Guidebook for Juvenile Justice & Child Welfare System Coordination and Integration

A Framework for Improved Outcomes
3rd Edition

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with Jessica K. Heldman
Robert F. Kennedy Children's Action Corps

ModelsforChange
Systems Reform in Juvenile Justice

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For additional information, please visit:
Robert F. Kennedy National Resource Center for Juvenile Justice (www.rfknrcjj.org)
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The preparation of this document was supported by John D. and Catherine T. MacArthur Foundation.

Robert F. Kennedy
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Models for Change

All young people should have the opportunity to grow up with a good education, get a job and participate in their communities. Creating more fair and effective juvenile justice systems that support learning and growth and promote accountability can ensure that every young person grows up to be a healthy, productive member of society.

Models for Change: Systems Reform in Juvenile Justice, a MacArthur Foundation initiative, began by working comprehensively on juvenile justice reform in four states, and then by concentrating on issues of mental health, juvenile indigent defense, and racial and ethnic disparities in 16 states. Through collaboration with the Substance Abuse and Mental Health Services Administration (SAMHSA) and the Office of Juvenile Justice and Delinquency Prevention (OJJDP), *Models for Change* expanded its reach and is now working to replicate and disseminate successful models of juvenile justice reform in 31 states.

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Acknowledgements

This publication would not have been possible without the generous and ongoing support of the John D. and Catherine T. MacArthur Foundation. Its support, guided by the leadership of Laurie Garduque, Director for Justice Reform, has been extraordinary. The MacArthur Foundation's commitment to the improvement and reform of juvenile justice systems nationwide through the *Models for Change: Systems Reform in Juvenile Justice* initiative, coupled with its support of a distinguished group of national grantees to assist in that endeavor, has enabled outstanding momentum to help improve the lives of children, youth, and families across the country.

A special debt of gratitude is also warranted for the many state and local jurisdictions that have participated in the learning and information exchange process with the Child Welfare League of America (CWLA) and the Robert F. Kennedy Children's Action Corps contributing to the development of the material contained in this guidebook. Through national conferences convened in New Orleans, LA, Miami, FL, Indianapolis, IN and San Francisco, CA; statewide symposia in Arizona, Florida, Georgia, Indiana, Michigan, Colorado, Pennsylvania, Virginia, and Illinois; and regional and local training in King County, WA, Baltimore, MD, Los Angeles County, CA, and St. Croix, US Virgin Islands, the participants provided a rich atmosphere for identifying the barriers and the program, practice, and system solutions that have informed the development of this guidebook. Most recently, those participants were joined by four additional jurisdictions that were provided technical assistance for their dual status initiatives and supported by a partnership between the MacArthur Foundation and the Office of Juvenile Justice and Delinquency Prevention (OJJDP). The four sites are Hampden County, MA, Newton County, GA, Outagamie County, WI, and Santa Clara County, CA.

Several consultants, CWLA staff, and RFK Children's Action Corps staff offered their expertise in the development of the work that contributed to this guidebook's material in its multiple editions over several years. Special thanks are warranted for Christine James Brown, CWLA CEO/President, Shay Bilchik, former CWLA CEO/President, and former CWLA employees and consultants: John George, Madelyn Freundlich, Caren Kaplan, Christy Sharp, Emily Shenk, and Dodd White. Thanks, too, for the special editing efforts by Erin Sullivan Sutton, past president of the National Association of Public Child Welfare Administrators (NAPCWA), on this third edition. Formerly of CWLA and now with RFK Children's Action Corps, Sorrel Dilanian, Director of Program Administration at the Robert

F. Kennedy National Resource Center for Juvenile Justice, has effectively guided the publication of this volume along with the Guidebook's authors who also are currently employed at RFK Children's Action Corps within the RFK National Resource Center, all striving to keep this volume relevant to jurisdictions seeking to effectively address dual status youth.

The many talented and dedicated people who have contributed to this guidebook are hopeful that it may be a part of the improved coordination and integration of the juvenile justice and child welfare systems, so that they can more effectively serve the youth and families who populate these critical systems. It is hoped that the guidance will provide real opportunities to effect more positive outcomes for our nation's most valuable resource— our youth and families.

Foreword

The child welfare and juvenile justice systems have historically operated separately, driven by divergent statutory mandates, funding appropriations, mission statements, and service plans that discourage collaboration, coordination, and integration. A credible and growing body of research, however, confirms an undeniable connection between child maltreatment and juvenile delinquency, as well as other negative outcomes in multiple domains.

Through the generous support of an initial grant from the John D. and Catherine T. MacArthur Foundation, the Child Welfare League of America (CWLA) originally established a Juvenile Justice Division in 2000 to support and advance the education of CWLA members and other public and private youth-serving organizations regarding the connections between maltreatment and delinquency and the need for an integrated approach to program development and service delivery. During the next 10 year period, the CWLA Juvenile Justice Division examined existing and new research, explored a wide array of promising approaches (from child abuse and neglect prevention to intervention for the early onset of delinquency to more formal juvenile justice system responses), and gathered information on child welfare and juvenile justice integration and reform, which state and local jurisdictions nationwide have implemented.

In 2004, the MacArthur Foundation launched a comprehensive and collaborative initiative that supported multiple areas of reform in states across all regions of the United States through the *Models for Change*: *Systems Reform in Juvenile Justice* initiative. The *Models for Change* initiative has sought to translate research into fair, effective, and developmentally informed juvenile justice practice and policies. The Foundation's approach to juvenile justice reform is grounded in the core principles of fundamental fairness, developmental differences between youth and adults, individual strengths and needs, youth potential, responsibility, and safety. By supporting state and local reformers in a variety of settings, working on a variety of issue areas, and taking a variety of approaches, *Models for Change* helped to generate a broad and flexible range of replicable system reform models during the past decade. The *Models for Change* initiative made it possible for the work on behalf of maltreated youth entering the juvenile justice system to expand and mature through the experiences of state and local jurisdictions nationwide.

The work, first at CWLA and since 2010 led by the Robert F. Kennedy Children's Action Corps, has reached innumerable individuals involved in the everyday work of the child

welfare and juvenile justice systems, as well as key policymakers and decision makers, and captured their invaluable expertise and observations. This rich engagement with our partners in the field has aided in the development of a framework used to support sustainable strategies, practices and policies for a more coordinated child welfare and juvenile justice system to improve outcomes for multi-system youth. Through this work, youth-serving systems can interrupt the trajectory of juvenile and criminal offending that is the destiny for a disturbing percentage of maltreated children and youth. I want to express my thanks particularly to Christine James Brown, CEO/President of CWLA, for her support of this work over the years, her support of the publication of this third edition, and her continuing involvement as a partner in joint endeavors to improve the lives of America's children.

This third edition of the *Guidebook for Juvenile Justice and Child Welfare System Coordination and Integration: A Framework for Improved Outcomes* (*Guidebook*) is developed to capture additional experiences and lessons learned from numerous jurisdictions since the revised version of the original publication was published in 2008. Now accompanied by the *Dual Status Youth Initiative – Technical Assistance Workbook*, made possible by the private-public venture funded by the MacArthur Foundation and the Office of Juvenile Justice and Delinquency Prevention (OJJDP) in 2011, this guidebook is offered to the field as the centerpiece of a library of publications and resource documents that enable state and local jurisdictions across all regions of the country to implement enhanced multi-system practices that improve the outcomes for their youth and families. Among the additional publication resources available through the Robert F. Kennedy National Resource Center for Juvenile Justice (www.rfknrcjj.org) on the population of dual status youth are:

- *Understanding Child Maltreatment and Juvenile Delinquency: From Research to Effective Program, Practice, and Systemic Solutions* (Wiig & Widom with Tuell, 2003)
- *Promoting a Coordinated and Integrated Child Welfare and Juvenile Justice System: An Action Strategy for Improved Outcomes* (Tuell, 2003)
- *Child Welfare & Juvenile Justice Systems Integration Initiative: A Promising Progress Report* (Tuell, 2008)
- *A Guide to Legal and Policy Analysis for Systems Integration* (Heldman, 2006)
- *Models for Change Information Sharing Tool Kit* (Wiig, Tuell, Rosado, and Shah 2008)
- *Dual Status Youth – Technical Assistance Workbook* (Tuell, Heldman, and Wiig, 2013)
- *Addressing the Needs of Multi-System Youth: Strengthening the Connection Between Child Welfare and Juvenile Justice* (Herz, Lee, Lutz, Stewart, Tuell, and Wiig, 2012)

This guidebook provides practical guidance for state and local jurisdictions in their endeavor to integrate these critical systems. It presents an organized approach for addressing the significant questions and concerns that will likely arise as jurisdictions develop an action strategy to improve outcomes for youth and families. The Guidebook presents significant detail on the issues one may encounter during each phase of the strategic planning process and is a sourcebook for promising, practical approaches that jurisdictions around the nation have used to overcome barriers and obstacles. It is not a prescriptive document and does not offer a rigid course for community change. Rather, it provides ideas, resources, tools, and guidance that can add value to efforts to bring about long-term, sustainable improvements to child welfare and juvenile justice systems. It is designed to institutionalize multi-system practices that improve outcomes for the children, youth, and families we serve and to improve the service delivery, program development, and resource allocation of youth-serving systems.

Our hope is that through the use of this guidebook, and the accompanying *Dual Status Youth – Technical Assistance Workbook*, you will embrace the challenge to improve outcomes for the far too many youth and families that occupy our child welfare and juvenile justice systems. Through your collective acceptance of this challenge, we may advance our cause to ensure the commitment to our nation's most important resource.

Edward P. Kelley
President / CEO
Robert F. Kennedy Children's Action Corps

Introduction

Increasingly, practitioners and policymakers are recognizing the overlap of the child welfare and juvenile justice systems. This overlap is evidenced by maltreated children who become juvenile delinquents, delinquent children who have histories of maltreatment, and families that have intergenerational histories with both systems. It is also evidenced by some administrative and operational realities, in that agencies face duplication of services, competition for scarce program dollars, unmet service needs, and a dearth of prevention activity to help stem the tide of children coming into the two systems. Federal legislation acknowledged this overlap by placing into law requirements and funding incentives in both the child protection and juvenile justice systems for states to establish policies, programs, and practices to address the connection between the two systems (see Appendix A).

Despite this recognition of the overlap, these two systems struggle daily with trying to meet their basic mandates: in the child welfare system, to keep children safe and to secure permanent homes for them, and in the juvenile justice system, to hold youth accountable for their delinquent acts, provide treatment to correct their behavior, and promote public safety (see Appendices B and C for fuller descriptions of the two systems). Historically, there has been little attention or direction provided to help these systems determine in what ways they might integrate or better cooperate to improve outcomes for children and families.

CWLA and RFK Children's Action Corps developed this guidebook to help state and local jurisdictions determine how they might achieve useful integration and cooperation between their child welfare and juvenile justice systems. Direction in this guidebook is based on research, evidence-based practice, and the experiences of other jurisdictions. The expectation, however, is that a state or local jurisdiction will use the Guidebook's process to discover what is most useful in its own area and address its particular contextual factors. This third edition of the Guidebook is joined with a new supporting publication, *Dual Status Youth - Technical Assistance Workbook*, designed to be used in conjunction with the Guidebook to advance the development of policy and practice for dual status youth.

The Research

Prevalence

Several research studies have documented that child maltreatment increases the likelihood of future delinquency and criminality.[1] One of the best-known studies involved a group of abused and neglected children in the Midwest who came to the court's attention between 1967 and 1971. A prospective study, using a sample of children ages 11 or younger at the time of the abuse and neglect, concluded that childhood abuse and neglect increased the odds of future delinquency and adult criminality overall by 29% (Widom & Maxfield, 2001). Being abused or neglected as a child increased the likelihood of arrest as a juvenile by 59%, as an adult by 28%, and for a violent crime by 30%. Furthermore, a study of young adult outcomes for children who were involved in both the child welfare and juvenile probation systems in Los Angeles County foretells a greater likelihood of entry into the criminal justice system. Nearly two thirds of those youth had a jail stay in early adulthood compared to one half for juvenile probation only youth and one quarter for former foster care only youth (Hilton Foundation, 2011).

The Widom and Maxfield study also found that maltreated children were younger at the time of their first arrest, committed nearly twice as many offenses, and were arrested more frequently. This early onset of delinquency deserves special attention because statistics have shown that very young offenders are much more likely to have their criminal careers characterized by serious, chronic, and violent offenses than children who begin committing crimes at a later age (Snyder, 2001, p. 40). Moreover, the King County study summarized below also found that youth with a history of formal child welfare involvement begin their delinquency careers earlier and are detained at an earlier age, more frequently, and for longer periods of time than youth with no child welfare involvement (Halemba and Siegel, 2011). A study in Missouri also illustrates the relationship between a history of maltreatment and early onset of delinquency. It reported that history of maltreatment was significantly associated with referral to the juvenile justice system at a younger age, an assault history, and a prior out-of-home placement (Dannerbeck and Yan 2011). Of further concern to both the child welfare and juvenile justice systems should be the fact that neglected children are almost as likely as physically abused children to commit a violent crime (Widom & Maxfield, 2001, p. 5). When one factors in that the population of neglected children is much larger than the population of children who were physically abused (7.3 per 1,000 children in 2000, compared with 2.3 per 1,000 for physical abuse; Children's Bureau, n.d.) and that many very young offenders' families

are characterized by chronic neglect (Wiig & Lahti-Johnson, 1998, p. 25), there should be heightened concern about the relationship between child maltreatment and juvenile delinquency.

A large percentage of juvenile delinquents and adult criminals have histories of child abuse and neglect. Retrospective anecdotal reports, early case studies, and histories of criminal adolescents and adults found abuse rates ranging from 26% to 85% (Wasserman & Seracini, 2001, p. 182). Reports from state and local jurisdictions report high incidences of child abuse histories. In Mecklenburg County (Charlotte), North Carolina, officials reported that of 50 serious, habitual offenders, 52% had child protective services (CPS) histories (Slavin, 2001). A report by Massachusetts Citizens for Children (2001) stated that "over 50 percent of juvenile offenders served by DYS [Department of Youth Services] have previously been abused or neglected children under the care of DSS [Department of Social Services]." A retrospective study of 4,475 delinquent youth carried out in King County, Washington, *Doorways to Delinquency: Multi-system Involvement of Delinquent Youth in King County (Seattle, WA),* illustrates graphically the positive correlation between child welfare involvement and delinquent behavior (Halemba and Siegel, 2011). The Executive Summary of this study, containing a "Summary of Key Findings," is set out in Appendix D. Highlights of the findings include:

- Youth with no history of Children's Administration (CA) [child welfare] involvement were referred on offender charges much less frequently compared to youth with more extensive CA involvement
- The likelihood of at least some history of CA [child welfare] involvement increases even more dramatically when controlling for prior history of offender referrals
- There is a strong correlation between recidivism and history of CA [child welfare] involvement
- 1st-time offenders with records of multi-system involvement have much higher recidivism rates than youth without CA involvement
- The more extensive the history of CA [child welfare] involvement, the greater the proportion of females and minority youth (specifically African-American and Native American youth)

As reported in a 1998 research summary, a study of inmates in a New York prison "found that 68 percent of the sample reported some form of childhood victimization and 23 percent reported experiencing multiple forms of abuse and neglect, including physical and sexual abuse." The results of this study "provide support for the belief that the majority of

incarcerated offenders have likely experienced some type of childhood abuse or neglect" (National Institute of Justice, 1998).

A relationship also exists between violent victimization of juveniles and violent offending by those same juveniles. A Shaffer and Ruback (2002) study over a two-year period, using data for 5,003 juveniles who participated in the National Longitudinal Study of Adolescent Health, found that:

> *juveniles who were victims of violence in year 1 were significantly more likely than non-victims to commit a violent offense in year 2 and to be victims of violence in year 2.... [and] juveniles who committed a violent offense in year 1 were significantly more likely than non-offenders to commit a violent offense in year 2 and to be victims of violence in year 2. (p. 4)*

Other Indices of Relationship

So a connection exists between victimization and the increased risk of future delinquent or criminal behavior, but what else is known about the relationship between child maltreatment and delinquency?

First, good evidence exists that some child abuse prevention and early intervention programming has been effective not only in reducing child abuse and neglect, but also in reducing future crime and delinquency. A good example of a child abuse prevention program with multiple benefits is a nurse home-visitation program targeted to low-income, at-risk pregnant women bearing their first child (Blueprints, n.d.). A 15-year follow-up study of primarily white families in Elmira, New York, found 79% fewer verified reports of child abuse and neglect and 56% fewer arrests on the part of the 15-year-old children in contrast to a comparison group. The program has proven success with both African American and white families in rural and urban settings. A Rand research brief (Early Childhood, 1998) summarized a study of benefits from early intervention programs targeted to at-risk children or their mothers that aimed at improving educational achievement or health and included services such as parent skills training, child health screening, child abuse recognition, and social services referral. The effects for the children participating in these programs compared with the control group showed not only reduced levels of criminal activity, but also improvements in health-related indicators such as child abuse (see also Karoly, 1998). An evaluation of Targeted Early Intervention, a program for delinquents younger than 10, found that children with a minimum of 18 months in the program

had fewer and less severe subsequent offenses and less involvement with child protection compared with a similar group of delinquent children (Decker & Owen, 2000).

Second, "family risk factors for delinquency and violence are also characteristics typically present in abusive or neglectful families" (Wiebush, Freitag, & Baird, 2001, p. 3). These factors include failure to supervise and monitor children; excessively severe, harsh, or inconsistent punishment; domestic violence; and caregiver substance abuse (Howell, 1995, p. 20). The Missouri study documented additional family characteristics of youth who were involved in both the child welfare and juvenile justice systems, reporting that they were likely to have one or two parents with a history of mental disorders, substance abuse, prior incarceration, and a severely ineffective parent management style (Dannerbeck and Yan, 2011).

Third, youth who were involved in both the child welfare and juvenile probation systems experience worse outcomes in adulthood than foster youth with no involvement in probation. They were "more than twice as likely to be heavy users of public systems in adulthood, three times as likely to experience a jail stay, one and a half times more likely to receive General Relief, and 50 percent less likely to be consistently employed." Further, the cost of public services utilization for this population in early adulthood was more than double the rates for youth who were in just one system, foster care or probation (Hilton Foundation, 2011).

Fourth, the child welfare and juvenile justice systems have much in common. Often, the two systems employ the same disciplines requiring some of the same body of knowledge. They may use many of the same treatment providers and may have an overlap or duplication of services. Mental health needs are critical, and people of color are disproportionately represented in both systems. Neither system emphasizes prevention. Both are without a lot of public support and work with unwanted, unsupported populations with a history of systemic neglect. Both struggle with obtaining adequate resources and require the involvement of multiple systems and partnerships to work well. Furthermore, both systems need a more pronounced appeal to gain broader public support for efforts to reduce child maltreatment and delinquency.

Implications for Child Welfare and Juvenile Justice

Having established this relationship between child welfare and juvenile justice, what are the implications for the two systems? The challenge is to discover what are effective means of integrating these two systems in a manner that helps prevent child maltreatment and delinquency and produces better outcomes for children and families. Child maltreatment, the reason most children and adolescents enter the child welfare system, is known to put them at risk for delinquency and psychiatric problems. Although child welfare studies suggest that half to two-thirds of children entering foster care have behavior problems warranting mental health services, little is known about how the child welfare system identifies child delinquents or potential child delinquents and refers them to mental health services (Burns et al., 2003, p. 4). Yet this is a critical population for intervention because of the trauma many of these children have experienced from abuse and neglect, other risk factors for future delinquency, and the children's acting-out behavior. With further knowledge, "the child welfare system could serve as an early warning system for identifying children who demonstrate conduct problems and are at an increased risk of entering the juvenile justice system during their adolescence" (Burns et al., 2003, p. 4) Widom and Maxfield (2001) suggested that "special attention be paid to abused and neglected children with early behavior problems. These children show the highest risk of later juvenile and adult arrest, as well as violent criminal behavior" (p. 7). Moreover, the study of young adult outcomes showed that nearly one quarter of the youth who were in both the child welfare and probation systems received treatment for a serious mental illness in the first four years of adulthood. This was more than double the rates for foster care only youth or probation only youth (Hilton Foundation, 2011).

Increased integration and cooperation between these two systems can increase opportunities for prevention and improve outcomes for both the systems and clients. The Center for Juvenile Justice Reform at Georgetown University has recently reported some promising data that shows improved outcomes for dually involved youth who have been subjects of research in its Crossover Youth Practice Model (CYPM). The CYPM involves jurisdictions implementing specific multi-system practices aimed at reducing the "crossover" of youth from the child welfare to the juvenile justice system. Following are the highlights of the study of youth subject to CYPM practices in comparison with non-CYPM youth with similar characteristics:

- CYPM youth were more likely to show improvements in mental health.
- Percentage of CYPM youth experiencing academic and/or behavioral problems decreased over time.

- Contact with family and parents and involvement in extracurricular and structured activities increased for CYPM youth.
- CYPM youth were slightly more likely to be dismissed or receive diversion and less likely to receive probation supervision or placement in corrections (Herz & Fontaine, 2013).

While this attention to systems integration can increase opportunities for prevention and improve outcomes, it must be remembered that not all maltreated children will become juvenile delinquents.[2] For the child welfare system, the question is whether there is some means to identify which of the children are at high risk for future delinquency and how to provide them with supports to reduce those risk factors. This may mean assuming a broader dimension in this system beyond protection, removal, and reunification. A broader dimension could involve more individualized assessments of children's needs and a focus on long-term outcomes and overall child well-being. For the juvenile justice system, efforts could include identifying at-risk younger siblings for support and deterrence, joining the child welfare system to address early-onset offenders, and helping garner prevention and early intervention resources. Both systems could identify those cases of concurrent involvement so they can share caseloads, coordinate case planning, or take other steps to coordinate their efforts (Wiig & Widom, 2003, pp. 28–29).

A step in this direction exists with the 2003 amendments to the Child Abuse Prevention and Treatment Act (CAPTA). Added to permissible uses of basic state grants is the enhanced collaboration between CPS and juvenile justice to improve delivery of services and continuity of treatment as children transition between the two systems (42 U.S.C. 5106a[a][12]. Also, states are required to report in their state data reports the numbers of children in CPS care who are transferred to the juvenile justice system (42 U.S.C. 5106a[d][14]).

Increased integration and cooperation between the two systems might also involve the increased use of child welfare histories in the disposition planning for juvenile delinquents and the development of improved treatment programs for juveniles who have been victims of child abuse and neglect. A CWLA (2002b) survey found that approximately three-quarters of responding juvenile justice agencies had policies, procedures, or regulations supporting collaboration with child welfare agencies for juvenile offenders who were victims of maltreatment. Only 12%, however, had a program specifically designed to serve juvenile offenders identified as previous victims of child maltreatment. The amendments to the Juvenile Justice and Delinquency Prevention Act (JJDPA) described in Appendix A specifically require, under the formula grants program, that states implement a system that

makes public child welfare records known when a juvenile is before a court in the juvenile justice system and that these records are incorporated into juvenile justice records for purposes of establishing and implementing treatment plans (Part B, Federal Assistance for State and Local Programs, 42 U.S.C. 5633[a][26], [27]).

