

Guidelines for Juvenile Information Sharing (JIS)

– Toolkit – Snapshot of the Guidelines for JIS



Information Sharing to Prevent Juvenile Delinquency Project April 2008



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Introduction

The Guidelines for Juvenile Information Sharing (JIS) are research based standards and methods that agencies and communities can adopt for exchanging and protecting appropriate information across juvenile justice and other youth serving agencies. The Guidelines endorse a cross agency information sharing approach that is developed and monitored by a collaborative of multiple agencies and stakeholders; protects personal information; and uses technology to exchange and secure information.

A full description of the Guidelines is provided in the OJJDP Report, “Guidelines for Juvenile Information Sharing”, which explains how the Guidelines were developed and provides a brief discussion of each guideline, references, and glossary of terms.

<http://www.juvenileis.org/pdf/JuvInfoSharing.pdf>.

This **Snapshot** is a tool for members of a JIS Collaborative (juvenile justice, schools, child welfare, other youth serving agencies, families, and policy makers) who want a simple listing of the Guidelines for use as a reference in planning meetings; to introduce new members to JIS development; as a checklist for assessing progress in developing Juvenile Information Sharing.

How to use the *Snapshot*

The *Snapshot* is available as a PDF file and can be downloaded for printing or saved to your computer. Links to each chapter are accessible in the Table of Contents.

Guidelines are presented in four Chapters:

1. Establishing a JIS Collaborative
2. Developing JIS Policies, Procedures and Practices
3. Implementing JIS
4. Promoting Public Awareness

The Guidelines are listed under each chapter, followed by the checklist.

Snapshot of the Guidelines for Juvenile Information Sharing

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Give us your feedback!

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Chapter 1 – Guidelines for Establishing a JIS Collaborative

Membership and Elements

1. Establish a JIS collaborative that includes key decision makers from the following areas who have the authority to make decisions on behalf of their agency/organization.

- Child welfare
- Community services
- Education
- Juvenile justice and corrections
- Law enforcement
- Mental health
- Primary health care
- Substance abuse
- Technology

2. Engage youth and family representatives in the JIS collaborative.

3. Consider other possible stakeholders in the JIS collaborative, such as:

- Businesses
- Elected officials
- Faith-based organizations
- Legal advisors, e.g., General Counsels, Prosecutors, Defense Attorneys
- Other collaborations serving youth
- Other youth-serving agencies and organizations

4. Agree on and institute elements of effective JIS collaboration. For example:

- Broad-based representation
- Commitment

A collaborative arises from the need to solve complex problems. Agencies and individuals participate in a JIS collaborative when they perceive that they can accomplish more by working together than they can on their own.

- Communication and decision making
- Leadership and institutional support
- Mutual benefit
- Process and workflow
- Resources
- Rewards and incentives
- Rules of engagement
- Shared ownership
- Shared vision
- Training
- Trust and respect
- Disclose information on a “need to know” basis to fulfill agency mandates
- How participating agencies will use the data that is shared
- Expected outcomes

Governance and Project Management

5. Establish a governance structure for the planning, implementation, and maintenance of JIS.

6. Designate, or hire, an individual or team to provide centralized project management for the development and implementation of JIS.

7. Develop a planning agreement articulating the purpose and agreed upon actions for the development of JIS.

8. Determine and agree on the purpose(s) for JIS.

Develop a written purpose statement that describes:

- Purposes
- Public policy needs
- Participating agencies’ ability
- Participating agencies’ ability to receive and disclose information on a “need to know” basis to fulfill agency mandates

An effective JIS collaborative relies on key stakeholders instituting evidence-based collaborative principles, appropriate structure, and dedicated project management.

- How participating agencies will use the data that is shared
- Expected outcomes

Chapter 2 – Guidelines for Developing JIS Policies, Procedures, and Practices

Assessment and Analysis

9. Conduct an analysis of information collected by JIS participating agencies, and information necessary for agencies to achieve the JIS purpose(s).
10. Determine JIS information users.
11. Designate technology decision makers from each JIS participating agency to participate in JIS development
12. Conduct a technology review of all available modeling tools and methodologies to capture detailed information of the JIS participating agencies
13. Identify data exchange points and the information or data that is commonly exchanged between the members of the JIS collaborative.
14. Conduct a legal analysis to identify private information able to be disclosed and accessed by certain JIS participating agencies.

