# **Child Protection Case Management Forms – Summary Guidance**

1. **INTRODUCTION**

Appropriate documentation by caseworkers facilitates effective and accountable case management. Documentation is the process of collecting and storing information specific to individual children and their families, including both information that the child and family provide directly as well as any information collected indirectly. Case Management Forms are essential for gathering and documenting information as part of the case management process by ensuring consistency in assessments and decisions. They also support monitoring and supervision. This document offers guidance for using each form effectively to support quality child protection case management.

1. **PURPOSE**

These Standard Child Protection Case Management Forms in Humanitarian Settings have been updated in 2024 under the [Alliance for Child Protection in Humanitarian Action](https://alliancecpha.org/en/child-protection-hub/unaccompanied-and-separated-children-task-force) by the [Global Case Management Task Force](https://alliancecpha.org/en/child-protection-hub/case-management-task-force).

The purpose of these forms is both to:

1. **facilitate caseworkers in their casework** at each step of the case management process.
2. **facilitate trend analysis of data collected** to further inform programming, advocacy and policy development at the national, regional and global levels.

More specifically, the standard set of forms aim to:

* **Provide a template of standard child protection case management forms** which can be immediately deployed in humanitarian settings.
* **Standardize child protection case management data collection**, both within a particular context and across different contexts.
* **Facilitate information sharing** (in accordance with the information sharing protocols adopted in-context and general data protection principles) between service providers with data protection to address the child’s needs, ensure her/his protection and promote her/his wellbeing.
* **Strengthen the overall quality of case management** by promoting good case management practice at each step of the case management process.

1. **OVERVIEW**
2. **FORM GROUPS**

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| **Core Forms** | **Supplementary Forms** | **UASC and FTR Forms** | **UNHCR FORMS** | **Supporting Forms** |
| These forms should be used for all child protection cases where the case management process if fully implemented | These forms are used to completed additional steps as needed, for example referrals, case conferences and case transfers. | These forms are used when working with UASC and/ or working on FTR. They are based on the vulnerabilities of the specific child. | These forms are.... | These forms include tools to support those using paper information management systems organize their documentation practices |

1. **FIELD TYPES (within the Forms)**

* **Optional fields** may be kept or removed based on the situation, these are reflected in italic and brackets. For example, ***(****Child’s ethnic affiliation****)****.*
* **Sensitive fields** are always optional and are indicated by: *Optional and Sensitive.*
* **There are both closed-question fields with pre-selected options** to choose from, **as well as open-ended (i.e. ‘free text’) questions.** This distinction is made based on:
  + what information is needed for the use of the caseworker only,
  + and what information is needed also for aggregate trend analysis and reporting as well.

In general, the latter is captured through closed-question fields while the former is captured through open-ended questions which provide the opportunity for more detailed narrative by the caseworker, encourage critical thinking on the side of the caseworker, and promote the caseworker to ‘drive’ the case management process (with the child and family) instead of being driven by the questions in the forms.

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| IMPORTANT  There are fields which it is recommended are no modified, there are reflected in the Child Protection Data Categorization Guidance [here.](https://alliancecpha.org/en/technical-materials/inter-agency-guidance-child-protection-case-management-data-categorisation) The data points and fields listed here should not be modified, this will allow for a standard way of analyzing and understanding programming across contexts. The Guidance also provides definitions and has been developed to ensure there is not overlap in the data points. It is therefore important to ensure that any additional data point aligns appropriately. This is has also informed the related case management monitoring indicators and related guidance which can be found [here.](https://alliancecpha.org/en/m-and-e-toolkit-child-protection-case-management) |

* In addition, some fields include text in *small italic font* which provides guidance around the type of information to be recorded and has been developed to support the caseworker in filling out the form.

## **Core Forms:**

**1A Consent and Assent Form**

**Purpose**: Document consent or assent for:

* participation in the case management process;
* permission for collection and storage of personal data about their case and to share non-identifiable aggregate-level information for reporting purposes;
* permission to share information with other service providers who can help the child and family meet their needs (i.e. during case referrals and case transfers).

**When to complete**: At the start of the case management process. It should be completed after providing information on case management to the child and their family.

**Responsible to complete**: Caseworker; child, parent or caregivers (if appropriate and possible) should review and sign.