Dual Status Youth

Various terms have been used to describe youth who come into contact with both the child welfare and juvenile justice systems including multi-system youth, crossover youth, dually involved youth, dual status youth, etc. Jurisdictions undertaking systems integration and coordination work often struggle with their use of terms and experience difficulty distinguishing these youth, all of whom are in contact with the two systems, but may not be similarly situated.

The authors of this guidebook have elected to use *dual status youth* as the overarching term to describe youth who come into contact with both the child welfare and juvenile justice systems and occupy various statuses in terms of their relationship to the two systems. For purposes of discussion and development of approaches and resources to address dual status youth, the following definitions have been adopted to distinguish the statuses:

> ***Dually-Identified Youth*** - Youth who are currently involved with the juvenile justice system and have a history in the child welfare system but no current involvement.
>
> ***Dually-Involved Youth*** - Youth who have concurrent involvement (diversionary, formal, or a combination of the two) with both the child welfare and juvenile justice systems.
>
> ***Dually-Adjudicated Youth*** - Youth who are concurrently adjudicated in both the child welfare and juvenile justice systems (i.e. both dependent and delinquent).

With dually-identified youth, it is critical that the child welfare history be used in the dispositional planning and treatment of these youth in the juvenile justice system. For dually-involved youth, working together across the two systems presents opportunities to consider alternatives to formal case processing, create joint services plans, and coordinate case planning and management. For dually-adjudicated youth, working together across systems allows for the development of joint reporting and recommendations to the court,

coordinated court processing, and joint management of court dispositions.
In summary, the terminology is important to increase understanding of these youth and their situations, organize data concerning them, inform related policy development, and design appropriate interventions.

Using the Guidebook

The Guidebook is designed to help jurisdictions engage in a process to determine what integration and coordination efforts will best achieve improved outcomes for children and families and the child welfare and juvenile justice systems. It can be used in conjunction with the publication, *Dual Status Youth – Technical Assistance Workbook* that provides month-by-month direction to implement the structure, policies, and practices to address dual status youth. This guidebook uses the following definitions:

Integration: A new system of handling children who cross over both systems, that is, juvenile delinquents who have a history of child maltreatment or other involvement with the child welfare system and children who have been maltreated and are at very high risk (due to multiple factors) of becoming juvenile delinquents. This new system might be characterized by such things as the development of an integrated management information system, blended funding and flexible programming for children and families crossing both systems, policy and program development that emphasizes prevention, results-based accountability that includes performance and outcome measures, statutory and other policy frameworks that support systemic change, and reliance on evidence-based practices.[3,4] Integration would also encompass any or all of the coordination efforts described in the following.

Coordination: Efforts focused on the handling of children who cross over both systems to improve specific points in the process of handling these children in either system. Examples of such efforts would be communication between systems when children and families are involved in both systems, shared caseloads when both systems are involved with one family, programs targeted to specific categories of children such as child delinquents, and programs or procedures targeted to specific points in the case process to improve case handling or attain improved case outcomes.

The Guidebook is divided into four phases: (1) mobilization and advocacy, (2) study and analysis, (3) action strategy, and (4) implementation. Each phase describes the primary

activities that could take place in that phase along with examples of work that other jurisdictions have done. Again, we urge the actors who take on this initiative to use the process to explore fully the questions they need to answer and what resources exist in their jurisdiction that dictate what actions will best achieve results. They are also encouraged to consider the guiding principles from *CWLA's Making Children a National Priority: A Framework for Community Action* (Morgan, Spears, & Kaplan, 2003). They are:

- supporting families,
- promoting prevention,
- advancing social justice,
- working collaboratively,
- respecting and valuing diversity,
- building capacity,
- nurturing leadership,
- using evidence-based strategies, and
- measuring results.

Although the Guidebook's phases are described sequentially, many of the activities can take place simultaneously, particularly in Phase 2, study and analysis, which together with the activity taking place while mobilizing the actors in Phase 1, set the stage for Phases 3 and 4, the development of the action strategy and implementation.

One additional note about the use of the Guidebook is that to effectively engage in this planning process, it can be critical to bring in an outside convener or facilitator to help direct the process and keep it moving. This is true for at least two reasons. One, it is often difficult for jurisdictions to free enough time of any one individual in either of the two systems to take on this task and, two, an outside individual is more likely to be able to carry out this task without the pressures of protecting the status quo. It can be used in conjunction with the publication, *Dual Status Youth - Technical Assistance Workbook,* that provides month-by-month direction to implement the structure, policies, and practices to address dual status youth. Researchers have also cited other advantages of external involvement, particularly when organizations contemplate change (I-Change, n.d.). Outside consultants can:

- bring a new perspective to old problems,
- ask those questions that no one inside the organization is able to,
- provide crucial additional resource allowing business to go on while change is contemplated,

- act as a sounding board for managers and others to test ideas and validate impressions,
- be independent of the organizational power structure, and
- be the catalyst for the change to happen.

Integration and Coordination Checklist

Finally, the following checklist has been developed that summarizes the achievement of integration and/or coordination between the child welfare and juvenile justice systems. If a jurisdiction completes the four phase framework set out in this guidebook and the corresponding publication, *Dual Status Youth - Technical Assistance Workbook*, its system should be characterized by the following:

- ✓ Key stakeholders are identified, engaged in the development and ongoing review of the initiative, and kept informed through periodic reports.
- ✓ Key leaders are driving the effort, cross-system teams or committees are in place, and governance has been formalized.
- ✓ The questions about multi-system youth have been developed, local sources of data identified, state and national databases reviewed, and the mechanism for ongoing data collection to support performance measurement is in place.
- ✓ A clear statement of the problem or need is articulated and embraced, the target population(s) has been specified, and the desired system and child outcomes have been identified.
- ✓ An inventory of assessment tools has been compiled, and opportunities to consolidate tools and/or the assessment process have been identified.
- ✓ An inventory of resources, including programs and services, has been compiled and analyzed against standards of best practice, and opportunities to share resources and blend funds have been identified.
- ✓ A legal and policy analysis has taken place to highlight the legal mandates, funding, court processes, and other policies that serve as supports or barriers to systems integration, and any needed policy changes have been identified.
- ✓ An analysis to determine the capacity to share information across agencies has been conducted, and information-sharing agreements are in place.
- ✓ A set of strategies for handling multi-system youth has been developed and examined for potential application, and corresponding policies, protocols, practices, and training have been established for the strategies employed.

- ✓ A communications strategy has been developed, and a schedule of interagency and public reporting has been established.

Endnotes

1. See Wiig and Widom (2003, pp. 1–9) for descriptions of three studies, including the Rochester Youth Development Study (Smith & Thornberry); the study from Mecklenburg County, North Carolina (Zingraff, Leiter, Myers, & Johnson); and the Northwest study (English, Widom, & Branford).
2. The Rochester Youth Development Study, based on official police records and self-reports, found that 45% of maltreated youth have official records of delinquency, compared with 32% of non-maltreated youth. Furthermore, maltreated youth give higher self-reports of involvement in delinquent activity (Kelley, Thornberry, & Smith, 1997, p. 5). Widom and Maxfield [2001], comparing arrest histories of abused and neglected children versus children with no recorded abuse, found abused and neglected children "were more likely to be arrested as juveniles (27 percent versus 17 percent), adults (42 percent versus 33 percent), and for a violent crime (18 percent versus 14 percent)" (p. 3).
3. The U.S. General Accounting Office (1992) described integration as either "system-oriented" or "service-oriented" (pp. 4–5) System-oriented integration involves ambitious goals including the creation of a new system, changes in agencies' planning and program funding, and elimination of conflicting eligibility and reporting requirements for programs serving similar populations. Service-oriented integration unites providers without altering budgeting or funding, agency responsibilities, or organizational structures; encourages sharing of information and co-location of services; and links clients to existing services.
4. Martinson (1999) made a distinction between service integration and service coordination as "service integration—which implies logistic and physical proximity—and coordination—which refers to agencies' efforts to work together to achieve specified goals" (p. 1).

PHASE 1

Mobilization and Advocacy

Jurisdictions must address a number of important challenges in the mobilization and advocacy phase to ensure that a strong foundation exists to support the initiative. The process has to begin with strong leaders who possess, and can engender in others, the political will and commitment to sustain the planning processes, produce a sound action strategy, and achieve the sought outcomes. Leaders must decide how they will manage the initiative throughout and establish broad goals. They need to initiate evaluation in this first phase so they can evaluate both the process and the outcomes.

In this phase, it also will be important to sell the initiative to all the involved parties and communicate the actions and results so that they have a continuing awareness of where the initiative is heading. Specific events can signal that the initiative is an important effort worth people's attention. Examples of potential events are a large-scale public reception to announce the initiative, a high profile but small meeting with core leaders who then announce their intentions, and community symposia to educate system participants and the broader public about the need for integration and coordination of the two systems around this critical population of children.

As a jurisdiction gets started with this effort, it is important to keep in mind the factors that promote integration and coordination. The Research Forum on Children, Families, and the New Federalism reported findings from a twelve state study of human services integration sites. The site managers identified critical factors for an integrated service system:

- Leadership by one or a small number of leaders who were able to enlist the support of the human services community.
- Experienced managers as both program administrators and members of the local human service community who facilitate efforts to develop connections between programs.
- Staff training and development, with cross-program training at regular intervals.
- Willingness to take chances, experiment, and change, as well as independence from higher-level bureaucracy...to implement innovative and untried strategies.

- A clear, shared mission statement developed by representatives of agency management, staff, and community partners.
- Community involvement beyond those available through government programs to ensure buy-in for service delivery improvements.
- Strengths-based, client-focused processes in assessment and case management.
- Stability and longevity of local leadership...who shared the original vision.
- Managers, who must pay close attention to performance indicators required by state and federal agencies as well as locally developed performance and outcome measures.
- Management teams, team staffings, teams focused on specific client populations, and teams that set agency goals and objectives.
- Resources beyond federal and state funds, which are needed to initiate and support local efforts to improve services (Ragan, 2003, p. 4).

The Urban Institute, in its literature review on service coordination and integration, identified factors that could foster service coordination:

> **Federal level.** *Strategies include: expanding efforts to document and communicate information about the benefits of coordination and support for these efforts; providing information on successful examples of coordination; providing technical assistance, guidance, and problem resolution; loosening restrictions that prevents blended funding; and setting an example by continuing coordination at the national and regional level.*
>
> **State level.** *Strategies include: providing high-level support for coordination; strengthening statewide coordinating committees; providing localities with technical assistance and problem resolution; promoting the integration of automated systems; and providing for cross-training of staff.*
>
> **Local level.** *Strategies include: developing an understanding of the objectives and operations of other programs; increasing joint planning among local agencies; introducing cross-training of staff; and documenting and evaluating coordination efforts. (Martinson, 1999, p. 7)*

Organizational Culture

Ultimately, the work of systems integration and coordination requires jurisdictions to take an honest look at their organizational cultures. In an oft-quoted definition, Marvin Bower describes organizational culture as "the way we do things around here." (Deal & Kennedy, 2000, p. 4). It is no small task to change "the way we do things" in an organization or system. It is not uncommon for organizations to have deeply entrenched (and sometimes inaccurate) beliefs about system partners, a significant investment in their current way of functioning, and skepticism about the value of new endeavors that require time and resources. Often, the best intentions and most thorough planning on the part of those leading reform can fall short when facing resistance to change within organizations. Assessing the change environment and initiating steps to acknowledge and overcome resistance are essential components within the Mobilization phase.

When considering various approaches to organizational culture change (see Kotter, 1996; Cummings & Worley, 2008; Levin & Gottlieb, 2009) several consistent themes emerge: the need for strong and committed leadership; the value of ensuring stakeholder input and feedback in change efforts; the necessity of training staff regarding new priorities, practices, and expectations; and the vital role of consistent and ongoing communication of shared vision. These themes tend to be common-sense in nature, sometimes resulting in leaders and participants discounting the value and potential difficulty of applying them. Therefore, a strategic approach is necessary to ensure initial and sustained commitment and willingness to change on the part of those involved at all levels of an organization. The steps outlined throughout this section provide the foundation for such a strategic approach and reflect the following guidelines for successful culture change:

- ***Initiating and Sustaining a Conversation on Reform***. This involves the use of mechanisms for inviting stakeholders to share their insights as well as participate in decision-making regarding the development of new practices throughout the course of the initiative.

- ***Making a Commitment to Messaging.*** Leaders across organizations must verify the need for change, craft a unified vision of the future end state, and communicate this vision over a long period of time in a variety of ways to the entirety of stakeholders.

- ***Providing Opportunities for Cross-System Education and Relationship-Building.*** Organizations must educate one another on how each agency and partner approaches working with youth, acknowledging differences in mission and mandates while seeking common ground. Systems must develop practices that allow for staff to work together on individual cases, as well as identify workers and supervisors from each agency that can meet regularly to jointly address the challenges and celebrate the successes in the implementation of the new cross-system practices.

- ***Create Mechanisms for Assessing Progress.*** To encourage the continuing engagement of staff, a process for evaluating the work done within the newly-defined culture allows for recognition of successful efforts and identification of areas requiring midcourse corrections.

Organizational culture can be one of the strongest barriers to forward progress on juvenile justice and child welfare systems coordination and integration. On the following page, a jurisdictional example describes a strategic approach for organizational culture change, illustrating the intentional activity needed to achieve success in this important area.

Organizational Culture Change in Outagamie County, Wisconsin

In Outagamie County, Wisconsin, juvenile justice and child welfare services have historically operated on parallel tracks, exacerbating misunderstanding and tension between the two systems in regard to decision making, policies, and procedures. With the guidance of Technical Assistant Consultants, the Outagamie County leadership team began to shift the organizational culture in order to support system integration with the aim of improving outcomes for children and youth. Using Kotter's eight-step organizational change model (Kotter, John P. (1996), *Leading Change*, Harvard Business Review Press.), the following strategies were pursued:

Step 1: Creating Urgency
The first step in creating urgency involved the use of data to demonstrate the rising level of out of home placements in the child protection system and the nearly 2:3 ratio between youth who were maltreated and those referred later for delinquency. This combined with the personal stories of adverse outcomes of dual status youth created a sense of urgency to find more effective alternatives.

Step 2: Forming a Powerful Coalition
The managers of the child welfare and juvenile justice divisions formed a strong, committed partnership aimed at facilitating the type of organizational culture change necessary to establish collaborative work between divisions. Managers agreed not to mediate the differences or dictate solutions, but to jointly facilitate a process whereby the supervisors and staff from each division could begin to resolve their issues together.

Steps 3 & 4: Creating and Communicating a Vision for Change
The managers began to frame a discussion with staff and stakeholders about establishing new cross-system practices to better serve this unique population. Building on the urgency already created, they began to pursue a strategy of developing common goals. An Executive Steering Committee was formed to assist in guiding the course of the vision. In order to begin to shape new expectations, the division managers began to bring supervisors and direct service staff from both divisions together. The purpose was two-fold: to begin the process of "letting go of the old," encouraging the abandonment of historical feelings and expectations about how the divisions should interact; and to enlist a cadre of early adopters in shaping the change process and in helping to create buy-in for "embracing the new".

Steps 5 & 6: Removing Obstacles & Creating Short-term Wins
In order to remove obstacles to change, the managers needed to be explicit in permitting and expecting supervisors to consult, problem-solve, and collaborate across the two divisions. The managers began to convene monthly supervisor meetings involving both divisions. Gradually, a collegial culture began to extend across divisions. In addition, the early adopters began to develop protocols to address coordinated case planning and other challenging procedures. Early successes by these work groups helped establish buy-in and credibility among staff in both divisions.

Steps 7 & 8: Building on the Change & Anchoring the Changes in the Culture
In order to improve upon and sustain the changes that have been accomplished to date, leaders will place emphasis on encouraging supervisors to continue to see each other as a cohort group that extends beyond the boundaries of their respective divisions. The more they perceive each other as resources, the faster the culture change efforts will progress.

Initiating the Process

Jurisdictions should initiate the change process with the identification of key leaders and constituents. This is a particular challenge because not having the right composition of leaders and others involved from the beginning can cause initiatives to struggle unnecessarily or fail to get off the ground altogether. Initiation of the process should also include developing a statement of the problem or need and establishing goals and objectives.

Identify Key Leaders and Constituents

While identifying key leaders, jurisdictions should decide what are desirable characteristics of these leaders and what constituent groups should they represent. Examples of desirable characteristics are people who

- see the need clearly,
- are motivated internally by the desire to improve outcomes,
- are motivated externally by such things as the severity of the problem, policy mandates, budget considerations, or constituent concerns,
- can draw others to them,
- are respected by the broader community, and
- have the authority to take action.

Jurisdictions should decide what constituencies are going to be involved in conjunction with the identification of the key leaders. The constituencies may be youth, families, advocates, community-based organizations, policymakers, politicians, practitioners, administrators, or simply citizens of the community. Whatever the constituency, the constituents must believe they have, and must actually have, a stake in addressing and resolving the stated problem. It is important to look for existing groups representing these constituencies and determine whether their composition will serve the goals and objectives of the initiative without having to form a new group or possibly duplicate efforts that already exist. Jurisdictions can select the key leaders by their affiliation with the selected constituent group, or the constituent groups can identify who from their membership should be the key leaders.

State the Problem or Need

Jurisdictions should write a clear statement of the problem or need as far as it has developed to this point. This statement may include some preliminary data about the movement of children between the two systems, the two systems' accounts of overlap and duplication of efforts, intergenerational histories of service delivery to top service-consuming families, or other case examples. This statement may be developed by a group of key leaders or the lead agency that first tries to bring people together. It may also be developed using the tool of "citizen interviews" (Gulick, 1998). Too often, the problem is identified only by "experts," those people who are in charge of the systems or those who study the systems. It may be useful to take the initial problem statement to those constituent groups and conduct interviews with individuals to give some dimension to the problem beyond the usual. This should not only help illuminate various aspects of the problem, but help the constituent groups buy in to the process and participate fully as the initiative progresses.

Establish Process Goals and Objectives

Jurisdictions must establish broad goals and objectives for the process of the initiative. This might include writing such things as descriptions of the activities that will take place, timelines, who will be involved, benchmarks for achievement of certain results, and how the activities and results of the initiative will be communicated. A statement of goals and objectives may also include a description of how modifications to the process will be handled. Hughes (1996) wrote about how the development of collaborations and integrated services is a learning process, stating that "learning direction requires the ability to chart a realistic course and modify it as new information emerges and opportunities arise."

As the other phases of the process evolve, so too may the goals and objectives for the process. A mission statement can be part of setting these goals and objectives. It may be simply something like: "To develop a multi-system initiative focused primarily on the juvenile justice and child welfare systems that targets resources most likely to reduce child maltreatment and juvenile delinquency and achieve long-term successful outcomes for children." Or it may include a number of elements, such as the mission statement of San Bernardino, California's, human services system (HSS) Integration Initiative (n.d.-a):

- Increase integration of human services through the establishment of a family-focused delivery system.

- Align existing internal administrative and support systems and resources to improve efficiency and effectiveness to the extent needed to support the delivery system.
- Reinvest savings from improved cost benefits and enhanced revenue sources to focus on prevention and early intervention.

Managing the Initiative

The initiative must have a clear management structure to support the process through all of its phases, develop a sound action strategy, and implement the strategy. The management should establish the governance and decision-making processes, determine staffing and funding, designate working teams or committees, establish timelines, and develop both public and internal communications strategies.

Develop a Management Structure

The structure should provide for leadership and maximize opportunities for participation. Jurisdictions should first consider the previously identified key leaders and any existing coordinating bodies as potential managers for this effort. Then, they should formalize a leadership group charged with making the major decisions as the initiative progresses and the action strategy is implemented. Ideally, this leadership group will reflect the constituent groups. Jurisdictions may need to identify a lead agency to administer any funds or other resources to support the initiative.

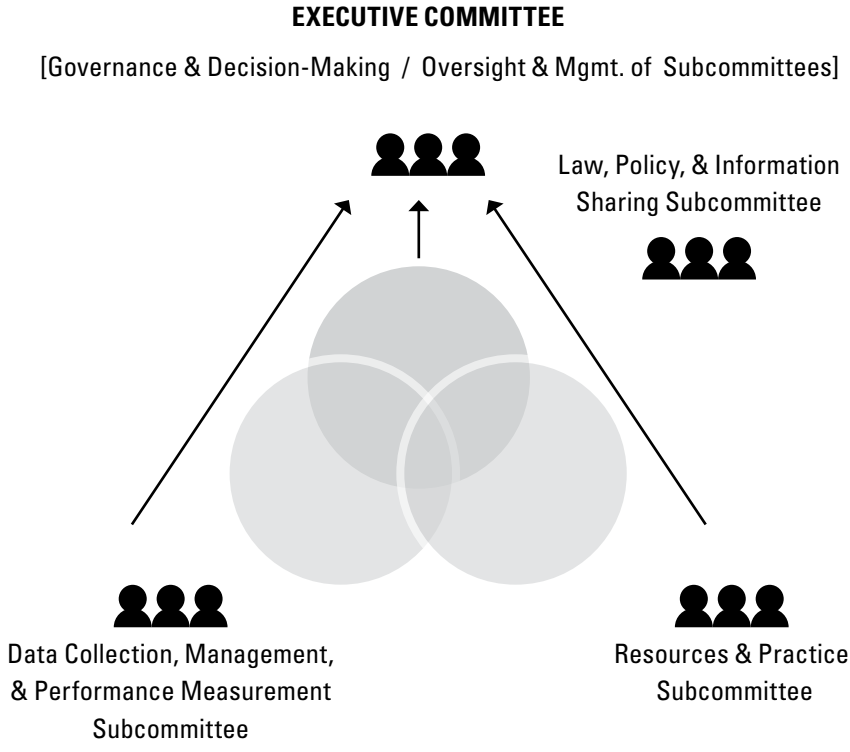
The importance of designating committees or teams to carry out this initiative cannot be overemphasized. It is a critical aspect of the management structure. To get the work done, the initiative will likely need a number of different groups composed of and using the energy of the constituent groups, key leaders, and the staff of the two systems. The work to be done in the initiative is multifaceted and, in many cases, complex. It will require the concentrated efforts of individuals focused on and responsible for specific tasks for it to be successful.

Through the extensive experience of the authors of this guidebook, working with dozens of organizations over the years to address dual status youth, a committee structure has emerged that has proven to be effective (see diagram for committees and their functions).

It consists of an Executive Committee and three subcommittees. The Executive Committee is typically comprised of public and private agency heads whose agencies are charged with working with this population along with parent, youth, behavioral health and education representatives. The three subcommittees, 1) Data Collection, Management, and Performance Measurement; 2) Resources and Practice; and 3) Law, Policy, and Information Sharing are comprised of representatives from the Executive Committee, corresponding middle management and line staff, and community-based representatives.

