

Child Protection Case Management Forms – Summary Guidance

November 2024

I. 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 in child protection cases, 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.

II. 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](#) by the [Global 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) between service providers on a 'need-to-know basis and 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.

III. OVERVIEW

A. FORM GROUPS

Core Forms	Supplementary Forms	UASC and FTR Forms	UNHCR Forms	Supporting Tools
These forms should be used for all child protection cases where the case management process is fully implemented	These forms are used to complete 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 are forms specific to the implementation of UNHCR Best Interests Procedure , a specific form of child protection case management for refugee and asylum seeking children entitled to international protection, as per the 1951 Convention on the Status of Refugees.	These forms include tools to support those using paper information management systems organize their documentation practices

B. 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.

- There is **pink highlighted text** showing where it is recommended to not make changes to drop down to ensure standardization across contexts
- 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.

Do's and Don'ts:

- **When collecting information, clarify confidentiality and its limitations:** Let children and parents or caregivers know that certain details they share may need to be shared further to ensure their safety. Based on your context, provide info on specific forms or fields where this applies, following mandatory reporting procedures.
- **Do not read from the forms.** Use the forms as tools for recording and documenting information. They are not scripts. The forms contain sections and fields to note down information but don't dictate specific questions. Adapt your communication and information gathering methods based on the child's age, stage of development, and cultural factors
- **You don't have to fill out forms during meetings.** Depending on the situation, it might be better to complete them after the meeting to ensure focused and thoughtful interactions with children. This is especially important during assessments and follow-up visits.
- **Always put physical and emotional safety first, even if it means delaying the completion of form.** Some forms include fields which may prompt the sharing of sensitive information or remembering of distressing incidents or events. If a child gets upset during a meeting, show empathy and offer basic psychosocial support. Don't pressure them to answer questions or discuss anything they're not comfortable with. Consider the appropriateness of gathering information from parents, caregivers, or service providers to minimize the need for children to repeatedly recount their experiences.
- **Know when to use each form:** Each form records information relevant to a specific step in case management. However, child protection case management isn't always a linear process. For example, in the first meeting with the child and their parents or caregivers, relevant information shared can be noted on the assessment form right away. This can save time and prevent the need for repetition.

1. 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 and Rapid Assessment 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 Comprehensive 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.

Note: In some rapid onset situations there may be no time to complete the Detailed Assessment form before starting the case plan and implementation. Whilst this is not a step that should be skipped there is recognition that more detailed or comprehensive may be done 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. See also the table below:

STEP	HIGH RISK	MEDIUM RISK	LOW RISK
1. Identification and registration	Register immediately (within 24h)	Register within 3 days after referral	Register within 1 week after referral
2. Assessment	Start immediately after registration, before leaving the child	Within 1 week after registration	Within 2 weeks after registration
3. Case plan	Within 3 days after assessment	Within 1 week after assessment	Within 2 weeks after assessment
4. Implementation	Undertake immediate action	Undertake action within 1 week	Undertake action within 2 weeks
5. Follow up and review	Follow up twice a week	Follow up every 2 weeks	Follow up every 3-4 weeks
6. Case closure	Close the case only when all child protection risks have been eliminated	Close the case only when all child protection risks have been eliminated	Close the case only when all child protection risks have been eliminated

Note: in certain contexts, due to high numbers of cases, low-risk cases may not require a full assessment and follow-up actions.

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 utilized instead, regardless of the type of form that is being used, data protection measures must be adhered to at all times.

S2 Case Conference Form

Purpose: Document information for and from the case conference 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 adult's relationship *with the child* and the adult's willingness for reunification and ability to provide 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 child.

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

Important: Applicable to Refugee and Asylum-seeking Children, and Children of Concern to UNHCR. Please see the [UNHCR Best Interests Procedure \(BIP\) Guidelines](#), and [BIP Toolbox](#) and handy [Checklists](#) to decide when a child requires BIP.

UNHCR BIA Form (short and comprehensive)

Purpose: Document key information for refugee or asylum-seeking child's child protection needs may refer to as a child protection assessment and should be integrated and/or utilized if existing assessment tools do not cover all elements of the Best Interest Assessment (BIA) form. The assessment can also result in a recommendation for a Best Interests Determination (BID).

When to complete: BIA should be carried out as soon as possible after a refugee or asylum-seeking child at heightened risk has been identified and found to need BIP.

Responsible to complete: Case worker, case manager/supervisor, UNHCR Child Protection Officer/Focal Person depending on operational set-up.

UNHCR BID Form

Purpose: Document information key information required for refugee and asylum-seeking children who require a BID process. so is required for particularly important and life-changing decisions for refugee and asylum-seeking children. This is used where UNHCR is responsible for BIP in the absence of national best interests determination processes for refugee and asylum-seeking children.

When to complete: This should be completed when there is a need for 1.) Durable solutions and complementary pathways for unaccompanied children who are not being reunified with their parents or former legal or customary caregivers, and for separated children where there is an additional significant risk factor or protection concern. 2.) When identifying the most appropriate option for children at risk in exceptional situations, including family reunification and temporary care and for other children at risk in

exceptional situation on a case-by-case or context-specific basis. 3.) Possible separation of a child from parents against their will or in situations of unresolved custody issues. Importantly, when a durable solution for a child, including via a complementary pathway, is pursued by State authorities in the absence of any involvement by UNHCR, no BID is required by UNHCR. **Note:** In some instances, a BID might be deemed necessary upon identification, or before a BIA. Importantly, whenever a BID is initiated, it must be fully integrated into the implementation of individual child protection case management, such as the usual steps of case planning and follow up. Steps more specific to BIP include preparing the BID Report, convening the panel, panel decision BIP.

Responsible to complete: In the context of the BID process, a caseworker is a specific function. The strict procedural safeguards requires that the BID report is reviewed by the BID Reviewing Officer and subsequently presented to the BID panel (see Chapters 5.1 and 5.2 of the BIP Guidelines).

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 Form

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.