Assessment and analysis of legal authority to share information and existing technology infrastructure is necessary to provide a foundation for strategic planning to achieve JIS vision, mission, goals and objectives.

15. Assess the impact on privacy and security when deciding what information may be shared through JIS.

16. Assess the enterprise architecture of the JIS participating agencies' information technology systems.

Strategic Planning

17. Develop and agree on a shared vision, mission, goals, objectives and outcomes for JIS.

18. Formulate a strategic plan to achieve JIS.

19. Identify and direct staff and funding resources used for the JIS collaborative.

20. Develop the technical business requirements for including all functions, business processes, and improvements to operations.

21. Include technology representation in all discussions regarding legal issues and privacy concerns, and include security and privacy concerns in all technical planning and development for JIS.



Policies, Procedures and Practice

22. a. Agree that the information to be disclosed by each JIS participating agency is based on legal authority and/or an informed consent to release information by the youth and/or the youth's parent or legal guardian.

b. Agree that JIS participating agencies will not, without good cause, refuse to disclose the information necessary to achieve the JIS purposes.

23. Agree that JIS participating agencies will only access information as permitted by legal authority.

24. Agree that JIS participating agencies access and use only the information that is necessary to achieve JIS purposes and to support defined activities.

25. Prohibit re-disclosure of personal information accessed through JIS unless required or allowed. Also, agree on the consequences for improper re-disclosure to third parties.

26. Agree on a common process to obtain informed consent to release information that provides adequate, verbal and written notice that is linguistically appropriate to the youth, parent(s) and legal guardian regarding:

- JIS purpose(s)
- The reason(s) for disclosing the information
- The way(s) that the disclosed information will be used

An effective JIS provides authorized JIS participating agencies with timely and accurate information on a “need to know” basis, protects confidentiality of private information, and facilitates the exchange of information through integration and interoperability.

- Any limitations on the disclosure and/or use of the information
- Agency practices regarding sharing of non-confidential, as well as confidential information
- The ways youth and/or youth's parent/legal guardian can revoke their consent
- Policies for youth and/or youth's parent/legal guardian to review their information
- Grievance procedures for suspected unauthorized disclosure or use of information
- Penalties for unauthorized disclosure or use of the information.

27. Use an approved form to obtain the written consent of the youth and/or parent(s) or legal guardian to release information that at a minimum includes the following elements:

- Identifies the individual(s) who the information is about
- Identifies the information that will be disclosed
- Identifies the purpose of the disclosure
- Identifies the agencies that will access/receive the information
- States the expiration date of the consent to release information or the circumstances upon which the consent automatically expires, e.g., when a youth is successfully terminated from probation or court supervision
- Describes how a youth, parent(s) or legal guardian can revoke his/her consent
- States the date of consent with the youth, parent(s) or legal guardian's signature
- States that the subject of the information has a right to a copy of the release



28. Provide an option for youth and/or the youth's parent(s) or legal guardian to refuse to consent when consent is required to release their private information to certain or all JIS participating agencies.

29. Develop and agree on common privacy policies that address the disclosure, access, and use of information, and provide a threshold level of confidentiality that all JIS participating agencies agree to meet.

30. Determine common administrative, physical, and technical security safeguards to protect against any reasonably anticipated threats to the integrity of juvenile information and to ensure the confidentiality of private information.

31. Develop and make available privacy and information sharing policies to show the ability of JIS participating agencies to protect the privacy of the youth and family's information.

32. Design procedures to ensure that information that is disclosed by JIS participating agencies is accurate and complete.

33. Develop accessible processes and procedures for youth, parents, and legal guardians to review information collected about them that may be disclosed. Provide them with the procedures and

JIS policies and procedures support the proposed operations and protect private information.

These are guided by legal authority, best available and appropriate technology, and are made available to youth and families.

opportunity to approve and/or amend their information.

34. a. Provide youth, parent(s), or legal guardian with all JIS policies and procedures addressing confidentiality and privacy protection

b. Provide youth, parent(s), or legal guardians with the procedures and opportunity to review and dispute these policies and procedures as well as the JIS participating agency decisions made pursuant to them.