One additional group is often joined in the structure for the management of this work and that is a Stakeholder Group. It is comprised of a broader group of representatives from government entities and the community at large. These representatives may not work directly with this population of youth but nonetheless have an interest in the success of the youths and the jurisdiction's efforts to address their needs.

Structure & Governance



Walking the Collaborative Talk: 10 Lessons Learned from the Los Angeles County Children's Planning Council

The Children's Planning Council, a body developed "to improve conditions for children and families by integrating and coordinating health and human services" established a government-community partnership to engage citizens in planning for services to children and families countywide. Its 10 lessons learned are:

1.	Planning has to fit a particular place and time.
2.	Build influence; let go of control.
3.	Connect existing networks.
4.	Recognize the power of shared ideas and determined action.
5.	Invest in relationships.
6.	Remain flexible enough to seize opportunities.
7.	Maximize access and political power for adults who care about children.
8.	Use data to drive planning.
9.	Follow the money.
10.	Connect the people most engaged in local communities with decision-makers.

Source: McCroskey, J. (2003).

Formalize Governance

The governance and decision-making processes should be formalized. This may take the form of executive orders, charter agreements, memoranda of understanding (MOUs) or memoranda of agreement (MOAs). These documents may contain the following:

- descriptions of the problem,
- goals for the initiative,
- descriptions of the management and organizational structure,
- information to be shared,
- activities to take place,
- nature of the recommendations to be developed, and
- legal responsibility and authority of the parties.

Three documents that might offer guidance for the purposes of this initiative are from King County, WA, Oregon and Baltimore City. King County's Charter agreement was developed to guide the work of their established system integration initiative (see Appendix E). Oregon's executive order out of the Office of the Governor was to implement a method of comprehensive planning for services provided to children and their families, a method created by a 1999 Senate bill (see Appendix F). The Baltimore City MOU for collaboration was associated with the development of a multipurpose juvenile justice center (see Appendix G). All contain objectives to address the relationship between child welfare and juvenile justice. Furthermore, a hypothetical agreement can serve as a template that specifically addresses this relationship to give additional guidance to formalize governance. It is a cooperative agreement between the Department of Juvenile Justice, the Department of Family and Children's Services, and the hypothetical Hopetown County Juvenile Court (see Appendix H).

Consider Staffing and Funding

The leadership group must consider how the initiative will be staffed and funded. A number of activities must be supported either with some reallocation of existing resources or the addition of new resources. A designated source of new funding, either public or private, can offer some additional impetus to move the initiative. It may not be necessary, however, if the leaders can reallocate existing funds or staff. The important thing is that the group carefully reviews what it will take to carry out the work of the initiative. As to selecting what staff will be involved, the group should carry out a thoughtful analysis of not only what level of effort is required, but what characteristics are desirable. For example, it will be important to select people who

- have a keen appreciation for the necessity of the work,
- are flexible in their thinking,
- are respected representatives of their class of employees,
- are confident about their abilities, and
- are good stewards of the effort.

The King County, Washington, Experience: A Broad-Based Governance and Management Structure

The King County governance and management structure serves as a collaboration model in the critical formation of a leadership group that has the will, authority, and broad based representation to move the system integration initiative forward. King County's work began in 2004 with a one-day symposium for leaders of youth-serving systems, a group that reconvened 60 days later. In attendance were representatives from multiple disciplines at the county and state levels, including the King County Superior Court, King County Probation, the Region IV Department of Social and Health Services, the King County Department of Community and Human Services, the Puget Sound Educational School District, the Department of Social and Health Services' Juvenile Rehabilitation Administration, the King County Council, the King County Executive's Office, and private providers and community organizations. From these two meetings, the group chose an outstanding group of leaders to sit as an executive steering committee. This group has guided and governed the progress of the initiative.

Today, this effort operates as *Uniting for Youth (UfY), King County, Washington*. The success of this continuing collaborative is characterized by its commitment to structured governance, specialized practices for dual status youth, and a data collection system that documents its outcomes to continuously inform its policy and practice for this special population. Highlights of their accomplishments include:

- **UfY Governance** including charter agreement; mission, vision, and goal statements; committee structure, full-time coordinator, and program evaluation
- **Protocols** for how Children's Administration and juvenile court administration work together to address dual status youth
- **Information Sharing Guide** to guide the principal agencies in the sharing of personally identifiable case information
- **Integrated Plan for Mental Health** creating improved access for children involved in the juvenile justice system
- **Cross System Training** to support shared responsibility and services
- **Alternatives to Juvenile Justice** to assist law enforcement to handle more cases in the community without referral to the juvenile justice system
- **Community Engagement** to ensure participation of diverse communities to help shape and monitor the implementation of UfY goals and objectives
- **Education Integration** to address the educational needs of youth in the juvenile justice system and improve their chances for school success
- **Prevalence Study**, both a completed and an ongoing study to document the characteristics of dual status youth to inform policy and program development

(King County, *Uniting for Youth*, July 2013)

Establish Timelines for Phases 1 and 2

It is important to establish timelines for the conduct of the initial phases of the initiative. Although the establishment of timelines is highlighted as part of the implementation phase, if there are no time parameters established for the Phases 1 and 2, the initiative may never get to Phases 3 and 4, the action strategy and implementation. Participants need to have some idea of how long this effort will take and when they can expect to see specific recommendations and results of their work. Timelines also help everyone to hold themselves accountable for commitments they have made to support the initiative to a successful conclusion.

Develop a Communications Strategy

A good communications strategy, both public and internal to the initiative, is critical. The leaders must develop a strategy to continuously report results as the initiative progresses. This will help gain the public, legislative, and organizational support needed to carry out the initiative and implement the action strategy. The strategy may take the form of press releases, public forums, a specially developed website, or agency memoranda; however, every action need not be communicated to every person all the time. The key is to be strategic, not secretive, and to consider the value of getting information out at key milestones and action steps in the process so that support is gained. This requires assignment of this responsibility to a person or group that will make good decisions about reporting efforts, make a specific plan, and will oversee or do the actual reporting.

Selling the Initiative

It is critical for the involved people to be clear about why they are undertaking this effort, what goals they have in common, what are some barriers to overcome, and what desirable outcomes can be anticipated. It may be useful here to conduct a campaign of sorts to get everyone "on the same page." The campaign may include a more formal readiness assessment to assist with the development and management of the initiative.

Conduct Training and Research Symposia

Jurisdictions should conduct training and research symposia to acquaint the leaders and constituent groups with the problem and the research about the link between child maltreatment and delinquency. These symposia should include any local data that help persuade people of the importance the initiative. Symposia also can be conducted with personnel from the two systems to begin to orient them to the initiative. The symposia can include opportunities for all participants to help identify common goals and address some of the potential barriers to integration and coordination of the two systems.

Identify Goals in Common

The identification of goals in common may be difficult initially for the two systems' participants. Often, they can more readily identify their differences and the barriers to integration or coordination. Nevertheless, it is important to take on this exercise. It may be limited to some basic items, such as recognizing that they want to:

- improve services to children and families,
- reduce the unnecessary entry of children into their two systems,
- better use scarce resources,
- improve their cost-effectiveness ratios,
- reduce disproportionate representation of people of color, or
- more effectively address mental health needs.

It might be useful also to engage in an exercise to identify common needs among shared clients. This will help bring issues around the common goals of reduced duplication of efforts and reduced workloads for some agency staff to the fore (RAND, 2004).

Advocacy and Mobilization in Santa Clara County, California

Santa Clara County developed some excellent tools to communicate its efforts regarding the handling of dual status youth to its agencies' staff and a broader community of stakeholders. This was initiated by inviting the broader community of stakeholders to a "kick off" event that described the needs of dual status youth and the plans for addressing them. The County next developed a Project Overview that was widely disseminated internally and externally. The overview described the challenges and Santa Clara's planned response along with guiding values:

- Facilitate opportunities for children to be raised in healthy home environments
- Reduce racial and ethnic disparities of system involved youth
- Strength-based, solution oriented approach
- Youth and family engagement
- Trauma-informed service delivery
- Discontinue practices that do not result in desired outcomes; persistently pursue creative solutions
- Support children and families without "widening the net"

These values were incorporated in the County's memorandum of understanding (MOU) between the agencies involved in addressing dual status youth. The Executive Committee drafted a comprehensive MOU that set out the purpose; background; goals; youth, family, and community outcomes; system outcomes; and scope of work of the dual status initiative. This document serves to further educate and inform all of the collaborative partners as they work together toward a common end.

Finally, in its set of communication tools, nine months after its "kick off," the County hosted an event convening a broad group of stakeholders from inside and outside of County government. The purpose was to inform them of the progress of the initiative and solicit their feedback as the work continued to move forward. The agenda included national and local overviews of dual status youth and their characteristics; a panel representing the perspectives of the youth, various involved agencies, and the community to conduct a review and discussion of a dual status case; reports from the three subcommittees working on the dual status initiative; and breakout groups with questions to address regarding the progress and challenges associated with the implementation of new practices to address dual status youth.

Acknowledge Barriers to Integration and Coordination

Several major categories of barriers to services integration exist, and participants must acknowledge them even if they are not fully addressed at the outset. These include:

- bureaucratic barriers and turf protection,
- different philosophies and missions,
- differences in performance measures and obtaining credit for services and results,
- incompatible management information systems, and
- different eligibility restrictions (Martinson, 1999, pp. 4–5).

Legal or procedural barriers to integration and coordination of services should be added to this list. The critical exercise is to acknowledge how the structural design, funding, policies, practices, and statutory mandates work against or support integration or coordination efforts.

More specifically, it is critical that a legal analysis be conducted. It should examine federal and state laws and regulations, formal agency policies, professional codes of ethics, and existing interagency agreements or MOUs that affect interagency and system collaboration. This analysis should include the identification of data-sharing impediments which are discussed more fully later in this guidebook. Furthermore, the team should review how the legal, regulatory, and policy framework affects practice in the child welfare and juvenile justice systems.

A publication by the Center for Law and Social Policy (CLASP) describes categories of challenges to integration of social services as legal issues, information system challenges, concerns about performance indicators, and managerial or administrative issues (Hutson, 2004). Hutson developed a set of questions for each of these categories that may be useful as the leadership group and teams or other groups work through the various phases of this guidebook. Those questions are set out in Appendix I.

Identify Desirable System Outcomes

Examples of desirable outcomes that leaders and constituent groups may identify are:

- reduced delinquency and maltreatment,
- better use of scarce resources,
- more efficient service delivery system,

- cost savings,
- improved access, collection and utility of data,
- decreased service overlap or duplication,
- increased reliance on best practices and model programs for treatment,
- more advocacy to meet the needs of children and families,
- increased opportunities for prevention,
- opportunities for blended or decategorized funding,
- improved system management,
- reduced racial and ethnic disparities,
- improved development and use of treatment resources,
- increased community involvement and awareness,
- improved communications for systems, and
- reduced system-induced trauma to children.

In addition, each system may identify opportunities to improve outcomes required by state or federal mandates. For example, the child welfare system may improve its Child and Family Services Review (CFSR)[1] outcomes, and the juvenile justice system may achieve greater compliance with the JJDPA[2] requirements.

Conduct a Readiness Assessment

The conduct of a readiness assessment can be useful to assess the climate for the two systems to proceed with the initiative. This might include such things as assessing the level of awareness of the need for integration or coordination, identification of resources available to support the effort, and a review of the two systems' past histories of flexibility in relation to organizational structure communication (Hughes, 1996). A readiness checklist might include:

- identified problems that illustrate the need for integration or coordination;
- evidence of support for interagency coordination and integration from governmental leaders (e.g., letters of support, structures, agreements, executive orders, or court decisions);
- existence of past or current integration or coordination initiatives on which teams can build;
- availability of data regarding children and families served by both the child welfare and juvenile justice systems; and
- the presence of political will and determination to achieve improvements through this initiative.

An issue to consider, however, is that representatives of these two systems may be reluctant to proceed because they know that there are many aspects of the two systems that they do not want to integrate or even effect any real coordination of efforts. The leaders should remind participants that it is a defined population of children about which the initiative is concerned, not the wholesale integration of the two systems in their entirety. It might be useful at this point to return attention to the definitions of integration and coordination as they were set out in the introduction to remind participants of the same. This discussion would be enhanced by having an outside convener or facilitator share conclusions about the scope of the effort.

Setting Goals and Evaluating the Initiative

As part of the mobilization, the initiative participants should identify preliminary strategies for integration and coordination, establish broad goals and objectives in terms of improved outcomes for children and families, and initiate evaluation of the initiative. The exercises to identify preliminary strategies and improved outcomes for children can take place throughout the mobilization stage. That is, the research and training symposia, the interviews with the constituent groups, and the convening of the management or leadership group are all opportunities for people to identify preliminary strategies and improved outcomes for children. Participation in these efforts should be maximized to create the ideas and expectations of the initiative and begin to build support for the action strategy's implementation.

Identify Preliminary Strategies

The identification of preliminary strategies falls into two categories, administrative and operational. Some direction for this effort is provided by the study of service integration reported by the Research Forum on Children, Families, and the New Federalism (Ragan, 2003). Ragan's (2003) report describes administrative and operational strategies gleaned from twelve service integration sites around the country. The administrative strategies are:

- consolidating governance structures;
- integrating funding streams;
- collaborating in planning, management, and oversight;

- collaborating to provide additional services;
- integrating a wider range of providers in local systems; and
- integrating information and information systems.

The operational strategies are:

- co-locating staff,
- integrating intake and assessment,
- consolidating staff functions,
- coordinating case plans,
- creating cross-program teams, and
- consolidating case management. (p. 3)

Identify Improved Outcomes for Children

Jurisdictions need to carefully consider just what the improved outcomes for children are to be. They need to identify these outcomes at the outset to help direct the whole initiative and ensure that the effort is a worthwhile endeavor. Examples of improved outcomes for children are:

- reductions in child abuse, neglect, and other victimization;
- reductions in delinquent behavior;
- individual needs assessed and programming tailored to needs;
- long-term outcomes and well-being addressed;
- school success realized;
- supportive, caring adults present;
- safety at home or with a caregiver protected;
- neighborhood or community support present;
- pro-social activity taking place; and
- social competence developed.

Desired Outcomes and Measures for Dual Status Youth in Hampden County, Massachusetts

Hampden County worked with its Data Subcommittee and its Executive Committee to develop outcomes and measures for dual status youth. It was an iterative process with the child welfare and juvenile justice system representatives working together to refine a list that reflected the desires of all involved and around which they could design and implement their new policies and protocols for systems coordination and integration. In addition to the domains, outcomes, and measures set out below, the representatives also developed goals/milestones for each measure and identified the data sources for determining whether they had achieved success.

Domain	Youth Outcomes	Measures[i]
Recidivism	Reduction in new charges	The number of dual status youth who experience new arraignments within one year will decrease by ___ percent compared to applicable comparison cases/time period.[ii]
	Reduction in Violations of Probation	The number of dual status youth who experience new violations of probation will decrease by ___ percent.
	Increased compliance with Probation Conditions	The number of dual status youth paying Restitution as Ordered by the Court will increase by ____ percent.
		The number of dual status youth completing Community Service Disposition will increase by ___ percent.
Permanency	Increased Youth maintained at home	The number of dual status youth experiencing home removal episodes will decrease by ___ percent.
	Increased Access to Kinship and Child-Specific Resources	The number of dual status youth who experience kinship and placements specific to a child's needs will increase by ___ percent.
	Increased stability in placement	The number of dual status youth who experience "youth attributed" placement disruptions will decrease by ___ percent.
		The number of dual status youth who experience unauthorized leaves will decrease by ___ percent.
Family Engagement	Increased Family Participation	The number of families in attendance at case conferences will increase by ___ percent.
	Increased utilization of Parent Advocate Services	The number of families utilizing Parent Advocate Services will increase by ___ percent.
Education, Employment, Training Programs, Pro-Social Activities	Youth are engaged in Education	The number of dual status youth who "regularly" attend school while on probation will increase by ___ percent.
		The number of dual status youth who experience disruptive school arrests will decrease by ___ percent.
	Youth are engaged in Employment/Training	The number of dual status youth who are employed or enrolled in job/vocational training will increase by ___ percent.
	Increased Youth's pro-social involvement	The number of dual status youth who are referred to and "regularly" participate in pro-social activities – e.g., mentoring programs, sports, arts, and religious activities – will increase by ___ percent.

i Most jurisdictions identify "comparison data" to evaluate measures. Comparison data can take different forms in different jurisdictions; for example, comparison data may include across group (i.e., dual status youth who are the recipients of changes in practices versus similar dual status youth who do not receive these changes) or within group (i.e., before and after comparisons of outcomes for dual status youth who receive changes in practices). Comparison data may also include the use of relevant "proxy" measures (e.g., comparing local outcome data to relevant summary outcome data on similar youth from other jurisdictions).

ii Instead of merely tracking changes in the actual frequencies of desired performance activities or outcome "events" (e.g., increases or decreases in the number of arrests, arraignments or violations, etc.), it is advisable to track aggregate "youth-based" counts for comparison purposes. For example, if a jurisdiction has a relatively small number of dual status cases and it focuses solely on the frequency of actions or events (like the frequency of new arraignments or violations), the outcome measure being tracked may be unduly influenced by the actions of one or only a few cases. A youth-based count that, for example, might show that *the number of dual status youth* who experienced new arraignments or violations dropped by __% compared to a suitable comparison group (or time period), offers one important outcome measure. That said, for individual case management purposes, local jurisdictions should also be able to track whether or not there are specific dual status youth who experience substantially higher levels of adverse events compared to other dual status youth, in order to ascertain whether there are certain case characteristics that may be contributing to such outcomes, and to help jurisdictions identify alternative interventions or resources that may be more effective with these challenging cases.

Initiate Evaluation

An evaluation team should be part of the initiative from the beginning. The team should observe or participate in the development of goals and objectives for the initiative. Team members should actively assist in the identification of both the process outcomes and the impact outcomes sought in the initiative— the system and child outcomes. The evaluation team and the leadership group should work together to develop the evaluation strategy.

Depending on the availability of funds, an external group or the internal evaluation resources of the two systems may carry out the evaluation. Perhaps the optimal situation for this type of an initiative is to use a combination of the two. The internal evaluation resources may be important to help account for the complexities of integrating activities and services across two systems. Whatever the composition of the evaluation team, members should have clear expectations regarding the collection of data, responsibilities of system participants versus the evaluation staff, timelines for reporting evaluation results, identified audiences for reporting, and methods of dissemination.

Endnotes

1. The Child and Family Service Review (CFSR) is a product of the 1994 amendments to the Social Security Act (SSA), authorizing the U.S. Department of Health and Human Services to review the child and family services programs in each state for conformity with the requirements in Titles IV-B and IV-E of SSA (42 U.S.C. 1320 a-2a). In 2000, the Administration for Children and Families (ACF) began CFSRs, the new federal review system, which assessed states' performance in achieving the goals of safety, permanence, and child and family well-being. The CFSR process involves a state self-assessment and onsite review by a joint team of federal and state officials to assess states' performance on 45 assessment measures.

2. Originally enacted in 1974, this act governs the juvenile justice system, providing funding and direction to the states in the operation of their juvenile justice programs. The 2002 amendments to the act require that states establish policies, programs, and practices that address the connection between the child welfare and juvenile justice systems (42 U.S.C. 5633 Sec. 223).

PHASE 2

Study and Analysis

I. DATA COLLECTION, MANAGEMENT, AND PERFORMANCE MEASUREMENT

The collection of data, its management, and performance measurement present some critical challenges to the two systems. A starting point is for all involved personnel to acknowledge the importance of data as a foundation for integration and coordination efforts. This phase will involve identifying questions to be answered and determining the data elements for collection to support integration and coordination planning. It will also involve decisions regarding the management of data collection, a review of the two systems' existing information systems, consideration of integrated information systems, and the use of data for performance measurement.

Identifying the Questions

In general, this exercise concerns the overlap of the two populations and the two systems' response to the overlap. It may be useful to review the systemic and child outcomes that are sought. These are some examples of questions:

- What is the number and percentage of children who have transferred from one system to the other annually for the past 10 years?
- At what points and under what circumstances do children transfer from one system to the other?
- What children and families simultaneously use the child welfare and juvenile justice systems?
- What are the characteristics of the children and families who have been involved with both systems (demographics, mental health and substance abuse histories, residence, etc.)?
- What services have agencies provided to these children and families?
- What does it cost to serve or provide treatment services to children in each system, as well as both systems?

Determining the Data Elements

Review National Data

Reviews of national data sources will not only help identify what data elements the teams should collect, but also will serve as sources of comparison for a local jurisdiction to analyze its own data. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) (Puzzanchera & Adams, 2011) and the U.S. Department of Health and Human Services (DHHS, 2012) are authoritative sites for incidence data in juvenile justice and child welfare.

Identify Local Sources of Data

The local sources of data, both those existing and in need of development, should be identified. This exercise should be limited by the question, "What information helps inform decisions about integration and coordination so that unnecessary collection of data does not overwhelm the effort?"

Two useful examples of local data collection efforts that teams used to drive the development of an initiative are the HSS Integration Initiative in San Bernardino County and the Young Offenders Initiative in Virginia. The San Bernardino effort is instructive in part because of its structure for data collection. A data-gathering team established objectives, success criteria, and questions that they needed to address. They sought to list useful databases, information contained, and the locations of the databases. They asked:

- Are there potential opportunities to link pertinent data?
- What are the parameters of the databases we should describe?
- What types of analyses are feasible or desirable?
- Are there other data outside the county?

Then they described the databases and their operating environments, listed core elements collected in each system and whether they were required or optional, picked out the key ID elements in each system, and listed the codes in a limited number of data elements (HSS Integration Initiative, n.d.-c). Much of this structure could be replicated for this initiative. The databases, however, will need to be analyzed in terms of whether they can answer questions

that best inform decisions regarding integration and coordination of the child welfare and juvenile justice systems, such as those listed previously. These questions relate to the overlap of the two systems' populations and the systems' response to the overlap.

The Young Offenders Initiative in Virginia is instructive because it is an example of how the initiative identifies and targets a discrete population (in this case, very young offenders) for action, just as this initiative targets children and families who are present in both the child welfare and juvenile justice systems. Virginia's Department of Criminal Justice Services prepared a report on this population using existing databases and conducting analyses based on questions they developed about the target population, their system's response to it, outcomes for children, and its effect on their community (Hanna, 2001). Then the department used these data to garner support for the initiative from policymakers and other key stakeholders so that the necessary political will and other resources would back the project. This effort also informed them as to what data were missing and what additional data collection efforts might need to be made.

Identify Key Data Elements

Having reviewed the national and local data, and keeping in mind questions that are to be answered, the participants assigned to this effort should identify the key data elements that help with decisions regarding the integration and coordination of the child welfare and juvenile justice systems. The participants should also facilitate the measurement of outcomes. Once they have identified the data elements, they can decide whether they must develop additional databases or sources of information. They must take care in identifying what data needs to be developed—participants need to be alert to a focus on what they need to know and not overwhelm the project with unnecessary data collection.

