 22(1).

³⁷ Art. 23.

³⁸ Art. 25.

³⁹ Art. 27.

⁴⁰ Art. 28(2).

- The measures needed to ensure each authority has the necessary powers and resources to effectively perform their functions under the Convention.
- Whether specific internal procedures are needed to ensure that requests are transmitted and processed efficiently, e.g.;
 - i. communication between Central Authorities, competent authorities and other authorities *within* the State, and
 - ii. communication with authorities in other States.
- Consider how mediation, conciliation or similar means can be used to achieve agreed solutions in situations where the Convention applies,⁴¹ including identifying what services are available to enable and support parties to achieve this.
- □ Consider whether "reasonable charges" will be imposed for the provision of services, noting a general obligation on Contracting States to bear their own costs in applying the Convention. ⁴²

b) Cross-border Placement of Adults

- □ Consider whether implementing measures or amendments to existing legislation are necessary in respect of the cross-border placement of an adult in an establishment or other place where protection can be provided including in another Contracting State.⁴³
- □ Consider which authorities are best placed to:
 - consult on proposed placements;
 - prepare reports on the adult; and
 - receive and transmit requests.
- Consider what safeguards and standards should apply before the Central Authority or other competent authority gives consent to a cross-border placement.
- □ A designation under Article 42 may be necessary (Contracting States may designate the authorities to which requests under Art. 33 are directed).
- ☐ Ensure that communication procedures are implemented within the State and with other Contracting States, to avoid placements being made without the consent of the receiving State.

Chapter VI | General Provisions

Consider whether existing domestic laws are sufficient to protect the confidentiality of information that is gathered or transmitted under the Convention.⁴⁴

⁴² Art. 36.

⁴¹ Art. 31.

⁴³ Art. 33.

⁴⁴ Arts 39 and 40.

- □ If there are existing limitations in your State on the type of information that can be released to third parties, consider whether exceptions could be made for an exchange of information where it would be consistent with the objects of the Convention, *e.g.* where an adult is in need of urgent protection.
- Identify any other international instruments to which your State is a Party which deal with the protection of adults and consider how they will relate to the Convention. If appropriate, consider, together with other Parties to the instruments, whether any declaration is needed to ensure compatibility with the Convention.⁴⁵

⁴⁵ Art. 49.

ANNEX I

Checklist of provisions in the HCCH Convention of 13 January 2000 on the International Protection of Adults that may require changes in domestics laws or procedures.

ARTICLE	Provision	Issue
Article 5	The State of the adult's "habitual residence" has jurisdiction to take measures of protection.	Do authorities have jurisdiction to take measures based on an adult's "habitual residence"?
Articles 6, 10, 11	Contracting States may take certain measures of protection in respect of an adult that is not habitually resident but is present in the State.	Do authorities have jurisdiction to take measures of protection when an adult is present in the State but not habitually resident? Can authorities take measures of protection under Article 11 that are provisional and limited in territorial effect?
Article 7	Contracting States may take measures of protection in respect of an adult who is a national.	Are procedures in place to facilitate the communication between the authorities of a Contracting State of which the adult is a national and authorities having jurisdiction under Articles 5, 6(2) or 8 with regard to measures taken or decisions that no measures be taken?
Article 8	Jurisdiction may be transferred between authorities of Contracting States once certain conditions are fulfilled.	Can authorities assume or transfer jurisdiction in accordance with the Convention? Are procedures in place to facilitate the transfer of jurisdiction?
Article 15	The Convention provides for the law applicable to powers of representation.	Can powers of representation which have been granted by an adult, either under an agreement or by a unilateral act, be given force of law in your State in accordance with domestic law or foreign law?
Article 22	Measures of protection shall be recognised in all Contracting States "by operation of law".	Are measures of protection taken in another Contracting State recognised in your State by operation of law, <i>i.e.</i> a measure will be recognised without the need to take proceedings?

Article 23	Any "interested person" may request a decision on the recognition or non-recognition of a measure taken in another Contracting State.	Can an interested person seek the recognition or non-recognition of a measure of protection?
Article 25	The declaration of enforceability or registration of measures of protection shall be "a simple and rapid procedure".	Are procedures for registration of measure of protection "simple and rapid"?
Articles 29 – 37	Co-operation under the Convention.	Does each authority have the necessary powers and resources to effectively perform their functions under the Convention?

ANNEX II

Information to be communicated to the depositary or the Permanent Bureau by States party to the HCCH Convention of 13 January 2000 on the International Protection of Adults.

Information which Contracting States must provide directly to the Permanent Bureau of the $HCCH^{46}$	
Article 28	Contracting States shall designate a Central Authority to discharge the duties which are imposed by the Convention on such authorities. As a matter of priority, contact details of Central Authorities and the language(s) of communication should be communicated to the Permanent Bureau.
	Federal States, States with more than one system of law or States having autonomous territorial units shall be free to appoint more than one Central Authority.
	Where a State has appointed more than one Central Authority, the State shall designate the Central Authority to which any communication may be addressed for transmission to the appropriate Central Authority within that State.
Article 42	Contracting States may designate authorities where requests under Article 8 and 33 are to be addressed.