35. Develop a JIS policy framework that establishes or enhances the information sharing standards and guidelines for information management.

36. Develop a policy and procedural methodology for the incorporation of new agencies into JIS.

37. Designate representative(s) from each JIS participating agency who will be responsible for their agency's implementation and compliance with JIS policies and procedures.

38. Enter into a Memorandum of Understanding (MOU) that is signed and endorsed by each JIS participating agency.

JIS is implemented through compliance with established policies, procedures and practice, training and monitoring.

Initial and ongoing quality training prepares and supports the JIS users to maximize the benefits of JIS.

Chapter 3 – Guidelines for Implementing JIS

Implement JIS Policies, Procedures, and Practices

39. Implement JIS policies, procedures and practice.

40. Agree that JIS participating agency managers and staff participate in thorough and ongoing instructional training on JIS policies, procedures, and practice.

Continuous Quality Improvement

41. Determine a set of measurable outcomes for youth, their families, and communities. Youth and families assist in determining these outcomes.

42. Determine performance measures and benchmarks to achieve JIS and agree that JIS participating agencies provide the necessary data for measurement.

43. Conduct periodic assessments of JIS policies and procedures to ensure that new requirements are included within the technological framework of JIS and participating agencies.

44. Reach agreement on JIS participating agencies' responsibilities for auditing user activities involving

Outcomes established by the JIS collaborative are measured by benchmarks and addressed through a continuous improvement strategy that examines if and how the changes in process and procedures are resulting in more effective and improved services for youth and families.

JIS and determine how long audit logs are to be retained.

Chapter 4 – Guidelines for Promoting Public Awareness

45. Approve a general policy of openness about developments, practices, and policies with respect to the management of personal information and data.

46. Agree that JIS collaborative decision-making processes, plans, practices, policies, and evaluation results are open to the public and made available on a timely and predictable basis.

47. Establish a JIS collaborative communications plan and media strategies.

48. Educate the public, including lawmakers and policy makers, about: the purpose of JIS; how private information is protected; how information sharing facilitates improved youth and family well-being; public safety and victims; and, inter-agency collaboration.

JIS affects youth, families, and communities with regard to health, well-being, safety, and privacy.

Educating the public and policy makers about JIS processes, policies, procedures, and impacts is critical to engender trust and support.

Snapshot of the Guidelines for Juvenile Information Sharing

Checklist

Chapter 1	
Guidelines for Establishing a JIS Collaborative	
Guideline	Progress Yes/No
1. Establish a JIS collaborative that includes key decision makers.	
2. Engage youth and family representatives in the JIS collaborative.	
3. Consider other possible stakeholders in the JIS collaborative.	
4. Agree on and institute elements of effective JIS collaboration.	
5. Establish a governance structure for the planning, implementation, and maintenance of JIS.	
6. Designate, or hire, an individual or team that will provide centralized project management for the development and implementation of JIS.	
7. Enter into a JIS planning agreement articulating the purpose and agreed upon actions for the development of JIS.	
8. Determine and agree on the purpose(s) for JIS. Develop a written purpose statement.	

Chapter 2 Guidelines for Developing JIS Policies, Procedures and Practices

Guideline	Progress Yes/No
9. Conduct an analysis of what information is currently collected by JIS participating agencies, and what information is necessary for agencies to achieve the JIS purpose(s).	
10. Determine who needs the information (JIS users).	
11. Designate technology decision makers from each JIS participating agency to participate in JIS development.	
12. Conduct a technology review of all available modeling tools and methodologies to capture detailed information of the JIS participating agencies.	
13. Identify data exchange points and the information or data that is commonly exchanged between the members of the JIS collaborative.	
14. Conduct a legal analysis to identify private information that can be disclosed and accessed by certain JIS participating agencies.	
15. Assess the impact on privacy and security when deciding what information may be shared through JIS.	
16. Assess the enterprise architecture ¹ of the JIS participating agencies' information technology systems.	