Managing the Data Collection

Determine Who Will Collect the Data

The data could be collected by an outside entity, employees of the two systems, or people designated as representing the participants in the initiative. Whoever is designated needs to be close enough to the project to understand its goals and objectives and to be able to

raise questions about the utility of various data. Again, just as with the evaluation team, it may be critical to use, at least in part, people who work in the two systems and are very knowledgeable about the data. This is an arena in which the evaluation team should also be present to help evaluate and safeguard both the collection of the data and its quality. It is important to assess the quality of the existing data, keeping in mind that the data collected is only as good as the recording of it.

Wish List of Data Elements

- Percentage and number of children transferred from child welfare to juvenile justice
- Percentage and number of children transferred from juvenile justice to child welfare
- Points and circumstances under which children are transferred from one system to the other
- Percentage and number of children in the child welfare system who have an older sibling in the juvenile justice system
- Percentage and number of juvenile arrests with a previous history of maltreatment
- Percentage and number of juvenile cases processed at intake in which the youth has a history of maltreatment
- Percentage and number of juvenile cases entering juvenile detention in which the youth has a history of maltreatment
- Percentage and number of juvenile cases adjudicated delinquent in which the youth has a history of maltreatment
- Percentage and number of juvenile cases entering juvenile correctional facilities in which the youth has a history of maltreatment
- Percentage and number of children served simultaneously by child welfare and juvenile justice
- Percentage and number of children under the dual jurisdiction of juvenile court
- Demographics and characteristics of children and families present in both systems
- History of services provided to families present in both systems
- Costs of serving children and families present in both systems

Establish Governance for the Data Collection

This is another area in which the two systems and the data collectors should have specific agreement. They can establish agreement as an item in the MOU, MOA, or executive order that governs the entire initiative, or in a document that stands alone to support the data collection effort. Although the previously mentioned governance documents refer to data collection, this may require some explicit discussion and documentation as to the data's collection and use. Agency representatives are likely to have concerns as to how the collection of data affects their service delivery system generally.

Consider Development of an Integrated Information Sharing System

As the need for information to support anticipated integration efforts grows, so does the need to develop integrated information systems. The focus of such efforts may be on improving the existing systems' capacity to interact with one another, the development of a database to track the movement of children from one system to the other, or the development of an entirely new management information system.

A resource in this area is the Integrated Information Sharing (IIS) Project (Juvenile Integrated, 2002). This project is described as the first national effort in IIS to prevent juvenile delinquency. It is a collaboration between OJJDP, DHHS, and the U.S. Department of Education. The project provides technical assistance to multi-agency collaborations that are planning an IIS system or are in the process of implementation and system development. Its training focuses on multiple systems; agencies' partnerships and collaboration; confidentiality, formation, and maintenance issues; and technology. A focus group of participants from various jurisdictions discussed the practical experiences and processes developed to build juvenile IIS (JIIS) systems. A summary of key points made by the participants follows:

- Jurisdictions build JIIS to enhance information, provide data for evaluation, and improve case management practices, services delivery, system responses, and outcomes for at risk youth and juvenile offenders.
- The quality of multiple agency partnerships and collaboration was identified as central to successful JIIS. Strong leadership, and building shared vision and values among partner agencies are critical to the development and maintenance of an effective collaboration.

- Ongoing attention to confidentiality law and practices is important throughout the development and implementation of JIIS. Education, cross training and formal mechanisms such as interagency agreements and consent forms are essential tools to implement and facilitate practices that support the sharing of confidential information.

The focus group members emphasized that technology expertise needs to be represented in all areas of JIIS development. In the JIIS planning phase, data and technology needs assessments and requirement analysis are conducted before determining systems development design and implementation strategies. Important activities in the design and implementation phases are identifying system requirements, ensuring adequate system support and maintenance, and planning for technology obsolescence.

Evaluation of JIIS uses both outcome and process measurements. Outcome measures include successful youth outcomes such as a reduction in recidivism and high-risk behaviors, and system measures, such as reduction in court hearing times. Process measures include evidence of accurate and complete data, user and consumer satisfaction. (Juvenile Integrated, 2002, pp. 21–22).

JJOLT

To meet the requirements for reporting child welfare data under the reauthorized JJDPA, Michigan created JJOLT to support a system of care framework that

- is a Web-based demographic server, capable of acting as a central repository of information;
- captures fiscal and business information, such as billing and payments;
- contains a flexible, open architecture allowing for continual modifications and expansion;
- includes passwords and data encryption;
- meets HIPAA's privacy and security requirements;
- is user friendly and reduces repetitive data entry;
- has an automatic e-mail notification function for court hearings, doctor's appointments, and escape notifications, and between social workers and their managers;
- is easily audited and meets the Adoption and Foster Care Analysis Reporting System (AFCARS) reporting requirements; and
- can generate customized reports.

Source: Child Welfare League of America (2003a).

Michigan is an example of a state that developed an entirely new management information system that recognizes the interface between child welfare and juvenile justice. It is called Juvenile Justice Online Technology (JJOLT; CWLA, 2003a). The foundation for this achievement was in 1994, when Michigan created a systems reform task force with the primary goal to "achieve better results for multigenerational families who receive services across multiple human service and educational systems" (CWLA, 2003a, p. 2). Michigan used the impetus provided by the 2002 federal legislation in the reauthorized JJDPA, a component of which requires linkages between the child welfare and juvenile justice systems, including the reporting of child welfare data in juvenile delinquency cases and the examination of the extent to which two systems coordinate services and treatment (see Appendix A). JJOLT contains an automated case management module including assessment, screening, case planning, monitoring, and billing components for juvenile justice. It also includes electronic case management for Family Independence Agency child welfare staff, family courts, prosecutors, and private contracted service providers (CWLA, 2003a).[1]

Utilizing Data – Performance Measurement

Utilizing data for performance measurement is an important element of effective systems integration and coordination. This implies the need for the establishment of data collection systems and performance measures for the individual agencies involved in systems integration and the establishment of the same for the agencies' joint efforts to improve outcomes for youth. "The achievement of successful outcomes depends on, first, a careful identification of what outcomes are sought, second, an examination and address of the factors that affect achievement, and, third, the development of a measurement information system to document achievement" (Child Welfare League of America, 2005).

Data Collection and Interpreting Performance Data

An old adage that anyone collecting data has heard repeatedly is "garbage in, garbage out." Data collection begins once the sought outcomes and performance have been identified. General guidelines for collecting data for performance include the following:

- Clearly define what data to include. When data comes from another agency, confirm that the agency can provide data that accurately covers the correct population, time frame, and locality.

- Conduct a trial run early in the data collection process. This will help work out kinks that may occur prior to beginning your data collection process.
- Keep all data confidential by removing names and other identifiers; or, if the format fits your needs, keep data in an aggregate form.
- Provide information to individuals participating in data collection. This information should include: how confidentiality is being protected, how data will be used (to the extent that it will not compromise results), why participation is important, potential benefits, any risks involved, that participation is completely voluntary, and follow-up contact information.
- Clearly establish and define a time frame for data collection, taking into account that other agencies may only be able to provide certain data on set schedules.
- When appropriate, differentiate data from participants who receive little to no services versus participants who receive a lot of service. Including individuals' results who received far more or less service than the rest of the participants can affect the results of your program.
- Implement an instrument to measure program results into the service delivery process.
- When appropriate, collect data from captive and accessible audiences (Corporation for National and Community Service, n.d.).

As important as the data collection is, care also needs to be taken in the interpretation of performance data. The following are guidelines for interpreting performance data correctly and deciding how to respond to performance data:

- "Looking for trends can help you identify the bigger picture of how performance is changing over time, as reflected in the data you're gathering. If your actual performance is trending in the desired direction, you may not need to intervene.
- Considering the inherent variability in the process being measured will help you keep perspective. You don't want to overreact to a variation in performance measures that is due to normal fluctuations [e.g. variations by season]...
- Thinking about what's causing any variations in the data will help explain the causes beneath variations. Ask yourself what events or forces might underlie the variations you're seeing in your performance data...
- Asking whether your targets or metrics need to be changed will help you determine if you need to reconsider your targets or metrics. Sometimes, when you see an abrupt change in your performance data, it's a signal that you need to reconsider your target or metrics. Such signals can occur if your organization has changed an important process." (Harvard Management Mentor, n.d.)

Performance Measurement in the Juvenile Justice and Child Welfare Systems

There are many good examples of the development and use of performance measures in the juvenile justice and child welfare systems. These examples can serve as resources to jurisdictions developing data collection systems and performance measures to measure their integration and coordination efforts to improve outcomes for youth. In the juvenile justice system, a good example is the American Prosecutor's Research Institute's (APRI) Performance Measures for the Juvenile Justice System. Congress awarded a grant to APRI and its partners, Balanced and Restorative Justice Project (BARJ) at Florida Atlantic University and National Center for Juvenile Justice (NCJJ), to "inform citizens and practitioners about the systems' ability to protect communities, hold offenders accountable, and reduce the risk of re-offending through increased competencies in offenders" (American Prosecutors Research Institute, 2006). This effort provides some valuable direction regarding the character of benchmarks or measures tied to its goals. It states that its measures must be:

- "measurable with reasonable accuracy and reliability; accessible;
- concise, while striving to cover the broadest spectrum of quality of performance indicators;
- representative of the broadest scale investment of the citizenry, the juvenile justice system, and crime victims;
- reflective of positive gains, i.e., indicative of community achievement toward positive outcomes rather than just reduction of negative circumstances; and
- understandable by the community" (Harp, 2003).

This effort also describes a set of intermediate outcomes (including resistance to drugs and alcohol, restitution, community service, school participation, victim satisfaction, and citizen participation in the system) that measure the achievement of organizational objectives as well as a set of impact outcomes that measure long-term impact on offenders and communities. These impact outcomes include juvenile crime rate, law-abiding behavior of offenders within one year after completing juvenile court obligations, and adult criminal convictions in adulthood.

Two good examples of using data in performance measurement in the child welfare system include the "Texas Toolkit" described in the sidebar and the national measures

of court performance in child abuse and neglect cases following. The American Bar Association, National Center for State Courts, and National Council of Juvenile and Family Court Judges developed a toolkit to help jurisdictions measure court performance in four basic categories of measures and outcomes: (1) safety; (2) permanency; (3) due process; and (4) timeliness. This effort describes nine core performance measures for courts' data collection.

1. "Safety: Percentage of children who were victims of child abuse or neglect while under the court's jurisdiction.
2. Safety: Percentage of children who were victims of child abuse or neglect within 12 months after the court's jurisdiction ends.
3. Permanency: Percentage of children who reach legal permanency by reunification, adoption, or guardianship.
4. Due Process: Percentage of cases in which both parents receive written service of process on the original petition.
5. Due Process: Percentage of cases in which all hearings were heard by one judicial officer.
6. Timeliness: Time to Permanent Placement (average or median time from filing of the original petition to permanent placement).
7. Timeliness: Time to Adjudication (average or median time from filing of the original petition to adjudication).
8. Timeliness: Time to First Permanency Hearing (average or median time from filing of the original petition to first permanency hearing).
9. Timeliness: Time to Termination of Parental Rights (average or median time from the filing of the original petition to termination of parental rights)." (American Bar Association, National Center for State Courts, & National Council of Juvenile and Family Court Judges, n.d.)

Performance Measurement in Systems Integration and Coordination

Performance measurement should be an integral part of the work in systems integration and coordination. As jurisdictions develop the outcomes they seek for both the children and the system, they need to determine what measures will serve as indicators of achievement, what individual and aggregate data will need to be collected, and who will be responsible for the data's development and reporting.

Jurisdictions will be working to develop new programs and practices that improve their coordination and integration efforts and, at the same time, incorporate best practices. It may be useful to think of performance measurement as part of an overall measurement system as illustrated in Figure 2-1, which shows the approach to accountability and performance in Multnomah County, Oregon (Bernstein, 2002). To achieve the desired system and child outcomes, each of the participating agencies not only will be developing measures of success for their cross-system efforts but also will be thinking about improved

Performance Measures Are Only Part of an Overall Measurement System

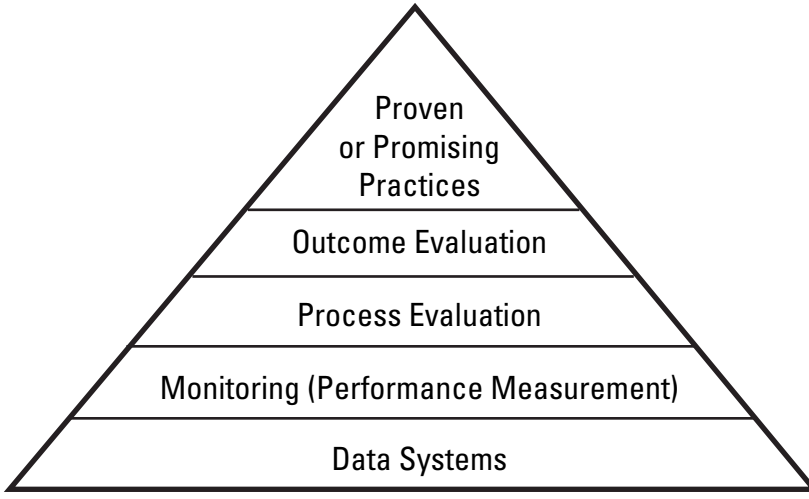


Figure 2-1

Source: Jim Carlson, Uses of Performance Measurement in Multnomah County. January 1998.

Linking Programs to Benchmarks Through Key Results

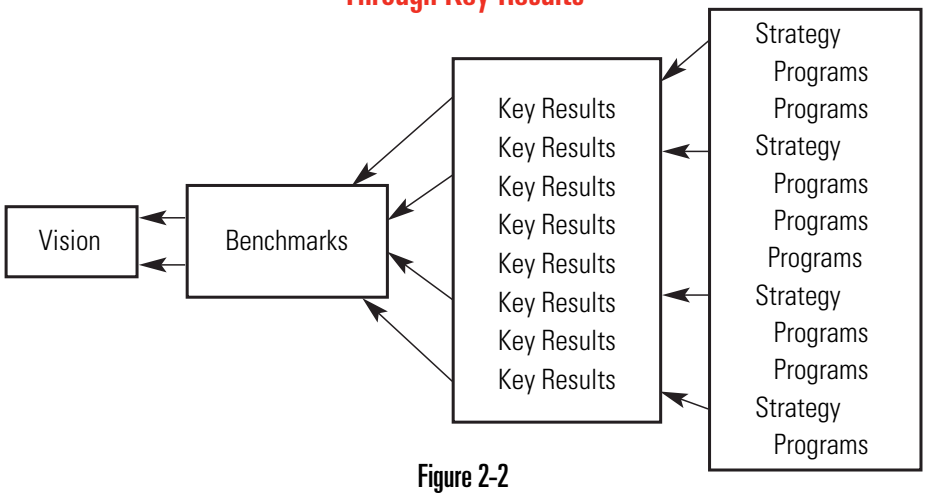


Figure 2-2

Source: Carol Ford, Linking Vision, Benchmarks, Strategies, Planning and Outcomes. January 1999.

measurement of their individual agency efforts. Multnomah County's effort, further illustrated in Figure 2-2, involved the establishment of benchmarks, a focus on key results or outcomes, and the strategies and programs designed to achieve those outcomes.

Endnote

1. The Family Independence Agency is responsible for child welfare and juvenile justice services, and contracts with private agencies to provide protection, treatment, and rehabilitation services to vulnerable children, youth, and families.

Using Data to Monitor Program Improvement Plan (PIP) Progress

The Texas CFSR team uses data to monitor its PIP. The "Texas Toolkit" consists of four tools:

1. **Regional Reviews**. They plan to perform periodic reviews at the regional level, tackle smaller slices of the population, and take the social workers and their supervisors through the process of the CFSR. This serves the dual purpose of educating staff as to expectations and requirements and allows them to look at results in meaningful cross-sections. They also pull stakeholders for structured interviews in order to get an impression of the services and the population served in that area.

2. **Performance Data Profile.** The Performance Data Profile, or "dashboard," is an interface that allows them to focus on key indicators to measure their overall performance. They can depict graphically the strength and degree of substantial conformity of areas of concern so that they can better focus their energy and training efforts.

3. **Automated CFSR Case Reading.** They perform case file readings using a designated "period under review." They review randomly selected cases, and then enter the case data through an online reporting tool. The tool uploads the information to a central database and quickly calculates the scores in an automated process. The results of all of the structured case readings are posted on the CPS Quality Assurance Quarterly report, with region-by-region comparison, accessible on their intranet site.

4. **DEMOS (Data-Enhanced On-line Management Support).** They have partnered with the University of Texas at Arlington School of Social Work to develop DEMOS, using software by Speedware, an On-Line Analytic Processing (OLAP)... application. Supervisors and managers can go to an Internet site and access data "cubes" that allow them to drill-down into information starting from the statewide overview through to regional, unit, and supervisor detail. This multidimensional design allows greater flexibility in analysis for the user.

Source: Child Welfare League of America (n.d.-b).

II. RESOURCES AND PRACTICE

The challenges to address in resources and practice include duplication of services, contradictory case plans, costly repeated interventions, and lost opportunities to plan for a continuum of service delivery focused on success with long-term outcomes. This phase involves an inventory of programs and services; a comparative analysis of missions, mandates, and policies; mapping of case flow process and key decision points, identification of national and local best practices; determination of assessment use; review of the funding to support services; and creation of training for personnel in both systems.

Compiling a Resource Inventory

List Programs and Services

A comprehensive inventory of programs and services across multiple disciplines should be compiled. The inventory should include, of course, child welfare and juvenile justice, but should also take into account the related disciplines of mental health, substance abuse, and education. The target populations for each of the programs and services should be identified. This exercise is probably best accomplished by creating a team of representatives from the two systems and related disciplines who can work with a common set of questions to complete the inventory. The San Bernardino Integration Initiative convened a team to gather this data. Its objectives were to list programs, services, and recipients and to address the following questions:

- How do you identify or define overlapping services?
- How do you identify or define gaps?
- How do you characterize recipients?
- Do you count recipients differently?

The team was also to identify existing partnerships, MOUs, and informal agreements (HSS Integration Initiative, n.d.-b).

A limitation in this exercise may be that it is conducted by people who are considered "system insiders." To enhance this effort and perhaps create some new resources to support the initiative, participation could involve the broader community. Often, the

community will be involved in a needs-assessment exercise, however, one can achieve a more complete inventory of resources, as opposed to a needs assessment, by asking residents, clients, family members, and children to identify the community resources that support families and children (Andrews, 1996). This might be accomplished through surveys or focus groups that engage the community fully in the resource inventory.

Compiling a list of programs and services across the two systems is likely to identify some commonalities in service delivery and, in some cases, programs that are offered in both systems. For example, Multi-Systemic Therapy (MST), which has enjoyed success with some populations of delinquent children, also has been used successfully with abusive families (Wasserman & Seracini, 2001, p. 185).

Identify and Compare Organizational Missions, Mandates, and Policies

A common response when people in both systems are challenged to work together is, "But we don't have the same mission." Although this may be true in terms of broad definitions, this issue should be examined carefully for two reasons: One, it is important to protect the integrity of each system's missions, mandates, and policies, but, two, a careful examination will help show where the two systems have points in common that serve as a foundation for integration and coordination efforts.

Representatives of the two systems should develop a framework approved by the key leaders, into which information about missions, mandates, and policies can be entered for detailed analysis. This information should include state and federal laws, departmental policies, and administrative directives that govern the work of each system. It is important that the analysis involve the leadership of both systems—people who have decision-making authority. In particular, there are likely to be differences of opinion and challenges requiring "top brass" to weigh in when organizational missions are discussed.

As discussed previously, it is critical to conduct a legal analysis of the two systems and their current operation. This should not only involve the identification of laws, regulations, and policies, but it should include stakeholder interviews to learn how systems actually do or do not collaborate effectively in light of the identified statutory, regulatory, and policy frameworks.

Identify Existing Initiatives and Partnerships

A critical part of the planning process for this initiative is to identify existing efforts on which to build in either of the two systems or between the systems. Such efforts might be programs, initiatives, or partnerships aimed at the same or similar target populations. There also may be MOUs, joint powers agreements, or other documents that support joint efforts. In any case, it is important to carefully identify these efforts, both because they can strengthen the foundation for the current initiative and to ensure that no unnecessary duplication of effort exists.

Case Flow Mapping to Improve Cross System Decision Making

The development of a case flow mapping exercise can initially be accomplished by viewing, or constructing if one does not exist, a case-flow process for the juvenile justice and child welfare systems. There are multiple cross-system benefits from undertaking this review and analysis. The key decision points in each system can be identified, professional staff responsibilities and mandates can be clarified, and expected products and outcomes that support improved decision making at each key step can be established and/or developed. Robert Damelio's, *The Basics of Process Mapping*, provides excellent guidance for the case flow mapping process (Damelio, 1996). Against an established consensus for the goals of the dual status youth initiative, this mapping process creates an understanding of the most appropriate decision points and practices around which improvements or reforms may be developed on behalf of the target population. The following activities help to illustrate what is sought by the process mapping activity:

- Understanding of the steps in the various system and court processes
- Identification of the what happens (action), who is responsible (decision), and what output or outcome is expected or produced at each step (product)
- Discussion/Assessment of the quantity and/or quality of the information being gathered and utilized in each step of the process
- Identification of process gaps
- Identification of necessary resources (workforce and program)
- Identification of what is and is not working

As the professional staff considers these issues in the development of their graphic depiction of the process flow map and an accompanying narrative, the following questions will support a systematic review of each decision point:

- What is intended to happen at this step?
- What actually happens at this step?
- Who is responsible for taking this action?
- Who are the partners (existing and desired) collaborating in this action?
- What is expected to occur (output and outcome) before the next step occurs?
- What is missing in between steps?
- What are the key decision points at which change or reform might be proposed?
- What are the necessary resources at each step (workforce and program)? (adapted from Damelio, 1996)

To further illuminate the case-flow process and its implications for integration, it also would be useful to track a cohort of children who have been in both systems. CWLA's Multi-System Case Analysis (MSCA) is a resource that would facilitate this activity. Jurisdictions have used the MSCA to demonstrate how agency and system partners "are working together to report, investigate, and treat child abuse and neglect" (Child Welfare League of America, n.d.-a). It could track children who have been in both the child welfare and juvenile justice systems across a community's legal and social service systems, focusing on the actions taken, decisions made in each system, and level of coordination among systems. MSCA provides valuable data to communities, enabling them to identify strengths and formulate strategies to reduce gaps, deficiencies, and barriers in existing prevention and intervention policies, procedures, and practices. This activity should provide a picture of common and dissimilar components of case processing and management as well as areas in which the two systems overlap.