IT IS RECOMMENDED THAT THE FOLLOWING INFORMATION BE COMMUNICATED TO THE PERMANENT BUREAU	
Article 38	Each Contracting State shall designate authorities to issue certificates under Article 38. The contact details and language(s) of communication of the designated authorities should be communicated to the Permanent Bureau.

NOTIFICATIONS TO BE COMMUNICATED TO THE DEPOSITARY ⁴⁷	
Article 53(2)	Instruments of ratification, acceptance and approval.
Article 54(2)	Instrument of accession.
Article 54(3)	Objections to accession, to be made within six months after the receipt of the notification of accession.
Article 58(2)	A Contracting State may denounce the Convention by notification to the depositary.

⁴⁶ Art. 43.

⁴⁷ Ministry of Foreign Affairs of the Kingdom of the Netherlands (Art. 53(2)).

DECLARATIONS	DECLARATIONS WHICH MAY BE MADE AND MUST BE COMMUNICATED TO THE DEPOSITARY	
Article 43(2)	Contracting States may declare authorities where requests under Article 32(1) are to be addressed.	
Article 49(1)	The Convention does not affect any other international instrument to which Contracting States are Parties and which contain provisions on matters governed by this Convention, unless a contrary declaration is made by the States party to such instrument.	
Article 55	Where a State has two or more territorial units in which different systems of law are applicable, it may declare that the Convention shall extend to all its territorial units or only to one or more of them. The declaration may be modified at any time.	

Information to be provided to the Depositary regarding agreements between Contracting States	
Article 37	Contracting States may enter into agreements with other Contracting States with a view to improving the operation of the Convention. A copy of any such agreement shall be transmitted to the depositary of the Convention.

RESERVATIONS WHICH MAY BE MADE AND MUST BE COMMUNICATED TO THE DEPOSITARY ⁴⁸	
Article 51(2)	Contracting States may make a reservation objecting to the use of either French or English, but not both.
Article 56(2)	Any State may at any time withdraw the reservation it has made. The withdrawal shall be notified to the depositary.

⁴⁸ Art. 56(1).

ANNEX III

Functions of Central Authorities and other authorities under the HCCH Convention of 13 January 2000 on the International Protection of Adults.

DIRECT OBLIGA	DIRECT OBLIGATIONS OF CENTRAL AUTHORITIES	
Article 29(1)	Central Authorities shall co-operate with each other and promote co-operation amongst the competent authorities in their State.	
Article 29(2)	Central Authorities shall take appropriate steps to provide information as to the laws of, and services available in, their State relating to the protection of adults.	

FUNCTIONS WI	FUNCTIONS WHERE CONTRACTING STATES MAY DESIGNATE SPECIFIC AUTHORITIES TO WHOM REQUESTS BE DIRECTED ⁴⁹	
Article 8	An authority for requests to transfer jurisdiction: the authorities of a Contracting State can, on their own motion or on application by the authority of another Contracting State, request the authorities of a Contracting State to assume jurisdiction in a particular case.	
Article 33	An authority for requests regarding cross-border placement: the authorities of a Contracting State contemplating the placement of the adult in another Contracting State shall first consult with the Central Authority or other competent authority of the latter State. The requesting State shall transmit a report on the adult together with the reasons for the proposed placement.	

OTHER FUNCTIONS WHICH MAY BE PERFORMED BY CENTRAL AUTHORITIES, COMPETENT AUTHORITIES OR OTHER PUBLIC AUTHORITIES ⁵⁰	
Articles 22, 23	Receipt and transmittal of requests related to the recognition or non-recognition of measures.
Article 25	Declaration of enforceability or registration for enforcement of measures of protection taken in another Contracting State.
Article 27	Enforcement of measures of protection.
Article 30 a)	Facilitation of communications between competent authorities.

⁴⁹ Art. 42.

⁵⁰ *E.g.* government agencies, courts, administrative authorities / tribunals, social welfare services, health professionals, counselling services, police services, mediation professionals. States should ensure that each authority has the necessary powers and resources to effectively perform their functions under the Convention. Procedures may also be necessary to ensure that authorities are aware of the responsibilities and functions performed by different authorities in the State.

Article 30 b)	Assistance, on request, in discovering the whereabouts of an adult where it appears that the adult may be present and in need of protection within the territory of the requested State.
Article 31	Facilitation of the use of mediation, conciliation or similar means to achieve agreed solutions in situations to which the Convention applies.
Article 32(1)	Receipt and transmittal of requests for information relevant to the protection of the adult. Contracting States may declare requests under Article 32(1) are communicated only through the Central Authority. 51
Article 32(3)	Assistance in the implementation of measures of protection taken in another State.
Article 34	Communication, in cases where the adult is exposed to a serious danger, with the authorities of that other State about the danger involved and the measures taken or under consideration.
Article 38(3)	Drawing up of a certificate under Article 38(1) to confirm the power of representation of the person entrusted with protection of the adult's person or property.

⁵¹ Art. 32(2).

ANNEX IV

Available resources from States that may be of assistance to other States.