¹ **Enterprise Architecture** "is the description of the current and/or future structure and behavior of an organization's processes, information systems, personnel and organizational sub-units, aligned with the organization's core goals and strategic direction." Wikipedia <http://en.wikipedia.org>

Chapter 2 (Continued)	
Guidelines for Developing JIS Policies, Procedures and Practices	
Guideline	Progress Yes / No
17. Develop and agree on a shared vision, mission, goals, objectives and outcomes for JIS.	
18. Formulate a strategic plan to achieve JIS.	
19. Identify and direct staff and funding resources that will be used for the JIS collaborative.	
20. Develop the technical business requirements for JIS to include all functions, business processes, and improvements to operations for information sharing between the JIS participating agencies.	
21. Include technology representation in all discussions regarding legal issues and privacy concerns, and include security and privacy concerns in all technical planning and development for JIS.	
22. a. Agree that the information to be disclosed by each JIS participating agency is based on legal authority and/or an informed consent to release information by the youth and/or the youth's parent or legal guardian. b. Agree that JIS participating agencies will not, without good cause, refuse to disclose the information necessary to achieve the JIS purpose.	
23. Agree that JIS participating agencies will only access information as permitted by legal authority.	

Chapter 2 (Continued)	
Guidelines for Developing JIS Policies, Procedures and Practices	
Guideline	Progress Yes / No
24. Agree that JIS participating agencies access and use only the information that is necessary to achieve JIS purpose(s) and to support defined activities.	
25. Prohibit re-disclosure of personal information accessed through JIS unless required or allowed. Also agree on the consequences for improper re-disclosure to third parties.	
26. Agree on a common process to obtain informed consent to release information.	
27. Use an approved form to obtain the written consent of the youth and/or parent(s) or legal guardian to release information.	
28. Provide an option for youth and/or the youth's parent(s) or legal guardian to refuse to consent when consent is required to release their private information to certain or all JIS participating agencies.	
29. Develop and agree on common privacy policies that address the disclosure, access, and use of information, and provide a threshold level of confidentiality that all JIS participating agencies agree to meet.	
30. Determine common administrative, physical, and technical security safeguards to protect against any reasonably anticipated threats to the integrity of juvenile information and to ensure the confidentiality of private information.	
32. Design procedures to ensure that information that is disclosed by JIS participating agencies is accurate and complete.	

Chapter 2 (Continued)	
Guidelines for Developing JIS Policies, Procedures and Practices	
Guideline	Progress Yes / No
33. Develop accessible processes and procedures for youth, parents, and legal guardians to review information that is collected about them that may be disclosed. Provide them with the procedures and opportunity to approve and/or amend their information.	
34. a. Provide youth, parent(s), and legal guardians the JIS policies and procedures addressing confidentiality and privacy protection. b. Provide youth, parent(s), and legal guardians with the procedures and opportunity to review and dispute these policies and procedures as well as the JIS participating agency decisions that result from them.	
35. Develop a JIS policy framework that establishes or enhances the information sharing standards and guidelines for information management.	
36. Develop a policy and procedural methodology for the incorporation of new agencies into JIS.	
37. Designate representative(s) from each JIS participating agency who will be responsible for their agency's implementation and compliance with JIS policies and procedures.	

Chapter 3
Guidelines for Implementing JIS

Guideline	Progress Yes / No
39. Implement JIS policies, procedures and practice.	
40. Agree that JIS participating agency managers and staff participate in thorough and ongoing instructional training on JIS policies, procedures, and practice.	
41. Determine a set of measurable outcomes for youth, their families, and communities. Youth and families assist in determining these outcomes.	
42. Determine performance measures and benchmarks to achieve JIS and agree that JIS participating agencies provide the necessary data for measurement.	
43. Conduct periodic assessments of JIS policies and procedures to ensure that new requirements are included within the technological framework of the JIS and participating agencies.	
44. Reach agreement on JIS participating agencies' responsibilities for auditing user activities involving JIS and determine how long audit logs are to be retained.	

Chapter 4
Guidelines for Promoting Public Awareness

Guideline	Progress Yes / No
45. Approve a general policy of openness about developments, practices, and policies with respect to the management of personal information and data.	
46. Agree that JIS collaborative decision-making processes, plans, practices, policies, and evaluation results are open to the public and made available on a timely and predictable basis.	
47. Establish a JIS collaborative communications plan and media strategies.	
48. Educate the public, including lawmakers and policy makers, about the purpose of JIS: how private information is protected; how information sharing facilitates improved youth and family well-being, public safety and victims; and, inter-agency collaboration.	