Case Flow Mapping in Newton County, Georgia

The Newton County, Georgia SYNC (Serving Youth in Newton County) effectively focused on mapping their case flow process to accurately and visually depict each step for target population youth after these youth became the subject of a complaint in the juvenile justice system. The Newton County SYNC subcommittee, formed to undertake this task, used the process to create an understanding of the key decision points at which new and enhanced multi-system practices may be introduced to interrupt the trajectory of Newton County's dual status youth into the juvenile justice system. The cross-system discussions were facilitated by a neutral convener and were structured to address the questions listed below for each key decision point:

- Who are the participants at this step?
- What are the decisions or actions that take place at this step?
- Who makes these decisions or actions?
- What criteria are used to make these decisions or actions?
- What additional information should be noted to further clarify this step?

The subcommittee participants used this exercise to clarify agency roles and to help line staff gain a better understanding of each representative's responsibilities. The exercise allowed the collaborating agencies to identify youth diversion and alternative intervention opportunities not currently being used. A detailed narrative accompanying the map effectively memorialized the court procedures for handling dual status youth, material that became fundamental to the subsequent staff training.

The next phase of work for the subcommittee involved joint working sessions with the SYNC Executive Committee to review the map and the recommended points of intervention or key decision points at which dual status youth could be identified and potentially diverted from further steps into the juvenile justice system while still providing an effective intervention(s). As a result of this detailed study and analysis of the case flow process, the Newton County SYNC was able to reach consensus to prioritize an enhanced early diversion opportunity within Intake and mandate the use of a statutorily created Local Interagency Planning Team (LIPT) process to more positively impact service opportunities for the selected target population.

Identifying Best Practices

Review Best Practices Nationally

This exercise should involve a review of best practices nationally across the continuum of intervention for the child welfare and juvenile justice populations. Many resources exist to identify best practices. In the child welfare arena, national resources include CWLA. The CWLA Standards of Excellence for Child Welfare Services are organized into 13 volumes by topic, but the standards that might be particularly useful for the development of the instant initiative are under the following topics:

- *Standards of Excellence for Abused or Neglected Children and Their Families* (CWLA, 1998)
- *Standards for Organization and Administration for All Child Welfare Services* (CWLA, 1984)
- *Standards of Excellence for Family Foster Care* (CWLA, 1995)
- *Standards of Excellence for Residential Group Care Services* (CWLA, 2004)

The DHHS Children's Bureau provides assistance in this area through its National Resource Centers and Training and Technical Assistance network. The National Resource Center for Permanency and Family Connections may be most helpful. This Center provides information, resources and on-site technical assistance. Its work focuses on technical assistance regarding the provisions of the Fostering Connection to Success and Increasing Adoptions Act of 2008 (Fostering Connections). The National Centers for Youth Development and Legal and Judicial Issues may also be of assistance. The National Center for Youth Development bases its technical assistance on the 4 core principles of youth development, collaboration, cultural competency, and permanent connections. The National Technical Assistance Center for Children's Mental Health assists in building systems of care that enhance the quality of care and outcomes for children, youth and families with, or at risk of, emotional disorders (Children's Bureau, 2013).

The Positioning Public Child Welfare Guidance published by the American Public Human Services Association includes information and instructions for action in fourteen areas for high quality public child welfare practice. The Guidance is a tool that an agency can use as a benchmark against which to measure itself and for continuous quality improvement (APHSA, 2013).

In the juvenile justice arena, the MacArthur Foundation's *Models for Change* initiative has produced effective reform models aimed at ensuring that youth are held accountable while being treated fairly and in a developmentally-appropriate manner. *Models for Change* reform areas include aftercare, community-based alternatives, evidence-based practices, juvenile indigent defense, mental health, and racial and ethnic fairness. *Models for Change* has created mechanisms such as Action Networks, publications, and the new Resource Center Partnership, of which RFK National Resource Center for Juvenile Justice is a part, to facilitate the sharing of successful and replicable practices developed locally and applicable nation-wide. Resources describing *Models for Change* reform efforts, best practices, and tools for implementation can be found at www.modelsforchange.net as well as at the new Juvenile Justice Resource Hub at www.jjie.org/hub.

In addition, the book Serious and Violent Juvenile Offenders: Risk Factors and Successful Interventions (Loeber & Farrington, 1998) provides guidance about best practices, as does the Guide for Implementing the Comprehensive Strategy for Serious, Violent, and Chronic Offenders (Howell, 1995).

Another very useful resource for best practices is Blueprints for Violence Prevention (Center for the Study and Prevention of Violence, n.d.). This is an effort that has identified 11 prevention and intervention programs, model programs that have been effective in reducing adolescent violent crime, aggression, delinquency, and substance abuse. A further resource is the work done by the Washington State Institute for Public Policy. This work reviews more than 400 research studies, focusing on evaluations that used a control or comparison group to determine whether programs reduced criminality. It is an excellent resource not only because it discuss both approaches and "off-the-shelf " programs such as Multi-Systemic Therapy (MST), but because it has developed benefit-to-cost ratios illustrating the economic value of implementing various programs (Aos, Phipps, Barnoski, & Lieb, 2001).

Review Local Continuum of Programming

The next step in identifying best practices is to look to the local programming and its effectiveness, establishing a baseline for continuing evaluation. This should consist of a review of performance indicators for programs and services and any evaluations that have taken place both inside and outside the organizations. This is an opportunity to look at

what the stated goals of programming and services have been. Are these goals relevant to current practice, how well have the goals been met, and what are the outcomes of the programs and services?

Identify Promising Programs and Practices

After reviewing the national best practices and the performance of local programs, the team should prepare a statement that identifies effective, promising programs and services across both systems. The two systems should analyze how these programs and services relate to the sought outcomes (systemic and children's outcomes) and the resource inventory and decide what should be a part of their common service delivery. They should also jointly commit to the principles of best practices that can be common to both systems and consider the development of services and programs that can be made available to both systems' populations. This should serve as part of the foundation for decisions regarding the integration and coordination of the two systems.

Ohio Partnerships for Success (PfS) was an example of an effort that used this kind of data to drive its program development across multiple systems. PfS was "a comprehensive approach to building capacity at the county level to prevent and respond effectively to child, youth, and family behavior problems" (CWLA, 2003b, p. 8). Ohio awarded PfS grants to counties to promote more successful outcomes. Communities and counties that participated in this program based their plans "on indicated data, research, and measurable outcomes that address needs of children, youth, and families," and identified and implemented "evidence-based practices in prevention and intervention services and programs that reduce the risks associated with problem behaviors" (CWLA, 2003b, p. 8).

This effort was guided by six key principles:

- communitywide involvement,
- the use of risk and protective factors,
- a continuum of services beginning with primary prevention and ending with interventions for the most serious behaviors,
- data-informed activities,
- evidence-based and feasible practices, and
- outcome-based planning and evaluation.

Elements of Effective Programming

A review of programming across the prevention continuum and intervention programming for child maltreatment and juvenile delinquency illustrates that effective programming targets risk factors in multiple domains and includes, wherever possible, a focus on both the child and the family. Elements of effective programming can be summarized as programs that:

- Address the entire context of child and family functioning;
- Provide support for parents;
- Provide parent education;
- Focus on improved parent-child interaction;
- Include good individualized assessment of the child;
- Identify risk factors and needs;
- Target risk factors at the child, family, neighborhood, and peer level;
- Involve a multi-modal approach;
- Draw on community support;
- Integrate the services of schools and the juvenile justice, child welfare, and mental health systems;
- Emphasize behavior skills development for both parent and child; and
- Direct activities to long-term outcomes for children (e.g., reduction in exposure to abuse, neglect, and violence in the home; reduction in delinquent behavior; school success; social competency).

Source: Wiig & Widom (2003, pp. 26–27).

Family Engagement

It is critical to engage the family, through the use of strength-based approaches, on behalf of dual status youth. This effort, undertaken at multiple levels of involvement, is foundational to effective multi-system reform. Also foundational is the principle and belief that families have strengths that can be tapped to successfully create change (Herz, Lee, Lutz, Stewart, Tuell & Wiig, 2012). Opportunities to engage the family include:

- educating the family on system processes as well as rights and responsibilities as part of multi-disciplinary meetings and through the development and distribution of informational brochures or videos;

- involving family members and/or caregivers in multi-disciplinary case planning meetings for their youth and in the identification of effective intervention and accountability measures;
- inviting family members' ongoing partnership in their youth's case management oversight as participants in case staffings and reviews;
- asking family members for their feedback as part of the development and review of system responses, practices, and policies; and
- inviting family members to participate as members of policy making collaborations or parent/family focus groups.

Underlying each of these opportunities for engagement is the need for training of staff regarding effective communication with families and strength-based approaches to working with them.The importance and growing commitment to family engagement as a critical practice in the realization of improved outcomes has been evidenced in both the child welfare and juvenile justice systems. The Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-3512), while promoting family group conferencing, encourages and financially supports connections of children to relative caregivers, placement of siblings together, and educational stability. Within the juvenile justice arena, the Second Chance Act, focusing on re-entry, has helped increase awareness and underscore the importance of family engagement in a youth's transition home from a juvenile justice facility and provides funding for family and community collaborative strategies. The engagement – or participatory process – at all levels enhances the family's sense of competence, trust and relationships with system personnel and perspective on system fairness; encourages alternatives to placement outside the home; and demonstrates improvements to the safety and stability of youths and their families (Pennell, Shapiro, and Spigner, 2011).

Particularly in a multi-system collaboration, creating an environment in which family stakeholders are looked to for advice and guidance requires building an organizational culture and processes that assure involvement. This is significant in that "multiple elements must come together to institutionalize family engagement:

- Mission, values, and philosophy that require engagement
- Interventions that empower youths, families, victims, and other key stakeholders to participate actively
- Opportunities for voice and involvement at every level of the organization
- Policies and practices that support engagement
- Collaborations founded on respect for family and community experiences

- Capacity building of youths, families, communities, and agencies to partner
- Services designed to meet the expressed needs of youths, families, and other key constituencies"
  (Pennell, Shapiro, and Spigner, 2011, p.17; adapted from Chovil, 2009).

The authors of *Safety, Fairness, Stability: Repositioning Juvenile Justice and Child Welfare to Engage Families and Communities* (2011) set out eight principles that can serve multi-system collaborations in the creation and development of family engagement. They include:

- "Youth are served in the context of family and community.
- Youth and their parents are actively engaged in defining the problem, developing goals, and writing an individualized action plan for change.
- The service plan for each child and family is integrated and holistic and reflects their cultural heritage.
- When youths have to be removed from their families, every effort is made by both the child welfare and juvenile justice systems to reduce the length of separation and maintain the connection to family.
- When child welfare removes youths from their home, every effort is made to keep them in their schools and avoid school transfers; and in juvenile justice an education plan is developed designed to keep youths connected to school while in out-of-home placement and as they transition back into the community.
- Funding is redirected to structured support of family-and community-based work.
- Accountability measures are jointly established and monitored at the community level.
- Public agencies collaborate and partner to communicate information and provide needed services."
  (Pennell, Shapiro, and Spigner, 2011, p.31)

In summary, it is important in multi-system collaboration to adopt the fundamental belief that family engagement at all key decision points and at all levels of involvement is critical to the achievement of successful outcomes for the population of dual status youth in a jurisdiction.

Reducing Racial and Ethnic Disparities

A critical component of any systems integration work to address dual status youth is a focus on the reduction of racial and ethnic disparities. While jurisdictions around the country are increasingly focused on the disproportionate representation of youth of color in both their child welfare and juvenile justice systems, this dual status population needs to be a specific target of those efforts. The King County research discussed previously illustrates the disproportionate representation of these youth in the juvenile justice system, reporting that the proportion of African-American youth increases almost three-fold and the proportion of Native American increases four-fold as the extent of child welfare involvement intensifies (Halemba and Siegel, 2011).

Two publications that are particularly helpful to jurisdictions in their efforts to address racial and ethnic disparities are an OJJDP bulletin, *Reducing Disproportionate Minority Contact: Preparation at the Local Level* (Soler and Garry, 2009) and a Models for Change Innovation Brief, *Reducing Racial and Ethnic Disparities in Pennsylvania* (Models for Change, 2012). The OJJDP bulletin, whose authors wrote the chapter on local preparation in OJJDP's *Disproportionate Minority Contact* [DMC] *Technical Assistance Manual* (2009), provides guidance to local jurisdictions regarding the steps in preparation for launching a reduction effort and points out the benefits of preparation including:

- Establishing relationships with and among key stakeholders
- Determining the key goals of DMC-reduction efforts
- Identifying available data and research on DMC in the jurisdiction

This bulletin (Soler and Garry, 2009) also describes the importance of how jurisdictions talk about DMC and factor in public attitudes about crime, race, and youth. It outlines the following preparation steps which can be integrated into the strategic planning framework that this guidebook sets out for addressing dual status youth:

- Establishing a Steering Committee
    - Articulating Local Goals and Objectives
    - Mediating Discussions
- Identifying Leadership
- Reaching Consensus
- Conveying a Sense of Urgency

- Setting Priorities
- Organizing the Work by Defining Success

The Models for Change Innovation Brief, *Reducing Racial and Ethnic Disparities in Pennsylvania* (Models for Change, 2012) describes how one state implemented data-driven reforms to reduce disparities. The Brief sets out three goals in efforts to reduce disparities:

- Reduce over-representation of minority youth in the justice system,
- Reduce differential treatment at each decision-making point, and
- Prevent minority youth from entering and moving deeper into the system.

Each of these goals requires data-driven strategies which are at the core of the innovations that were a part of Pennsylvania's experience with this critical endeavor. Pennsylvania has a history of juvenile justice reforms through its work with Models for Change over the years and it built on that history to develop and implement innovations described in the Brief and listed as follows:

- Expanding Collaboration
- Incorporating Data into Decision-making
- Data Improvements
- Objective Screening Tools
- Alternatives to Detention and Out-of-Home Placement
- Graduated Responses for Youth on Probation
- Linguistic and Cultural Competence
- Work with the Faith-based Community

The Brief reports that Pennsylvania experienced measurable changes (citing Berks County, Philadelphia sanctions court, and Lancaster County) resulting in reductions in racial and ethnic disparities. These were achieved by reducing the use of detention, finding new ways to handle probation violations, increasing the use of community-based and evidence-based practices, implementation of a detention screening instrument, and establishment of an evening reporting center.

Reviewing the Use of Assessments

Conduct Inventory of Assessment Tools

An inventory of the assessment tools used in both child welfare and juvenile justice should be made. This inventory of tools and practices is important for a number of reasons. It can be a key to achieving some economies of scale, in that the instruments themselves may overlap or the agencies may have duplications of effort in their use, it may strengthen both systems' effective use of assessments to assign programs and services, and it may have utility as part of a strategy for preventing child maltreatment and delinquency. Opportunities may exist to develop tools in common between the two systems and to use risk assessment in child welfare to identify youth at high risk for future delinquency.

The inventory should include observations about what is missing, that is, identification of what assessment tools could be used in both systems or in concert with one another. Questions should be asked about the use of particular assessment tools to help illuminate this inventory, including:

- What decisions are the tools to guide or facilitate?
- What population or problem is the target of their use?
- What tools do both systems use?
- Do the data collected by different tools from each system overlap?
- How are the assessment tools used?
    - To classify children?
    - To conduct individualized assessments?
    - To make dispositional recommendations to the court?
    - To plan for services?

A useful resource for the conduct of an assessment inventory and corresponding analysis is the volume, *Screening and Assessment in Juvenile Justice Systems: Identifying Mental Health Needs and Risk of Reoffending*. It is designed to assist the reader in understanding the differences between screening and assessment in relation to risk assessment, how to select a valid tool, what are some examples of tools used in juvenile justice facilities and community-based services, and what are the benefits of screening and assessment tools for mental health problems and risk for re-offending (Vincent, 2012).

Consider Use of Risk Assessment

A special topic for consideration is the use of risk assessment. Jurisdictions may have a greater opportunity to prevent child maltreatment and future delinquency if the two systems would join forces to identify high-risk children. The development and use of instruments in common that identify risks of child maltreatment and delinquency is particularly critical, because family risk factors for delinquency and violence overlap with characteristics of abusive and neglectful families. Assessment of risk factors has identified children at risk of both maltreatment and delinquency, targeting them along with their families for specific programming (e.g., nurse home visitation and the early intervention programs discussed previously). For those jurisdictions undertaking the development of risk assessment tools and processes generally, a recently published guidebook, *Risk Assessment in Juvenile Justice: A Guidebook for Implementation* (Vincent, Guy, & Grisso, 2012) is an excellent resource.

Risk factors for delinquency are often categorized into four areas: community, family, school, and individual and peer group (Howell, 1995, p. 19). Risk factors for child abuse and neglect are also frequently categorized into four areas: characteristics of the parent, child, family, and environment and community. It is important to recognize that "a lack of sensitivity to co-occurring risk factors [in the family and the individual] has generally led to interventions that are too narrowly focused" and "the focus on risk factors that appear at a young age is the key to preventing child delinquency and its escalation into chronic criminality" (Wasserman et al., 2003, p. 10). It would be a worthwhile endeavor to identify specific points along the continuum of child welfare prevention and intervention services at which efforts can be targeted to prevent delinquency.

Technology is increasingly available in risk assessment instruments. Jurisdictions have used SDM in both the child welfare and juvenile justice systems. SDM involves a combination of risk and needs assessment. In Child Delinquents, Howell (2001) pointed out that risk and needs assessments are often used in tandem to match offenders with appropriate interventions. He also noted that risk assessment instrument development for very young offenders is just beginning. Two efforts, the Early Assessment Risk List–20B (EARL-20B) for boys and the EARL-21G for girls, instruments developed by the Under 12 Outreach Project in Toronto (Augimeri, Webster, Koegl, & Levene, 2001; Levene et al., 2001), and the assessment instrument developed for the All Children Excel (ACE) program, a program for delinquents younger than age 10, in Ramsey County, Minnesota (Beuhring & Melton, 2002, p. 24), show promise.

Structured Decision Making Model

The Structured Decision Making (SDM) model is an example of a tool that was adapted to cross both the child welfare and juvenile justice systems. SDM "focuses on how case management decisions are made and how agency resources can best be directed" (Wiebush et al., 2001, p. 4). A core component of SDM is a risk assessment method "originally developed to classify juvenile offenders according to their likelihood of committing additional offenses" (Wiebush et al., 2001, p. 4).

In the child welfare system, SDM includes assessment tools in four areas: response priority, safety, risk, and family strengths and needs. The use of these tools and this model has produced some promising results in terms of lower maltreatment rates. What is of further interest, however, is that the model has been held out as a delinquency prevention strategy, in that a reduction in child maltreatment translates to a reduction in future delinquency because of the link between the two. The principles of this model involve improved decision-making through highly structured assessment processes and assigned priorities in individual cases corresponding to the results of the assessment process. The principles further relate to how an agency conducts its business in the broader sense. The aggregate assessment data can help determine the range and extent of necessary service resources. Also, "assessment and case classification results are directly related to agency service standards, which in turn drive staff workload and budgeting requirements" (Wiebush et al., 2001, p. 6). Finally, an important principle of this model is that it is to be designed collaboratively, engaging agencies in a joint development effort built on a set of principles and components but adapted to local practices and mandates.

In summary, an inventory of assessment tools used by both systems, along with a review of the developing technology in this area, could lead to more effective use of assessment. Specifically, it could lead to the use or development of assessment tools collaboratively by the child welfare and juvenile justice systems and an institutionalized commitment to these tools.

Trauma-informed Assessment and Intervention

Increasingly, juvenile justice and child welfare practitioners are recognizing the importance of making trauma-informed assessment and intervention an integral part of their policy and practice. It is a critical topic for inclusion in the development of practices across systems to address those youth who come into contact with both the child welfare and the juvenile justice systems.

The National Child Traumatic Stress Network (NCTSN) defines child traumatic stress as occurring "when children and adolescents are exposed to traumatic events or traumatic situations, and when this exposure overwhelms their ability to cope with what they have experienced." (NCTSN, *Defining Trauma and Child Traumatic Stress*). The traumatic *events* set out in the definition that may relate particularly to dual status youth include

gang-related violence in a community, sudden or violent loss of a loved one, and physical or sexual assault. The chronic traumatic *situations* that may relate particularly to dual status youth include some forms of physical abuse, long-standing sexual abuse, and domestic violence. Attention is paid to this definition in this context because dual status youth, as victims of maltreatment may have experienced child traumatic stress and, as stated in the research reported earlier in this guidebook, child maltreatment increases the risk for delinquency. The delinquent behavior can be the child's or adolescent's response to traumatic stress, "externalizing problems like aggression, conduct problems, and oppositional or defiant behavior." (Ford et al. NCMHJJ, p.1) Further, "trauma is directly relevant to understanding the driving factors underlying a youth's delinquent behaviors and the driving factors that are likely to contribute to desistance or recidivism." (Kerig, p.2)

The NCTSN Trauma-Informed Service Systems Working Group offers direction as to what elements constitute a service system with a trauma-informed perspective. Those elements are contained in the following definition:

> *A service system with a trauma-informed perspective is one in which programs, agencies, and service providers: (1) routinely screen for trauma exposure and related symptoms; (2) use culturally appropriate evidence-based assessment and treatment for traumatic stress and associated mental health symptoms; (3) make resources available to children, families, and providers on trauma exposure, its impact, and treatment; (4) engage in efforts to strengthen the resilience and protective factors of children and families impacted by and vulnerable to trauma; (5) address parent and caregiver trauma and its impact on the family system; (6) emphasize continuity of care and collaboration across child-service systems; and (7) maintain an environment of care for staff that addresses, minimizes, and treats secondary traumatic stress, and that increases staff resilience.* (NCTSN Dierkhising, Ko, & Goldman p. 2)

NCTSN's brief, "Cross System Collaboration," points out the critical need for child welfare and juvenile justice and related systems to communicate as part of a trauma informed juvenile justice system. This brief emphasizes the early identification of all the systems working with a youth. This is a cornerstone of working with dual status youth and a critical starting point for effective child welfare and juvenile justice system integration. It is recommended that this early communication begin at the time of arrest or juvenile justice intake to assure that all relevant history on the youth, including past assessments and case planning information, can be effectively considered by the various systems in their

current assessment and case planning for a youth. This establishes the foundation for systems to understand the youth's trauma history, how it has impacted the youth's behavior, and the implications for treatment planning (Stewart, 2013).

Reviewing the Funding

Identify Resources and Potential for Blending Funds

A comprehensive review and analysis of funding sources and revenue streams in both systems should be conducted. It is a challenge to better align the funding with desired results. This exercise should identify funding to support the integration of services by way of blended funding opportunities, funding for necessary infrastructure, and cost savings that the initiative might achieve. It is also an opportunity to identify areas where revenue could be maximized, such as additional federal funds that the initiative might draw on for services to specific target populations. CLASP developed useful summaries of federal programs for children and families (Hutson, 2004). The summaries have been updated and are contained in Appendix J. Summaries of federal programs for juvenile justice are set out in Appendix K.