**1B Registration form**

**Purpose**: Document basic details about the child, contact information, parental details, and initial risk level, including any urgent needs.

**When to complete**: At the start of the case management process and after obtaining consent from parents or caregivers (if appropriate and possible) and securing assent or consent from the child based on age, abilities, and maturity.

**Responsible to complete**: Caseworker.

**2 Assessment Form**

**Purpose:** Document all necessary information to understand a child's situation, assess their protection risks, protective factors and identify their support needs. This helps make decisions in the child's best interests and lays the foundation for creating a case plan.

**When to complete**: From the first contact during identification and registration. Caseworkers can start to take notes on the form with basic information from this first meeting and continue to gather information through multiple contacts. The assessment form remains relevant across different steps and new info can be added any time.

**Responsible to complete**: Caseworker; once completed, this form needs to be approved by the supervisor.

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| **Note:** In some rapid onset situations there may be no time to complete the assessment form before starting the case plan and implementation. Whilst this is not a step that should be skipped there is recognition that this may be come at a later point in time. |

**3-4 Case plan, implementation and follow-up Form**

**Purpose:** Document:

* the objectives and agreed upon interventions needed to ensure the child’s protection, ensure her/his care and wellbeing is supported, and address the child’s needs (as identified in the registration and assessment phases);
* information on services provided to the child and/or family;
* information on the follow-up with the purpose to confirm that specific actions have been taken and services are provided (or to identify and address barriers in accessing services) and to monitor the child’s situation and case plan implementation.

**When to complete:** Within a set number of days following the assessment the plan should be completed, these are determined by the risk level (see table below) of the case or after a follow-up or case review identifies the need to revise the case plan. The follow-up takes place at any point during the case management process as should be determined by the risk level. After the case plan has been created, several follow ups should take place; how many and how often depends on the risk level (see table below). Services should be marked as the case plan and follow-up evolve.

**Responsible to complete**: Caseworker; once completed, the case plan section needs to be approved by the supervisor. The follow-up is led by the case worker alone as well as the documentation of services provided.

**5 Review Form**

**Purpose**: Document information discussed during the review meeting, including case progress, potential closure, or the need to revisit other steps like assessment or case planning.

**When to complete**: After each case review meeting which; once the case plan implementation begins, timing depends on the case's risk level (see table below) and evolution of the case management process.

**Responsible to complete**: Caseworker; once completed, this form needs to be approved by the supervisor.

**6 Case closure Form**

**Purpose**: Document case closure details and gather necessary information for final follow-up and feedback.

**When to complete**: Once case closure criteria are met (if possible) and not before a set period during which several follow-up visits took place to ensure the child’s sustained wellbeing.

**Responsible to complete**: Caseworker with approval from the supervisor completes the forms after also getting agreement from child and parents or caregiver.

Note: for the recommended timeframe on the steps per risk level please refer to the [Child Protection Case Management Guidelines, Part 2.1.1, page 42.](https://alliancecpha.org/sites/default/files/technical/attachments/cm_guidelines_eng_.pdf)  See also the table below:

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## **2. SUPPLEMENTARY FORMS**

**S1 Case Referral Form**

**Purpose:** Document relevant information for service providers where the referral is made to and for them to be able to provide the service needed.

**When to complete:** Whenever a referral is made for the child and/or family.

**Responsible to complete**: Caseworker completes in line with assent and consent given by the child and their parent or caregivers (if appropriate and possible)

**Note:** In some context an inter-sectoral inter-agency referral form may be utilize instead, it is important to comply no matter the form with relevant data protection measures.

**S2 Case Conference Form**

**Purpose:** To present to the case conference the key information on a high-risk complex case that requires a multi-disciplinary/inter-agency case plan, and to record information from the case conference on discussions held on multiple service options and the decisions/progress made in the best interests of the child.

**When to complete:** Whenever a case conference is held.

**Responsible to complete**:

Caseworker; supervisor reviews as well as other participants to the case conference.

**S3 Case Transfer Form**

**Purpose:** Document information on the transfer of a case to another case management agency.

**When to complete:** Whenever the entire case, and therefore the responsibility of the management of the case, is transferred to another case management agency.