Some key strategies exist for blending funding streams to better serve the needs of children. They are:

- Pooling: Combining funds from several agencies or programs into a single funding stream.
- Coordination: Aligning categorical funding from a number of agencies and funding streams to support community-based initiatives.
- Devolution: Delegating authority for allocating funds from higher to lower levels (e.g., from state to community-based agencies or organizations).
- Decategorization: Removing narrow eligibility requirements or other rules that restrict how groups can spend funding. (Morgan & Martin, 2004, p. 39)

The San Bernardino Integration Initiative's objectives focused on identifying common funding streams, categorical funds, funds that could not be blended, purposes of funds, duplicate purposes of funds, time limitations, and cost-reporting implications. The initiative

developed several questions to meet its purpose of identifying and enhancing availability of funds to further the integration of HSS services:

- How much money, what used for, where from, and what restrictions are there?
- What money can we blend to our advantage?
- How can we reduce cost by consolidating services, procurements, and activities?
- How can money be shared or blended to benefit all stakeholders (HSS Integration Initiative, n.d.-d)?

The Ad Hoc Working Group on Integrated Services' (1996) Moving from Principles to Practice, a resource guide for integrated services systems, suggested several principles in a discussion of the role of financing in the integration and coordination of services:

- Two priorities should guide funding policies—a focus on achieving desired results and greater flexibility in how dollars are used to accomplish them.
- States and communities should have greater flexibility in using categorical funds.
- Stable and adequate funding should be available to support collaboration, particularly the infrastructures needed for effective services.
- Funding should promote intra-agency, interagency and inter-system decision-making.
- Dollars gained by increased efficiency and expenditures on prevention and early intervention should be invested to further expand prevention and early intervention.
- Funding should protect vulnerable populations. (p. 2)

Consider a Budget for Target Population

Taking this effort a step further, Los Angeles County developed a children's budget. This grew out of a partnership between the Chief Administrative Office's (CAO) Service Integration Branch, the Children's Planning Council, and the New Directions Task Force. Presented as an addendum to the county's proposed budget in 2002–2003, the children's budget was described as "links program performance measures with budget allocations, actual expenditures, and funding sources for programs serving children and families" (Service Integration Branch, n.d.). The children's budget's section on funding sources and revenue streams included a description of how this effort's revenue maximization strategy encourages service integration and coordination. The strategy calls for departments to keep in mind the best interests of the client and to ensure that the funds follow the client.

Other aspects of the strategy include:

- Establishing a revenue function within the CAO to develop and recommend revenue maximization and leveraging strategies from a countywide perspective;
- Initiating a Revenue Cycle that complements the Budget Cycle and focuses on revenue generation strategies; and
- Developing a user-friendly website to enable departments, providers, and the community to access information about revenue streams and how they can best be leveraged to benefit their clients. (Service Integration Branch, n.d., p. 197)

Training Across Systems

The initiative can use the inventory and assessment as foundation to develop cross-training of personnel in both systems. The purpose of the training is to help personnel from each system understand the other, recognize goals and efforts in common, and prepare for the action strategy. It may be useful to cross-train a group of individuals representing many levels and disciplines of the participating organizations, people who support the initiative and are willing to take action to make integration or coordination efforts happen.

The training should include the information gathered during the inventory and assessment phase (best practices; use of assessments; funding; and missions, mandates, and policies), but it is an opportunity also to include information from the data collection phase and the preliminary strategies identified in the mobilization and advocacy phase. A secondary objective might be achieved in that the participants will not only be ready to move on the action strategy, but they may also come up with additional ideas or solve potential problems associated with the integration and coordination efforts.

It is through not only learning about the other system but also through the development of relationships that coordination and integration will occur. Missouri conducted cross-training of child welfare professionals from all disciplines based on its Missouri Resource Guide for Best Practices in Child Abuse and Neglect (Missouri Supreme Court, Family Court Committee, 2002) under the auspices of Missouri's Supreme Court. "The Chief Justice commented that Missouri does not need new legislation so much as improved cooperation" (Missouri DSS, 2003). Increasingly, jurisdictions undertaking child welfare and juvenile justice systems coordination and integration are making cross-training a

cornerstone of their implementation of new practices to address dual status youth. The interaction of participants from multiple disciplines not only helps them understand how each other operates, but it creates relationships and bonding that builds efforts to work together. It helps to break down the culture of separatism that permits systems and agencies to operate out of silos and discourages coordination and integration efforts.

III. LAW, POLICY, AND INFORMATION SHARING

As communities undertake systems integration and coordination efforts, attention should be directed to legal and policy analysis taking into consideration what legal mandates must be accounted for, how resources will be allocated, what funding is provided, and the appropriate court processes to support integration and coordination efforts. Attention should also be directed to effective information sharing including such issues as the need to share, the privacy of individuals, data sharing impediments, and the capacity to share information.

Legal and Policy Analysis for Systems Integration and Coordination

A strong law and policy foundation is critical to the support of systems integration and coordination efforts. Key leaders should establish a process for making sure that a legal and policy analysis is undertaken to establish that foundation. Detailed, step-by-step guidance for this process is set out in an additional CWLA publication, *A Guide to Legal and Policy Analysis for Systems Integration* (Heldman, 2006). That guide illustrates that this legal and policy analysis will require work in at least four arenas: (1) legal mandates, (2) court processes, (3) resource allocation and funding, and (4) information sharing. Common themes among jurisdictions that have undertaken this effort include the following:

- "information sharing/confidentiality concerns that can impact coordinated case management and service delivery as well as efficient and effective court processes;
- how specific state statutes define the goals, practices, and procedures of the state's child serving systems and how these provisions impact the ability of agencies to work together;
- whether agency mandates are clear, communicated to staff, and met by the agencies, including whether it is understood which system is responsible for the legal and physical custody of a child involved in both child welfare and juvenile justice;
- whether/how court practices impact the ability of agencies to effectively serve clients, and whether the court is supporting or can support interagency strategies;
- how resources are allocated between child welfare and juvenile justice systems and the extent to which resource allocation impacts systems integration; [and]
- legal issues surrounding the development of information management systems" (Heldman, 2006).

The guide recommends a special committee be formed to handle the legal and policy analysis and sets out a list of questions to help guide the committee's discussion. Information sharing is handled as a separate topic below. Following are the questions from the guide to address the other three arenas: legal mandates, resource allocation and funding, and court processes.

Legal Mandates

- Are there specific legal mandates requiring interagency or multidisciplinary coordination and collaboration in order to address certain issues, populations, or circumstances? If so, have these mandates been met?
- Have the participating agencies and entities identified where there is existing overlap in legal mandates, including state statutes that define the goals, practices, and procedures of the state's child-serving systems, thus providing natural areas for coordinated efforts?
- Have the participating agencies and entities identified where there are existing conflicts in legal mandates, including state statutes that define the goals, practices, and procedures of the state's child-serving systems, thus creating potential barriers to coordination and collaboration?

Resource Allocation and Funding

- Have the participating agencies and entities identified funding sources provided by the federal and/or state government that specifically support systems integration?
- Have the participating agencies and entities identified which funding sources legally allow blending of funds with other agencies?
- Have the participating agencies and entities identified which funding sources are legally restricted to supporting activities of only one agency or program?
- Have the participating agencies considered ways in which existing resources can be shared that do not require obtaining new and additional funds?

Court Processes

- Is there a mechanism for notifying the child welfare system when one of their clients makes contact with the court due to a delinquency matter?
- Is there a mechanism for ensuring the judge handling a case in one system has access to the information in possession of the other system?
- Are the appropriate representatives present in court at each hearing (e.g. are social workers notified of and present at delinquency proceedings?)
- Does the court utilize a "one family/one judge" model? If not, has this approach been considered?

- Does the court require any coordinated efforts between agencies such as joint case or treatment plans? If not, would the juvenile court judges be likely to consider requiring such measures? (Heldman, 2006)

Establishing Effective Information Sharing

Sell the Need to Improve Information Sharing and Protect the Privacy of Individuals

The idea that improving information sharing will be beneficial in meeting program and system goals may need to be sold to participants. It may be valuable for them to again review the system and child outcomes they seek. The JAIBG bulletin on this subject suggests that information sharing should help coordinate multiple services provided to the same family or child, facilitate services or treatment, improve case and management-level decision making, and help identify children at risk of maltreatment or delinquency (Slayton, 2000). Slayton further stated that

> *a central database of information regarding delinquent, at-risk, and dependent juveniles would eliminate the need for multiple agencies serving a single juvenile to collect the same information and might also eliminate the need for each of these agencies to obtain a release to gather the information needed to serve that juvenile. (p. 2)*

A report of focus group participants involved with the development of integrated information sharing comments on the agency services overlap: "This perceived waste of scarce resources became a prime motivator to share information across systems in order to increase the level and quality of services provided, reduce redundancy in services, and provide continuity of care" (Juvenile Integrated Information Sharing, 2002).

Although there are important goals to be achieved in the sharing of information, it is critical also that information is not shared where there is no real need and that the privacy interests of individuals are protected. Harm can be done to juveniles and their families when information is shared carelessly or its use is not insulated for selected purposes. For example, self-incriminating data may surface in interviews with youth and then be

reported across systems. Care needs to be taken not to disseminate information that may be used to unnecessarily push youth further into the juvenile or criminal justice systems. Careful guidance on this subject is provided in the Juvenile Law Center's monograph, *Protecting Youth From Self-Incrimination When Undergoing Screening, Assessment, and Treatment Within the Juvenile Justice System* (Rosado & Shah, 2007).

A set of questions and best practices as set out in the sidebar can be used to guide requesters of information, checking their "need to know" and respecting the privacy of individuals. Additionally, it can cover such issues as intended use, protection, dissemination, and storage of protected information as well as the maintenance of logs documenting requests and transmissions and the handling of consents/releases of information (Wiig, n.d.). Best practice guidance is also available for those who receive requests for information. It includes questions such as:

- Is the information I have necessary and relevant and important to the child's and family's case planning and services?
- Isn't it my information to share?
- Is the recipient of the information legally entitled to it? (King County Systems Integration Initiative, 2006)

Finally, as participants consider the establishment of effective information sharing, extensive guidance is provided by the OJJDP publication, *Guidelines for Juvenile Information Sharing* (Mankey, Baca, Rondenell, Webb, & McHugh, 2006) and the *Models for Change Information Sharing Toolkit* (Wiig, Tuell, Rosado & Shah, 2008) The OJJDP report includes guidelines for the establishment of a juvenile information sharing collaborative involving multiple agencies. Both the OJJDP report and the Toolkit provide guidelines for the development of policies, procedures, and practices to implement juvenile information sharing and address the goals to be achieved through information sharing, the methods to do so effectively, and the protection of the juveniles' and families' privacy interests. The Toolkit is organized by three categories of information and data sharing so that it takes into account not only information sharing for individually identifiable case information but also the sharing of aggregate data to inform policy and practice. The three categories are: 1) information sharing for individual case planning and decision-making; 2) data collection and sharing for law, policy, and program development; and 3) data collection and sharing for program evaluation and performance measurement. A step by step process is set out in each of the three categories to help jurisdictions with the development and implementation of their information and data sharing projects.

Questions and Best Practices for the Requester of Information

1. Why do you need the information? What is your purpose? What entitles you to the information?
A request for information should be made only if it is necessary to assist in the assessment of the youth's needs, the development of a service plan for the youth, and/or the coordination of services between agencies. The requester needs to determine whether he or she is entitled to the information sought. He or she needs to be certain to possess the legal authority to obtain this information either by statute or by obtaining the appropriate consent/release of information.

2. How are you going to use the information?
Care should be taken to use the information only for the purposes for which it has been sought. There is the danger that information obtained about a youth's substance abuse, mental health status, or unlawful behavior can be used to further incriminate the youth or push him or her unnecessarily further into the juvenile justice system.

3. How are you going to protect the information during its use (including information maintained on a computer)?
Reports and notes containing information obtained from other agencies should be protected along with other confidential information about the youth. Care should be taken to keep hard files in locked cabinets and electronic information should be stored in a manner that protects it from unintended access and use.

4. How are you going to protect/dispose of the information after use?
Once the information has been used for its intended purposes, it should be disposed of in accordance with the agencies' policies for destruction of data. If it needs to be maintained, it should be stored in a special section of the case file and/or blocked from unintended access until it can be destroyed.

5. Who else will have access to the information?
Access to the information should be prescribed in terms of who is permitted to see and use either hard file or electronic copies.

6. What additional dissemination of the information are you going to make? For what purpose? Is it necessary?
It may be that some dissemination of the information is necessary to achieve the evaluation or treatment goals. Care should be taken to think about each transmission to be sure the person receiving it is entitled to it and that it is necessary for that person to receive it for the intended purposes. Beyond the formal dissemination, all holders of the youth's information should take care to not informally share the information in casual conversation or in some other manner inadvertently disseminate the information beyond its intended use.

7. Will you have a log or some record of who requested and who transmitted information?
Agencies should keep a log of requesters and transmitters of information. This may be established centrally if there is an information access officer or it may be maintained by the individual worker. If a log is maintained by the individual worker there should be a log for information requests and transmissions on all the worker's cases, along with a notation in the individual case file of each information request and transmission.

8. How will you handle requests for consents/releases of information with the families?
The participation of family members in the assessment and planning for service delivery is critical in order to achieve sought outcomes for youth. As consents/releases are sought, communications should be conducted in a manner that is respectful of the family's right to privacy. The requested information should be shared with the family to determine whether it is correct and to determine whether the family is in agreement with any information changes that may have been made.

Identify Data-Sharing Impediments

Data-sharing impediments may take the form of access problems or legal prohibitions. It may be that current practices, policies, and operation of automated information systems make it difficult to access information. Although the focus of discussion is often about legal prohibitions, there are some operational considerations that must be addressed. Longstanding practices to keep separate the operations of the two systems may mean that the information is recorded in a fashion that is not accessible to anyone outside the system. Agencies may have built formal and informal policies to unnecessarily prohibit information sharing or to protect the turf of the particular agency. Furthermore, the information systems themselves may be so incompatible that access to the information is problematic.

Legal prohibitions to data sharing may be real or perceived. To be sure, one must adhere to a number of restrictions set out in federal and state statutes on data about individuals who are involved in the two systems. There are stories of numerous occurrences in the two systems, however, where information was withheld because of an employee's belief that it was restricted rather than any real prohibition to its sharing. At the same time, attention always should be drawn to the question of whether there is a real need for the information to be shared as already noted.

A Juvenile Accountability Incentive Block Grants Program (JAIBG) bulletin discussed the specific requirements of the federal statutes that come into play (Slayton, 2000, pp. 7–10). They are:

- Privacy Act of 1974;
- Family Educational Rights and Privacy Act of 1974;
- Correction of Youthful Offenders Act of 1984;
- Computer Matching and Privacy Protection Act of 1988;
- Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970;
- Drug Abuse and Treatment Act of 1972; and
- the Child Abuse Prevention and Treatment and Adoptions Reform Act of 1977.

Added to this list should be additional pieces of federal legislation, the Health Insurance Portability & Accountability Act of 1996 (HIPAA), Keeping Children and Families Safe Act of 2003, and the Uninterrupted Scholars Act of 2012 (Appendix A). It is important, however, to recognize that these statutes govern the sharing of information on the children

and families, but do not necessarily prohibit the sharing of information. Rather, they set out the requirements that must be met. In some instances, the use of signed consents or releases will allow the information to be shared (Slayton, 2000, p. 8). Careful review of the provisions provides the guidance necessary to operate within the law.

State laws, of course, will require a state-specific review in each jurisdiction. It is critical that the lawyers who represent the participating agencies from both systems conduct reviews of both federal and state laws. This is important not only because they will need to reconcile the particular state laws with the federal statutes, but because they need to be mindful of protecting the specific interests of their respective organizations.

Determine Capacity to Share Information

First, it should be determined where the relevant information about children and the decisions made about them is housed. Are the data in the possession of the public child welfare agency and the public juvenile services agency, or do a number of other agencies have to be considered as sources of information? Next, the capacity of the child welfare and juvenile justice management information systems to produce relevant data and interact with each other should be determined. Then a plan for the development of an effective information sharing system should be made.

The JAIBG bulletin contains a list of steps for successful information sharing which pertains to sharing in the juvenile justice system itself but which is also instructive for the development of information sharing between child welfare and juvenile justice. The listing is as follows:

1. Appoint an Information Management Committee composed of representatives from every agency in the juvenile justice system and funding agency officials, legislative staff, management information system experts, community representatives, child welfare agents, and parents.
2. Determine information to be collected and maintained by all agencies.
3. Evaluate information needs.
4. Evaluate agency goals and identify those that are overlapping.
5. Determine the mission (overall goals) of the juvenile justice system.
6. Clarify reasons to share information.
7. Identify what specific information is to be shared and who needs access to each item of information.

8. Determine statutory record requirements about information collection and dissemination mandated by Federal, State, and local governments.
9. Determine exceptions to statutory requirements.
10. Draft an interagency agreement.
11. Fund the system.
12. Designate information management liaisons in each agency.
13. Build the system.
14. Prepare and/or revise policies and procedures.
15. Train staff.
16. Supervise confidentiality needs.
17. Review policies regularly.
18. Review needs regularly.
19. Revise system as necessary based on audits and system needs.
20. Repeat steps 14–19. (Etten & Petrone, 1994, as cited in Slayton, 2000, p. 7).

Endnote

1. *Questions and Best Practices for the Requestor of Information,* first developed by Janet Wiig, CWLA, for the Louisiana *Models for Change* site and later revised and published in the *State of Arizona, Systems Integration Initiative Information Sharing Guide,* published by the Arizona Governor's Office for Children, Youth, and Families, July 2008.

PHASE 3

Action Strategy

This is the point at which the leadership group will review and assess all of the work completed in Phases 1 and 2 to identify what steps to take toward integration and coordination. Each jurisdiction will need to organize the information collected and decide what to do. It may be useful to once again review the definitions set out in the introduction to restate just what integration and coordination means for your particular jurisdiction. It will be important to think about the organization's capacity to take on major change and to consider what change will require in terms of a commitment of time and resources.

The leadership group charged with making the final decisions to create the action strategy will need to think strategically about a number of things to be successful. The group will need to consider how they are going to manage expectations, respond to potential problems, maintain partnerships, make decisions, and sustain support for implementation. This section includes case studies that illustrate various action strategies for system integration and coordination.

The following are some suggested steps to develop the action strategy. It may be that, depending on the definitions used and the anticipated scope of change, a jurisdiction will decide to carry out parts rather than the whole of these steps or of the strategies that have been undertaken elsewhere.

Step 1: Review the products from Phase 1, Mobilization and Advocacy:

- Desirable system outcomes
- Improved outcomes for children
- Goals in common
- Preliminary strategies

The leadership group should review these items and refine them if necessary so that they can function as the backdrop against which the action strategy is developed and valuated. It may be useful to formalize this process by displaying the items prominently and scheduling regular points for checking the development of the action strategy against the sought outcomes.

The leadership group should discuss the value of the preliminary strategies in relation to the data collected in Phase 2 and make decisions as to which strategies they will incorporate in the action strategy.

Step 2: Review and assess prepared reports from Phase 2, Study and Analysis. These reports should include sections covering any or all of the following:

- The data profile, including national and local data on the target population and answers to the questions that help with decisions about integration and coordination, as well as a summary of information about where data is currently housed.
- Management information system assessment, including findings on the capacity to share information and the potential for development of an integrated information system.
- Resource inventory, including listings of all programs and resources; common and dissimilar components of case processing and management; and existing initiatives, partnerships, and MOAs.
- Legal/policy/procedure analysis, including legal analysis of statutes, regulations, agency policies, and agreements; findings from exploration of data sharing impediments; the comparative analysis of missions, mandates, and policies; and qualitative research findings.
- Best practices/model programs information, including descriptions of national and local programs based on evaluations of their success in addressing the target population.
- A funding strategy, including findings and recommendations for accessing funds for services and programs, and current and potential sources of funding for implementation of the action strategy with a particular focus on the potential for blended funding.
- Assessments, including an inventory of the assessment tools used presently and an evaluation of the potential for using more risk assessment to identify high-risk children and prevent child maltreatment and future delinquency.

These reports should also set forth a series of recommendations for consideration by the leadership group.

Step 3: Conduct a series of dissemination forums to circulate the reports and generate ideas for action. These forums should be conducted across disciplines and at various

organizational levels to the same groups identified in the mobilization and advocacy section. Examples of efforts in other jurisdictions should be used to stimulate discussion.

Step 4: Publish the reports and the results of the forums on the organizations' websites to generate additional ideas and responses.

Step 5: Convene the leadership group to consider the ideas for action from the forums and other jurisdictions and to develop additional ideas. Engage the group in a process to establish priorities for action and assign lead responsibilities. Develop a final report of findings and the adopted action strategy consolidating the reports from Phases 1 and 2.

Step 6*:* Identify all the program, service, and administrative components of the action strategy, that is, the blueprint for system integration and coordination. Refer to the stated definitions of integration and coordination and decide the scope of changes that the initiative will make to achieve the outcomes. It may be useful also to reference the operational and administrative strategies (Ragan, 2003, p.3) that were set out in Phase 1 to help shape the components of the strategy. Examples of potential components taken from those listings are

- shared caseloads,
- integrated information systems,
- consolidated governance structures,
- integrated funding streams,
- cross-program teams,
- promotion of dual jurisdiction,
- funding incentives for multiple systems working together, and
- an audit system to identify duplicate and repeat interventions.

Step 7: Identify what tools will need to be developed to support the action strategy (e.g., new multi-system policies, protocols, or procedures; legislation affecting confidentiality, data collection, and information sharing; and creation of decategorized funding recommendations).

Step 8: Develop a funding strategy, including an assessment of available federal, state, and local funds; opportunities for blended or decategorized funding; and any funding incentives to carry out the action strategy.

Step 9: Develop specific goals and objectives for the action strategy in conjunction with the evaluation plan. Continue process evaluation and develop specific client and organizational outcomes for implementation of the action strategy.

Step 10: Determine the jurisdictional boundaries of the action strategy. Will it be statewide, countywide, or in demonstration areas?

Step 11: Develop a database to track the movement of children between the two systems on an ongoing basis, evaluate the effect of changes made as a part of the action strategy, and measure outcomes.

Step 12: Develop a results-based accountability plan for the entire action strategy that allows the leaders and the public to determine the value of the entire effort.

Step 13: Publicize the effort in the affected organizations and to the public. Use a variety of media (e.g., e-mails, press releases, press conferences, and television or radio talk shows).

Recommended Practices and Products for Handling Dual Status Youth

In the work conducted with jurisdictions in systems coordination and integration over the past 10 years, a set of practices and products have emerged from the various jurisdictions experiences. The following is a listing of the practices and products that are recommended to new jurisdictions taking on this work, believed to be critical to improved handling of dual status youth. These practices and products can be incorporated in the action strategies that jurisdictions develop at this phase of their planning process.

Practices

- Development of individual outcomes for each youth focused on competencies and connections to family and community
- Routine identification of dual status youth within a prescribed time frame

- Use of validated screening and assessment instruments
- Development and use of a joint assessment process or methodology across systems and in collaboration with the youth and family
- Identification and development of opportunities for alternatives to formal processing at key decision points
- Use of a structured process for the consideration of diversion, early intervention, and alternatives to formal processing at the earliest possible opportunity
- Development of procedures for routine, ongoing contact between probation officers and child welfare workers over the life of each dual status case
- Employment of coordinated case planning, coordinated court processes, and coordinated case management
- Focus on family stability, placement stability, and community connections
- Engagement of families in decision making processes that impact their children as well as in policy and program development decisions that impact cross system handling of all dual status youth

Products

- MOU detailing the various agencies' commitments to cross system collaboration and coordination
- Information sharing agreement
- Data sharing agreement
- List of desired system and youth and family outcomes
- Case flow process map and narrative
- Policy and protocol documentation
- Assessment and resources inventories
- System for data collection and management to measure the achievement of outcomes
- Multi-system training plan
- Implementation Manual

Case Studies of Action Strategies

There are many examples of case studies that reflect the action strategies set out in this chapter. They are presented as illustrations for jurisdictions at this stage in their planning process, after completing the Study and Analysis phase of the systems coordination and integration framework of the Guidebook. The case studies all describe efforts that jurisdictions can use as guidance as they develop their action strategies and move on to the Implementation phase.

CASE STUDY: Wraparound Milwaukee

Wraparound Milwaukee integrates mental health, child welfare, juvenile justice, and education services for youth with mental health needs and their families. The wraparound approach evolved from a number of philosophical tenets including unconditional care, flexible programming, individual planning, cross-system collaboration and funding, and family-focused and community-based services. It includes the following elements in its work with children in the child welfare and juvenile justice systems:

- Strengths-based approach to children and families—Building on the natural supports that exist, such as positive relationships a child may have with grandparents, aunts, uncles, peers, and others.
- Family involvement in the treatment process—Engaging families and viewing them as capable in the assessment of the child's needs.
- Needs-based service planning and delivery—Using the child and family to identify and address their needs as opposed to assuming the "experts" know what is best.
- Individualized service plans—Tailoring treatment plans to address the unique needs of the child and family.
- Outcome-focused approach—Measuring and evaluating clear goals that have been established by the youth, family, and professionals.

Components of the program include the care coordinator who conducts assessments and helps determine needs and identify services; the child and family team, who identify all the supports to the family; a mobile crisis team of social workers and psychologists; and a provider network that responds to multiple needs. The outcomes for this program include a 60% decrease in the use of residential treatment, an 80% decrease in inpatient psychiatric hospitalization, and a drop in the cost of care per child from $5000 to $3,399 per month.

Source: Kamradt (2000, pp. 14–23).

CASE STUDY: ACS Confirm

ACS Confirm, formerly Project Confirm, administered by New York's Administration for Children's Services, is designed to address a problem that is all too common in jurisdictions across the country: the "dumping" of child welfare adolescents into the juvenile justice system. This effort was based on findings that children who were in the child welfare system at the time of their arrest often spent unnecessary time in detention because there was neither notification of nor action by the child welfare worker in response to the child's arrest. This further resulted in children losing their beds in foster homes, often enduring a lengthy re-placement process and longer periods of incarceration while new placements were being developed. To address this problem, ACS Confirm involves four elements to eliminate the detention bias against foster children. First, it provides a mandatory referral and cross-referencing mechanism to determine whether an arrested youth is in foster care. Second, project personnel notify the youth's caseworker, give guidance as to how to proceed, and act as liaison between child welfare and juvenile justice officials. Third, it provides a coordinated response that calls on the child welfare worker to confer with probation officers, prosecutors, and judges regarding the release decision and prevention of future offenses. Finally, to ensure that the child welfare workers understand and assume responsibility when a youth on their caseload is arrested, an official memorandum from the director of the child welfare agency outlines their responsibilities and makes clear that emergency re-placement is not an option. Evaluation of this program has shown a reduction in detention rates for foster youth charged with low-level offenses who had not been previously detained, closely matching the detention rate of youth not in care with similar charges.[1]

Source: CWLA (2001); see also Conger and Ross (2001); Ross (2009).

CASE STUDY: Act 148 and Needs-Based Budgeting: Incentives for Programs, Not Confinement

"Pennsylvania Act 148 of 1976 changed the fiscal incentives that once encouraged counties to commit youth to state secure confinement facilities. As a result of the changes, the state and counties are better equipped to develop and sustain a continuum of services to meet youth needs in their own counties. Act 148 and the resultant shift to Needs-Based Budgeting and Planning for youth services allows state funding to be used more flexibly to meet the local demand for services, and codifies public policy to develop true local continuums of services for young people (Aryna et al., 2005, p.14).

HISTORY: INCENTIVES INCREASED STATE COMMITMENTS

Youth in Pennsylvania benefit from the fact that juvenile justice and child welfare programs are both administered by the state Department of Public Welfare (DPW). While other states have placed responsibility for juvenile justice in freestanding agencies (such as departments of juvenile justice), Pennsylvania has kept its dependency and delinquency programs under one umbrella. This structure offers opportunities for planning services for youth who move between systems, and for breaking down the "funding silos" that often prevent services from following troubled and at-risk youth wherever they go (Aryna et al., 2005 p.14)…

NEEDS-BASED PLANNING AND BUDGETING

…Act 148 was amended in the early 1990s to create a system of Needs-Based Planning and Budgeting. With the participation and authorization of the local juvenile judge and probation department, each county's child welfare agency develops a plan that shows the predicted service needs for court-involved youth, and how much those services will cost. DPW receives the submissions, tallies the approved costs for all 67 counties, and submits an aggregate budget allocation request to the legislature that takes into account the state share of county services. Needs-Based Planning and Budgeting allows counties to plan more accurately and request funding for the services they need, and allows the state to better meet the demand for services.

In 2004, Needs-Based Planning and Budgeting was administratively incorporated into a larger Integrated Children's Services Plan at the county level. This expanded the number of child-serving systems at the table to include other systems such as mental health and drug and alcohol services. This effort began a process of eliminating the "silos" of service delivery (Aryna et al., 2005, p. 17)."

Source: Excerpted from Keystones for Reform, Promising Juvenile Justice Policies and Practices in Pennsylvania by Neelum Aryna, Eric Lotke, Liz Ryan, Marc Schindler, Dana Schoenberg, and Mark Soler (2005, October)., Youth Law Center.

CASE STUDY: Connecticut Juvenile Justice System

Over the course of two decades, the state of Connecticut has transformed its juvenile justice system, producing outcomes such as:

- Reducing the use of pre-trial detention and residential commitments
- Expanding evidence-based treatment programs for offenders
- Eliminating the detention of status offenders
- Reducing arrests at school for minor misbehavior

Among the elements identified as key to producing these positive outcomes was the state's engagement in a strategic planning process using the framework presented in this guidebook. This process is described as having helped "forge a new interagency consensus in favor of working with children and their families within their homes and communities, identifying their risks and addressing their needs – while removing youth from their homes only as a last resort." (Mendel, 2013, p. 33).

The process involved study and analysis conducted by subcommittees in the areas of resources and assessments, law and policy, and data. In addition, listening sessions were held throughout the state to obtain feedback and suggestions from parents, youth, and community members. These efforts resulted in an ambitious action strategy documented in The Connecticut Juvenile Justice Strategic Plan. Among the components of this plan were steps to ensure:

- systematic use of reliable screening tools to match youth to programs and services based on their individual needs and risks
- rapid adoption of evidence-based programs and treatment strategies
- diversion of status-offending youth from court whenever possible
- improved coordination and information-sharing between child welfare and juvenile justice agencies as well as new mechanisms to ensure greater coordination between all entities involved in the lives of delinquent youth (Mendel, 2013, p. 38).

The plan also called for the creation of Local Interagency Service Teams to continue discussion of challenges and opportunities, as well as an Executive Implementation Team to monitor implementation. This Team has met quarterly since the adoption of the strategic plan in 2006.

Source: Mendel, R.A. (2013).

CASE STUDY: Washington State Research-Based Programs for Juvenile Offenders

In 1997, the Washington State Legislature passed the Community Juvenile Accountability Act (CJAA). The primary goal of CJAA is to reduce juvenile crime, cost effectively, by establishing "research-based" programs in the state's juvenile courts. The basic idea is straightforward: taxpayers are better off if their dollars fund programs that have been proven to be effective in achieving key policy outcomes, in this case reduced re-offending...The specific research-based programs implemented in Washington were selected after the Washington State Institute for Public Policy (Institute) reviewed the national research literature. The following four CJAA programs were selected by Washington's 33 juvenile courts:

- Functional Family Therapy (FFT)
- Aggression Replacement Training (ART)
- Coordination of Services (COS)
- Multi-systemic Therapy (MST)...

Results for the four research-based programs include:

- When FFT is delivered competently, the program reduces felony recidivism by 38 percent. The cost-benefit analyses find that FFT generates $2.77 in savings (avoided crime costs) for each taxpayer dollar spent on the program, regardless of therapist competence. For competent FFT therapists, the savings are greater—$10.69 in benefits for each taxpayer dollar spent.
- When competently delivered, ART has positive outcomes with estimated reductions in 18-month felony recidivism of 24 percent and a positive benefit to cost ratio of $11.66.
- The COS program achieved a decrease in 12 month felony recidivism and a favorable estimated benefit to cost ratio of $7.89.
- Because of problems implementing the Institute's evaluation design, no findings are associated with Multi-Systemic Therapy (MST).

For these programs to achieve success, this evaluation found that the programs must be consistently delivered in a competent manner that follows the program's specifications. In fact, the findings indicate that incompetent delivery may increase recidivism of participants.

Source: Washington State (2004, pp. 1–3).

CASE STUDY: Dual Court Jurisdiction

As part of its Model Courts initiative, Illinois' Cook County Juvenile Court set up a committee with representatives from all the agencies involved with Juvenile Court to address concerns about dual jurisdiction children. They developed a plan for handling these children, improving the coordination between child welfare and juvenile justice. The plan features 1) a system to accurately identify children who are in both the child welfare and juvenile justice populations, 2) a coordinated protocol for handling their cases, and 3) an augmented attorney staff to better serve dual jurisdiction cases.

A newly created database to track dually involved minors improved the flow of information. It contains caseworkers' names and telephone numbers so that they can be notified of delinquency proceedings involving children on their caseloads and make appearances in those proceedings. The database also led to same-day scheduling of child welfare court hearings and delinquency trials and judges who are more attuned to dually involved minors. Juveniles, in court for their delinquency hearing, are more likely to attend a permanency hearing and take part in making the plans. DCFS attorneys, informed about the existence of the delinquency proceeding, are in a better position to assist the court and help juveniles by providing background on the youth. The same attorney assigned to the child welfare case also attends the youth's delinquency hearing.

Source: National Council of Juvenile and Family Court Judges (2001, p. 62); see also Slavin (2001).

Update Note: In 2009-10 CWLA consultants supported the development and implementation of a new dual involvement court protocol incorporating collaborative case planning and case management practices for Cook County's defined target population of dually involved youth.

CASE STUDY: All Children Excel

All Children Excel (ACE), a program that targets children younger than 10 who commit delinquent acts was approved as a Promising Program for Office of Juvenile Justice and Delinquency Prevention (OJJDP) Model Programs Guide Website in January of 2006. The program is described as follows:

> *The program's goal is to reduce the number of children entering the juvenile and criminal justice systems and enhance the efficiency and cost-effectiveness of government services. It combines the efforts of county government, schools, police, parents, health and social service agencies, and community volunteers in a cross disciplinary, multifaceted effort that reduces risk factors and builds resilience in the children, their families, and their communities. (Melton, 2003/2004, p. 3)*

The use of a risk assessment tool identifies the likelihood of future chronic, serious, and violent delinquency (by examining the child's referring offense, behavior history, risk factors, and temperament, as well as parent, sibling, peer, and community risk factors) and the level of program intervention. High-risk children are placed in a long-term intervention that uses

> *community agency social workers to visit the family and create a strength-based action plan that involves the entire family. With support from a six person county multidisciplinary team, including a senior protection worker, a public health representative, the county attorney, and others, ACE community workers focus on the needs of the child—in such areas as school attendance, academic skills, and impulse control—and the family, helping parents obtain counseling, parenting skills training, substance abuse treatment, job training, employment opportunities, and housing. (McVicker, n.d.)*

The community workers connect the children with pro-social adults and peers and the team works to connect other family members with positive adults in the community.

ACE reported positive results in 2004 from its efforts. Preliminary outcome data for high-risk children in the long-term intervention who had received services for 6 to 24 months showed that aggressive and delinquent behavior declined; frequency of police contact declined (100% of the moderate high-risk group and 62% to 65% of the high and very high-risk groups had no further contact with the police); school failure declined; and functional impairment at home, at school, or in the community declined.

A comprehensive 2006 evaluation reported the following:

> *…for this population of high risk child offenders, living in families with multi-generational risk factors across multiple domains, that engaging and stabilizing these children takes about three years before health development gains begin to have a meaningful impact. This evaluation also found that by their thirteenth birthday (average age of intake is 8 ½ years), 30.5% of ACE children reoffended, compared with almost 83% of children with a similar risk level who did not receive ACE services.*

Source: Melton (2003/2004); see also McVicker (n.d.); Ramsey County (n.d.).

Endnotes

1. Interestingly, the disparity in detention rates increased for foster youth with higher-level charges. Researchers suggest that as a result of Project Confirm, court officials may be receiving additional information about high-level offenders such as a youth's history of running from care (being AWOL), which is interpreted as increased risk of flight or further offending. These evaluation results pointed to a need for further study regarding the true impact of AWOL history on the risk of flight and reoffending (Ross, 2009).

PHASE 4

Implementation

The importance of the approach to implementation cannot be overemphasized. This phase should be characterized by detailed planning to implement the action strategy in a way that will achieve the desired results. This is the point at which the hard work really begins. Leadership and active management of the process are paramount to the success of the effort. There should be clarity of purpose, an understanding of goals and expected outcomes, timeliness, clear assignment of responsibility, evaluation, and strong leadership. This section includes case studies from five jurisdictions that have used this guidebook's framework for systems integration and coordination, each illustrating a unique emphasis to address the context and needs of the particular jurisdiction.

The leadership group, or its designees, should establish ongoing oversight of the implementation by determining meeting schedules, overall timelines, and the authority to direct midcourse adjustments. They should ensure that the strategy and its implementation are aligned with the desired outcomes, the change process is managed, an organizational structure is designated, effective planning tools are used, celebrations of success take place along the way, tools and training support the implementation, and the entire effort is carefully evaluated and reported.

Leading the Implementation

Manage the Change Process

The leadership group needs to understand the strengths, weaknesses, and idiosyncrasies of the involved organizations and anticipate barriers to implementation so that it can address them. Common barriers to implementation are:

- "studying the problem too long without acting;
- trying to get everyone's agreement first;
- educating without changing structures or expectations;

- tackling everything at once;
- measuring nothing or everything;
- failing to build support for replication; [and]
- assuming that the status quo is OK" (Kaiser Permanente, 2003).

The leadership group needs to consider the key factors that influence whether the change process is effectively carried out. Group members need to think strategically about how the change is going to affect the involved organizations, their personnel, and their clients. They should engage personnel at all levels of the organizations to secure their understanding and commitment to the change process and address the outright critics to gain their support. Richard M. DiGeorgio and Associates (1998) described an eclectic model of change management in which "change levers" are identified. The levers are:

- clear understanding of the need for change;
- quality of leadership;
- commitment of sponsors;
- clear vision of future and strategy;
- change structure;
- education and training;
- effective two-way communication;
- measurement systems;
- infrastructure aligned;
- reward systems aligned;
- organization structure aligned; and
- skill of change agents (Richard M. DiGeorgio and Associates, 1998).

As leaders of the effort take charge of implementation, they should use this list of levers as a checklist. They should ask themselves what strengths and weaknesses they have in their change levers, making decisions and adjustments accordingly.

Designate Organizational Structures

The leadership group should designate or develop organizational structures for the implementation of the action strategy. It is critical to review what organizational structures exist in both the child welfare and juvenile justice systems to determine whether they can provide the necessary structure or whether new structures need to be developed. The leaders will need to discuss what combination of entities they should use and what the entities' authority and responsibilities are. They should consider executive, management, and advisory functions. Because this effort requires collaboration between a number of entities, they need to decide whether they need MOUs or executive orders.

It is critical to consider the involvement of committees or teams that have been a part of the initiative up to this point. First, the leaders should assess how representative of the stakeholders these groups are and how grounded they are with the client groups. Any deficiencies in that regard should be remedied. Then they should decide whether there is a separation of actors, that is, individuals who are a part of the management structure for the implementation and those who function in an advisory capacity to oversee the implementation. In either case, the involvement of these committees or teams will likely secure their continuing commitment to the effort.

Many states have coordinating councils to focus on a particular issue or population. These councils typically are composed of public agency administrators and midlevel staff and sometimes include state experts, academicians, and representatives of service provider organizations, community organizations, families, and youth (Robison, n.d.). Considering that the efforts up to this point are to be as inclusive as possible, it would seem that the membership of any coordinating structures would reflect the involvement of all stakeholders. *Moving from Principles to Practice: A Resource Guide* stated that "coordinating structures should be community-based and reflect the diversity and uniqueness of the community" and they should "have flexibility in defining geographic boundaries and institutional relationships" (Ad Hoc Working Group, 1996, p. 3).

Managing the Implementation

Align the Strategy with Sought Outcomes

Strategies fail in implementation, not in design. Therefore, the people leading the implementation should ask themselves some questions to help ensure the implementation's success. The following are some recommended questions, adapted from a corporate business setting:

- How do we ensure that the action strategy and its implementation are aligned with the sought outcomes?
- How do we ensure that implementation activities proceed effectively?
- How do we effectively manage and report on the individual and group efforts, on a periodic basis, which drive the action strategy to ensure the achievement of our sought outcomes? (Genroe, n.d.)

Use Planning Tools

The leaders should make detailed, carefully conceived plans to accomplish the various tasks and activities required to implement the action strategy. They should follow three steps:

1. Develop timelines for the occurrence of activities to implement each of the program, service, and administrative components of the action strategy.
2. Assign specific responsibility for each of the components of the implementation.
3. Require the development of specific work plans describing activities for each component of the action strategy along with assigned personnel.

These steps should be graphically illustrated in charts, diagrams, or other schematics to carefully convey expectations and to hold the leaders and participants accountable for actions that further the implementation. The involved organizations may have planning and management tools that are familiar to the participants and that should be incorporated. Two commonly recognized tools, PERT and Gantt (Tech Target Network, 2000–2004a, 2000–2004b) charts, could be useful to the implementation because the software and other resources to support their use can be downloaded. These charts can be used to plan, schedule, coordinate, and track specific tasks that must be accomplished to implement the action strategy.

Supporting the Implementation

Develop the Action Strategy Tools

Work in Step 7 of the action strategy identified a number of tools to support the action strategy. These include new multi-system policies, protocols, or procedures; draft legislation affecting confidentiality, data collection, and information sharing; and creation of decategorized funding recommendations.

Participation should be inclusive in the development of new multi-system policies, protocols, and procedures so that personnel working in the two systems can offer their expertise about day-today operations. To accomplish this and gain support for any necessary new legislation, there should be a careful review of the legal, policy, and procedure analysis. Political leaders and stakeholders will need to be part of a consensus strategy to get legislation passed. The data collection will need to be institutionalized and an integrated information system may need to be developed. To create the decategorized funding, there may be a need to acquire federal or state waivers and develop joint powers agreements to support the new funding strategy.

Inform and Train Personnel

A careful plan should be developed and executed to inform and train personnel. The plan should provide for ongoing orientation and training of lead personnel responsible for implementing the action strategy and personnel whose functions may have changed due to the strategy. This training and orientation is an opportunity to identify potential implementation problems as personnel respond to the requested new practices or functions.

Celebrate Successes Along the Way

The leaders should discuss what will be the perceived milestones of success as the implementation progresses, how the milestones will be recognized, and what the rewards for meeting them will be. This is an opportunity to reinforce the participants' commitment to the outcomes sought for the overall initiative. It is also an opportunity to publicize the effort to the broader public, building additional support to get the results desired.

Evaluating and Reporting the Implementation

Create a Learning-Oriented Evaluation Plan

> *The ABCD Institute affirms that an appropriate community evaluation is one that provides continuous feedback to the collaborative, so that members can contribute to and benefit from it directly. (Dewar, T., op. cit., p. 41.) In this way, evaluators can help practitioners and community residents "become more reflective, to extract theory from their daily experience, and thereby to improve" their community-building capacities. (Young, Gardner, Coley, Schorr, & Bruner, 1994, p. 25)*

Some tips for developing learning-oriented evaluations are:

- Involve participants directly in the process.
- Know your audience.
- Develop some strong baseline evidence that supports your strategies and outcomes definitions.
- Focus on appropriate, feasible goals and document intermediate outcomes.
- Document some results as quickly as possible.
- Be descriptive.
- Be graphic.
- Translate written materials and ensure that verbal communication is in languages used by community members.
- Communicate in oral and visual methods that reach community members with low literacy levels.
- Make sure the evaluation is telling people at least a few things they did not already know.
- Be open about shortcomings.
- Share and discuss finding as the work progresses. (Morgan & Martin, 2004, p. 38)

Collect and Report the Data

The data collection and analysis processes should be institutionalized so that the opportunity exists for continuous feedback regarding the progress of the implementation and the achievement of sought outcomes. Timelines for periodic reports and reviews of the action strategy should be identified. It is important to build on the communications strategy developed in the mobilization and advocacy phase to keep actors in the systems informed and to inform the public about the achievements, results, and reforms.

Case Studies of Implementation

The following are case studies over the past 10 years describing the implementation efforts of jurisdictions that undertook the systems coordination and integration planning process outlined in this guidebook. Each jurisdiction sought to improve its handling of dual status youth using this planning process but developed its policies, protocol, and practices to reflect the particular context of its jurisdiction and the creative thinking of its systems representatives. As new jurisdictions enter into the Implementation phase, these case studies can be useful guidance in their policy and practice development.

CASE STUDY: Newton County, Georgia

In Newton County, GA, the case flow mapping process undertaken as part of the dual status initiative highlighted numerous opportunities for practice reform. The Newton County collaboration, which adopted the name Serving Youth in Newton County (SYNC), used a set of recommended practices (mirroring those listed on page 68-69) in tandem with a clearly defined list of desired system outcomes to craft major reforms. The identified reforms, supported by a series of detailed protocols and agreements include:

- Development of a protocol and a cross-system "match" process through which court Intake and local DFCS staff can routinely identify target population youth.
- Implementation of procedures to facilitate cross-system communication and exchange of information regarding dually-involved youth from system entry through disposition and case closure.