**Responsible to complete**: Caseworker; once completed, this form needs to be approved by the supervisor.

## **3. UASC and FTR Forms**

**Rapid Registration Excel Sheet**

**Purpose**: Document top line information for UASC to ensure registration.

**When to complete**: Filled out immediately after (if possible) completing the Assent and Consent Form.

**Responsible to complete**: Caseworker.

**1C UASC Form**

**Purpose**: Document specific information for UASC to facilitate an appropriate response, such as alternative care, family contact, tracing, verification, and reunification.

**When to complete**: Filled out immediately after (if possible) completing the case registration form for UASC requiring alternative care or those needing tracing. This form is an attachment to the 1B. Registration form, specifically for UASC.

**Responsible to complete**: Caseworker.

**Note:** Depending on case management actor’s mandate and involvement of other actors, not all actions may be completed by the caseworker completing the form, however it is important for the caseworker who has been working on the case to document relevant information to ensure a complete case file.

**FTR1 Implementation of FTR Form**

**Purpose**: Document a detailed timeline and history of all tracing actions taken and outcomes.

**When to complete**: Ongoing during tracing process and immediately after each action.

**Responsible to complete**: Caseworker doing/ and or coordinating FTR actions.

**FTR2 Adult Verification Form**

**Purpose**: Document information confirming the relationship *of the adult* *with the child* and the adult’s willingness for reunification and care for the child.

**When to complete**: After successful tracing, before reunification.

**Responsible to complete**: Caseworker doing/ and or coordinating FTR actions; once completed, this form needs to be approved by the supervisor.

**FTR3 Child Verification Form**

**Purpose**: Document information confirming the process of establishing the validity of the relationship between the child and the adult, and the child’s willingness for reunification.

**When to complete**: After successful tracing, before reunification.

**Responsible to complete**: Caseworker doing/ and or coordinating FTR actions; once completed, this form needs to be approved by the supervisor.

**FTR4 Reunification Form**

**Purpose**: Document information on the process of reunification and support needs post reunification as well as confirming parent or caregivers intent to care for the child.

**When to complete**: When the child has been reunified with her/his primary, legal or customary caregiver or with another family member

**Responsible to complete**: Caseworker doing/ and or coordinating FTR actions; once completed, this form needs to be approved by the supervisor.

**FTR5 Missing Child Form**

**Purpose**: Document information on a child that is missing for tracing, verification and reunification purposes; this information may be provided by an adult or any other children.

**When to complete**: During reunification.

**Responsible to complete**: Caseworker documenting the information (note this may not be the caseworker who may then manage any child protection case management/ FTR work for the specific child).

## **4. UNHCR FORMS**

**UNHCR BIA Form**

**UNHCR BID Form**

**Purpose:** Document information for and from the formal procedure in identifying and determining the most appropriate decision for the case in line with the best interests of the child.

**When to complete:** In UNHCR operational settings and in coordination with UNHCR, a BID should be conducted when decisions with fundamental and long-term impact on the child are to be taken regarding:

* Identifying durable solutions and complementary pathways for unaccompanied children (and separated children with an additional significant risk factor or protection concern);
* Determining the most appropriate options for children at risk in exceptional situations (e.g. family reunification and/or temporary care for unaccompanied and separated children)
* Possible separation of a child from parents.

**Responsible to complete**: Caseworker with the approval from the supervisor.

**Note:** For UNCHR forms see also the [https://www.unhcr.org/what-we-do/reports-and-publications/handbooks-and-toolkits/bip-toolbox/forms](file:///Users/kyraloat/Desktop/Global%20Forms%20Final/BIP%20Toolboox.)

## **5. SUPPORTING TOOLS**

**T1 Case File Cover Sheet**

**Purpose**: To provide an overview of the contents of the case file; this form should be placed at the front of each case file.

**When to complete**: Ongoing basis throughout the case management process and as soon as possible after an action is taken or relevant issues relating to the child arise.

**Responsible to complete**: Caseworker.

**T2 Case Notes From**

**Purpose**: To provide a detailed timeline and history on all actions taken by the caseworker on the case and to record information not captured in the case management forms.

**When to complete**: Ongoing basis throughout the case management process and as soon as possible after an action is taken or relevant issues relating to the child arise.

**Responsible to complete**: Caseworker.

**T3 Case File Checklist**

**Purpose**: To support administrative/accountability function and identify any learning or development.

**When to complete**: This form should be completed for 2-5 case files for each caseworker monthly.

**Responsible to complete**: Supervisor.