- Adaptation of the Local Interagency Planning Team (LIPT) meeting, a statutorily established multi-agency "case staffing" for families, for use with dually-involved youth within the target population. LIPT, previously used only post-disposition, is being used for youth who have been diverted from formal processing and prior to disposition for adjudicated youth.
- Implementation of a methodology for the sharing of assessments in the LIPT to ensure a comprehensive case plan for the youth and family.
- Use of a Juvenile Evaluation Rights Form and a Confidentiality Agreement to inform youth and their families of their rights throughout their court involvement.
- Adoption of the LIPT principles of "child-centered and family-focused approach" to ensure active family engagement. The LIPT meeting will not take place without family present either in person or via telephone. Additionally, SYNC developed a family-friendly brochure detailing court processes.

To ensure quality control and sustainability of these practices, SYNC developed a comprehensive, multi-phased training plan. The first phase of staff training, prior to implementation of new practices, included all staff at the Court, Newton County DJJ and Newton County DFCS. This training was also designed to inform prosecutors, defense attorneys, and behavioral and mental health staff. SYNC also plans additional trainings to address law enforcement and school staff. The SYNC Executive Committee also plans additional training events at periodic intervals for all of the impacted staff over the course of the next calendar year. This will ensure the training addresses new employees and can satisfy in-service updates for staff previously trained. It is the view of the SYNC Executive Committee that this outreach and training plan, further detailed in their Newton County Site Manual (found at www.rfknrcjj.org), is critical to the long term sustainability of their practice reforms.

CASE STUDY: Outagamie County, Wisconsin

In Outagamie County, WI, study and analysis undertaken as part of the dual status initiative highlighted a long-standing concern of both juvenile justice and child welfare staff – the complex cases of intra-familial sex abuse. In these cases both systems must respond and investigate, with youth involved as both alleged perpetrators and victims. In addition, law enforcement officers serve as first responders and must communicate with both child protective services and probation in many cases. Prior to this initiative, there had been no

coordinated response protocol between divisions. Staff recognized that this often resulted in conflicting decisions, confused families, and a missed opportunity for cross-system consultation.

Through a series of meetings, staff from the Children, Youth and Families Division (Child Welfare), the Youth and Family Services Division (Juvenile Justice), and a representative from the Appleton Police Department developed a protocol for these cases "to ensure a seamless process of both investigating and responding and doing so in a manner that is coordinated, trauma-informed, and engages key actors at the optimum time to better ensure safety and decreased likelihood of subsequent abuse." (*Multi-System Reform Initiative: Dual Status Youth* (2013), Outagamie County Department of Health and Human Services). The protocol brings together child welfare and juvenile justice workers, along with law enforcement and the family, for a Safety Assessment Meeting, with workers continuing joint efforts to plan for and maintain safety for all family members.

The first step in implementation was presentation of the protocol to staff, focused on gathering input regarding the specific steps needed to carry out the reform. In addition, the Executive Committee for the initiative devised methods for engaging law enforcement in carrying out essential aspects of the protocol. Following this, strategies for evaluating the new protocol were developed, including the routine conduct of Joint Supervisor meetings and the review of files by Division Managers in order to ensure adherence to new processes, address challenges and concerns, and recognize efforts resulting in successful outcomes.

CASE STUDY: King County, Washington

Since the spring of 2004, a leadership group in King County, Washington, representing juvenile justice and child welfare systems, has met on a regular basis to examine and improve the way they work together on behalf of King County children and youth. The King County Systems Integration Initiative (KC-SII) was established as a permanent planning and service coordination body. As of 2010, this effort began operations as *Uniting for Youth (UfY), King County, Washington.* The goal remains to disrupt the path from child maltreatment to delinquency and improve outcomes for children, youth, and families through greater multi-system integration and service coordination at both the individual case and system levels. Its successes have included:

- a multi-agency charter agreement defining goals and objectives and a set of guiding principles for the collaboration as the group developed a new dual jurisdiction protocol;
- an interagency policy and protocol that details joint policy and procedures regarding how juvenile court probation and the state child protection agency work together in support of dual status youth and their families;
- the development of a Resource Guide for Information Sharing, a critical document that provides information for legal, policy, and practice matters regarding the exchange of case-related information necessary for joint case assessment, planning, and integrated service delivery; and
- development and implementation of multi-agency training for personnel to increase familiarity and develop relationships that support shared responsibility and services.

This work also created additional focus on the mental health needs of youth in the juvenile justice system resulting in a report of recommendations for reform and a collaboration with the National Center for Mental Health and Juvenile Justice (NCMHJJ) to provide technical assistance in King County. Additionally, considering the drop-out prevalence among its juvenile delinquency population, together with the Puget Sound Education Services District, the *UfY* developed an initiative focused on a systems-wide, community-based approach to decrease the number of youth who drop out of school. What came to be known as PathNet, operating as a *Models for Change* Initiative, this approach leveraged the ability to support and lead statewide committees that are writing the rules, regulations, model contracts, policies and procedures to create the infrastructure to institutionalize regional PathNet efforts across the nine Washington educational service districts. During the 2010 Legislative session, legislation was introduced (ESSB 1418) calling for a statewide dropout system based on the PathNet Model and was passed into law.

CASE STUDY: Los Angeles County, California

In 2005, the Presiding Judge of the Juvenile Court, together with the Chief Probation Officer and the Director of Children's Services, undertook an effort to improve the handling of dually involved youth. Using this guidebook's framework for systems integration and coordination and building on California's statute regarding joint protocols for dual jurisdiction (CA Welfare and Institutions Code 241.1), these key leaders and other stakeholders improved the processes for information sharing, decision making, case planning, and case

management across multiple youth-serving systems. This has been accomplished through the creation of a revised cross-system protocol, piloted in two delinquency court departments to improve the outcomes for these dual jurisdiction youth. Through this new protocol and redesign effort, stakeholders in the Los Angeles juvenile justice and child welfare systems believe they have taken steps to enhance public safety by providing better services to youth and their families, reduce the number of dependent youths who become wards of the Delinquency Court, and better serve wards of the Delinquency Court by limiting the time under Delinquency Court jurisdiction and maintaining Dependency Court jurisdiction when appropriate. Key features of this effort include:

- a multi-disciplinary team (MDT) to conduct assessments, develop case plans, and participate in case management;
- a new multi-system assessment process that takes into consideration more detailed information about a youth's strengths, treatment needs, and risks;
- a more scientific methodology for consideration of the available assessments and information by the MDT in formulating a recommendation to the court;
- a database to track individual case characteristics and treatment needs;
- a training curriculum for court staff (i.e. judges, prosecuting attorney, public defender, CASA); and
- a design for both process and outcome evaluation.

CASE STUDY: The State of South Dakota

South Dakota developed legislation that improved the manner in which records are shared across systems (including mental health and substance use histories) at key decision points in the juvenile justice system. This effort was formulated to include child protective services and juvenile justice systems and enhance compliance with the provisions of the re-authorized Juvenile Justice and Delinquency Prevention Act of 2002. Specifically, the effort focused on the incorporation of child protective services records into the juvenile justice system at key points in delinquency proceedings for the purpose of improving case planning and case management.

CWLA assisted in the facilitation of this effort by working with key leaders who convened a Juvenile Justice and Child Welfare Records committee. This committee conducted a legal and policy analysis resulting in the construction of draft legislation. The reform

legislation was unanimously adopted and enacted into law at the conclusion of the 2007 legislative session (South Dakota Children's Law [SDCL] §26-8A-13.1).

Throughout the series of on-site meetings and conference calls of the Records Committee, a guiding document, South Dakota Codified Laws Regarding Confidentiality and Information Sharing, was used. This document was completed prior to the initial committee meetings using the CWLA legal analysis template and it informed the discussions throughout the process. Shortly after passage and enactment of the new statute, the Division of Child Protective Services promulgated procedures for the release of child protection services information that comply with SDCL 26-8A-13.1. These procedures detail the processes, protocols, reasonable time frames, and specific information to be shared by the Department of Social Services and the Department of Corrections in South Dakota.

CASE STUDY: The State of Arizona

In December 2004, in response to the National Center for Juvenile Justice's (NCJJ) report on Arizona's dual jurisdiction youth, the Governor's Division for Children took the lead in organizing an interagency task force to develop an agreement and framework for working together to provide coordinated, integrated services to youth and families involved in multiple systems.

To further efforts to better integrate and coordinate Arizona's child-serving system, the Arizona State Advisory Group (SAG) and the Governor's Division for Children jointly held a Child Welfare Juvenile Justice Summit in May 2006. Multidisciplinary teams from each Arizona county and a state-level team gathered together to help promote greater integration in the provision of services to children and families in their communities. CWLA provided the summit with planning support and training from its publications on systems integration and coordination.

The goal of Arizona's Interagency Coordination and Integration Initiative is to achieve better coordinated responses to and improved outcomes for youth who are dually involved or at risk of dual involvement in the child welfare and juvenile justice systems. A set of outcomes and strategies have been developed from which a blueprint for action has been

completed. Parallel to the completion of the blueprint, multiple committees are moving forward to take action on some of the priority items including:

- dissemination of the Letter of Agreement and development of corresponding training curriculum;
- development of an information sharing guide that both protects confidentiality and dispels common myths that restrict the flow of important information;
- development of methods to find and organize data across systems to appropriately serve youth and families and to evaluate the effectiveness of efforts on their behalf; and
- examination of methods to prevent penetration of youth deeper into the child welfare, mental health, and juvenile justice systems.

Conclusion

Following the process suggested by this guidebook and integrating and coordinating the child welfare and juvenile justice systems is a significant undertaking. It calls for a good measure of political capital as well as a large measure of human and financial capital. This work will be undertaken by those whose expectations are to improve outcomes for families and children and to realize more efficient resource allocations and significant long-term savings.

The steps in the process and proposed strategies are multifaceted and, in many instances, complex. Not every community will have the resources to undertake the whole effort as it is described here. It is hoped that, in those jurisdictions, the actors will identify pieces of the effort that will benefit their systems and constituents and target a particular aspect of program and service coordination between the child welfare and juvenile justice systems.

Other jurisdictions will find that although they want to undertake the whole effort, they will need additional resources. This may include technical assistance and consultation services of a neutral facilitator. These jurisdictions can be encouraged by RFK Children's Action Corps' capacity to provide that assistance through its RFK National Resource Center for Juvenile Justice. The RFK National Resource Center continues to encourage ongoing dialogue and actively solicit input from constituents in the child welfare, juvenile justice, and other youth-serving systems that informs the further development of this important work and develops strategic partnerships to implement this process.

In these times of complex case histories and overwhelming caseloads, it is understandable that budgeting time and staff resources to build this kind of comprehensive reform initiative is challenging. It is a dilemma caseworkers, case managers, and administrators face on a regular basis. While they struggle to achieve one more success, there are 10 similar cases requiring the same measure of dedicated service to ensure a positive outcome for these youth and families. In addition, they are under great pressure to provide greater accountability for limited resources. It is just this point that can tip the scales in favor of engaging in a process that will contribute to improved long-term capacity to achieve positive outcomes across multiple systems.

Solid research that examines comprehensive system coordination and integration, use of evidence-based strategies and practices, and reliance on multi-system data and

information management systems is available. This research helps leaders prioritize critical resource allocations for high-risk youth and families. The studies show the costs and benefits of these approaches, and there is every reason to believe that many other jurisdictions throughout the United States can achieve similar results.

Jurisdictions need to identify the nature and scope of the youth population occupying both the child welfare and juvenile justices systems. They should combine that identification with the capacity to understand with greater clarity the range of risk factors and behavioral aspects that characterize those youth and families. With new policies and procedures that promote cross-system coordination and integration of service delivery and program development, one can visualize youth-serving systems intervening earlier and using evidence-based and promising practices that help keep youth from becoming more involved in our human service systems. This approach can produce both improved outcomes and cost savings.

Thus, CWLA and RFK Children's Action Corps have built the four-phase technical assistance and consultation process that is articulated in this guidebook: mobilization and advocacy, study and analysis (covering data collection, management, and performance measurement; resources and practice; and law, policy, and information sharing issues), action strategy, and implementation. In the end, this effort is designed to:

- improve multi-system resource allocation and case management decisions, thereby reducing costly duplication of services for the shared population of youth and families;
- construct cost-effective, evidence-based practices for targeted populations that interrupt the trajectory toward repeat instances of victimization, recidivism, and involvement in the juvenile justice system;
- reduce the reliance on costly residential treatment, inpatient hospitalization, detention, and correctional placement alternatives; and
- develop multi-system policies, procedures, and protocols that sustain and institutionalize improved integration of program and service delivery.

This effort provides an extraordinary opportunity to build a model system of integration across the child welfare, juvenile justice, and associated youth-serving systems that will create improved outcomes for youth and families in state and local jurisdictions throughout the country. By institutionalizing this model and adapting it to the unique characteristics of each particular community, jurisdictions will achieve their potential for continuous and long-term, cost-effective, and cost-saving policies, procedures, and protocols.

APPENDIX A

Federal Legislation to Support Systems Coordination and Integration Between Juvenile Justice and Child Welfare

Juvenile Justice and Delinquency Prevention Act

On November 2, 2002, amendments to the Juvenile Justice and Delinquency Prevention Act (JJDPA, P.L. 107-273) were signed into law, which recognized the research confirming the link between child maltreatment and juvenile delinquency and articulated specific requirements regarding the connection between juvenile justice and child welfare systems.

The reauthorized JJDPA broadens the categories available to states to fund juvenile delinquency prevention and treatment for juvenile offenders and youth at risk of becoming juvenile offenders who are victims of child abuse and neglect or who have experienced violence. States may use funding to help child-serving systems, such as juvenile justice, child welfare, and mental health, coordinate service delivery for treatment provided to delinquent children or those at risk of delinquency. These efforts may be funded from Federal Assistance for State and Local Programs (the formula grants program), the new Juvenile Delinquency Prevention Block Grant fund, and the Juvenile Accountability Block Grant program.

Furthermore, JJDPA now contains requirements to states that promote the interaction and coordination of these systems more closely than previously required including

- juvenile courts have available to them the public child welfare records (including child protective services) from that jurisdiction relating to juveniles before the court;
- policies and systems are established to incorporate relevant CPS records into juvenile justice records for purposes of establishing and implementing treatment plans; and
- providing assurances that juvenile offenders whose placements are funded by Title IV-E Foster Care receive the specified protections, including a case plan and case plan review.

Within a year of the enactment on October 1, 2003, the federal government will study juveniles who were under the care or custody of the child welfare system or who are unable to return to their families after completing their disposition in the juvenile justice

system. The study shall include an examination of the extent to which state juvenile justice and child welfare systems coordinate services and treatment, the federal and local sources of funds for placements and post placement services, and the barriers states face in providing services to these juveniles (42 U.S.C. 5661 [sec. 251]).

The following excerpts provide JJDPA's specific provisions that delineate the requirements regarding the connections between these systems and provide further impetus for more coordination across multiple youth-serving systems.

Part B: Federal Assistance for State and Local Programs
42 U.S.C. 5633 [sec. 223] State Plans

(a)(9): provide that not less than 75 percent of the funds available to the State under 5632 of this title, other than funds made available to the state advisory group under section 5632(d) of this title, whether expended directly by the state, by the unit of local government, or by a combination thereof, or through grants and contracts with the public or private nonprofit agencies, shall be used for -- [among other purpose areas]

> (C) comprehensive juvenile justice and delinquency prevention programs that meet the needs of youth through the collaboration of the many local systems before which a youth may appear, including schools, courts, law enforcement agencies, child protection agencies, mental health agencies, welfare services, health care agencies, and private nonprofit agencies offering youth services;
>
> (D) programs that provide treatment to juvenile offenders who are the victims of child abuse or neglect, and to their families, in order to reduce the likelihood that such juvenile offenders will commit subsequent violations of law;

(a)(26): provide that the State, to the maximum extent practicable, will implement a system to ensure that if a juvenile is before a court in the juvenile justice system, public child welfare records (including child protective services records) relating to such juvenile that are on file in the geographical area under the jurisdiction of such court will be made known to such court;

(a)(27): establish policies and systems to incorporate relevant child protective services records into juvenile justice records for purposes of establishing and implementing treatment plans for juvenile offenders; and

(a)(28): provide assurances that juvenile offenders whose placement is funded through section 472 of the Social Security Act (42 U.S.C. 672) receive the protections specified in section 471 of such Act (42 U.S.C. 671), including a case plan and case plan review as defined in section 475 of such Act (42 U.S.C. 675).

Part C: Juvenile Delinquency Prevention Block Grant Program
42 U.S.C. 5651 [sec. 241] Authority to Make Grants
(a) Grants to eligible states: The [OJJDP] Administrator may make grants to eligible States, from funds allocated under section 242, for the purpose of providing financial assistance to eligible entities to carry out projects designed to prevent juvenile delinquency, including

(1) projects that provide treatment (including treatment for mental health problems) to juvenile offenders, and juveniles who are at risk of becoming juvenile offenders, who are victims of child abuse or neglect or who have experienced violence in their homes, at school, or in the community, and to their families, in order to reduce the likelihood that such juveniles will commit violations of law;

(10) comprehensive juvenile justice and delinquency prevention projects that meet the needs of juveniles through the collaboration of the many local service systems juveniles encounter, including schools, courts, law enforcement agencies, child protection agencies, mental health agencies, welfare services, health care agencies (including collaboration on appropriate prenatal care for pregnant juvenile offenders), private nonprofit agencies, and public recreation agencies offering services to juveniles;

(13) to establish policies and systems to incorporate relevant child protective services records into juvenile justice records for purposes of establishing treatment plans for juvenile offenders.

Omnibus Crime Control and Safe Streets Act

The Omnibus Crime Control and Safe Streets Act of 2002 made amendments to the Juvenile Accountability Block Grant Program that provided additional support for child welfare and juvenile justice systems coordination and integration. These amendments included a focus on information sharing between child serving systems and a focus on risk assessment to facilitate early intervention and the provision of services.

Part R: Juvenile Accountability Block Grant Program
42 U.S.C. 3796ee [sec. 1801] Program Authorized
(b)(10): establishing and maintaining interagency information-sharing programs that enable the juvenile and criminal justice systems, schools, and social services agencies to make more informed decisions regarding the early identification, control, supervision, and treatment of juveniles who repeatedly commit serious delinquent or criminal acts;

(b)(12): establishing and maintaining programs to conduct risk and need assessments of juvenile offenders that facilitate the effective early intervention and the provision of comprehensive services, including mental health screening and treatment and substance abuse testing and treatment to such offenders.

Child Abuse Prevention and Treatment Act

On June 25, 2003, amendments to the Child Abuse Prevention and Treatment Act (CAPTA) were signed into law that recognized the important relationship between the child protection and juvenile justice systems. Two important provisions support states' efforts to collaborate on behalf of children who are involved in both systems. Congress retained these provisions in P.L. 111-320 The CAPTA Reauthorization Act of 2010. These provisions affect grants to states for child abuse and neglect prevention and treatment programs. One provision adds to the list of purposes for state grants:

Section 106(a) of CAPTA [42 U.S.C. 5106a(a)(12)]
Supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment, including methods for continuity of treatment plan and services as children transition between systems.

The other provision adds a requirement to the annual state data reports:

Section 106(d) of CAPTA [42 U.S.C. 5106a(d)(14)]
The number of children under the care of the State child protection system who are transferred into the custody of the State juvenile justice system.

The Uninterrupted Scholars Act

On January 14, 2013, amendments to the Family Educational Rights and Privacy Act (FERPA) were signed into law recognizing the importance of a child's education history in the recommendations made by child welfare workers to the court. Child welfare agencies may now more easily access children's education records to aid them in their placement planning and to help assure that children's education needs are addressed to improve their well-being, increase permanency, and assist older youth in the transition to adulthood. These amendments also create an exception that makes it easier to release education records to child welfare agencies without the written consent of the parents (ABA Center on Children and the Law, 2013).

The law sets forth conditions that the education records, or the personally identifiable information contained in such records, will not be disclosed except to an individual or entity engaged in addressing the student's education needs and authorized to receive such disclosure; and that such disclosures be consistent with applicable student record confidentiality laws of states and tribes. It also permits the release of such records and information without additional notice to parents and students when a parent is a party to a court proceeding involving child abuse and neglect or dependency matters and a court order has already been issued in the context of that proceeding.

Section (b)(1)(L) of FERPA [20 U.S.C. 1232g]
[An] agency caseworker or other representative of a State or local child welfare agency, or tribal organization (as defined in section 450b of Title 25), who has the right to access a student's case plan, as defined and determined by the State or tribal organization, when such agency organization is legally responsible, in accordance with State or tribal law, for the care and protection of the student, provided that the education records, or the personally identifiable information contained in such records, of the student will not be disclosed by such agency or organization, except to an individual or entity engaged in addressing the student's education needs and authorized by such agency or organization to receive such disclosure and such disclosure is consistent with the State or tribal laws applicable to protecting the confidentiality of a student's education records.

Section (b)(2)(B) of FERPA [20 U.S.C. 1232g]

…except when a parent is a party to a court proceeding involving child abuse and neglect (as defined in section 3 of the Children Abuse and Prevention Treatment Act (42 U.S.C. 5101 note)) or dependency matters, and the order is issued in the context of that proceeding, additional notice to the parent by the educational agency or institution is not required.

APPENDIX B

Keeping Our Children Safe: The Child Protection System[1]

In every American community, some children are maltreated by those entrusted with their care and protection. Only a minority of these children are brought to the attention of a formal child protection agency (Sedlak & Broadhurst, 1996). Child abuse and neglect cut across income levels, race, ethnicity, and urban or rural status. Maltreatment can impede and impair the healthy growth and development of children with devastating consequences that linger through adulthood. Child maltreatment's destructive effects transcend its immediate victims to profoundly affect the health and safety of all of our citizens and communities (Martin, 2002). Keeping children safe from child abuse and neglect is the foundation on which CPS was established and remains the utmost priority of any CPS system (CWLA, 1998, p. 1).

History

The child protection movement began in 1875 when the first child protection agency, the Society for the Prevention of Cruelty to Children, was established in New York City after the highly publicized case of Mary Ellen Wilson, a young child who was brutally beaten by her caregiver. In addition to establishment of the agency, New York enacted the first state statute to provide for the protection of children from abuse. Other states followed this precedent in subsequent years, and thus, established a legal basis for intervening when children were abused or neglected by their caregivers.

Other select highlights in the history of child protection include:

- The 1899 establishment of the first juvenile court in Illinois to "regulate the treatment and control of dependent, neglected and delinquent children" (Stevenson et al., 1996, p. 4).
- The 1909 creation of the U.S. Children's Bureau in response to the first White House Conference on Children. The bureau was established to "investigate and report on all matters relating to the welfare of children and child life among all classes of our people" (42 U.S.C., chapter 6).
- The 1935 enactment of the Social Security Act, which required public agencies to provide child welfare services to protect children who were neglected, dependent, delinquent, homeless, or in danger of becoming delinquent.

- The identification of "battered child syndrome" by Dr. C. Henry Kempe et al. (1962), which raised awareness of the inherent responsibilities of communities to protect children. This awareness brought an increased clinical focus to the treatment of maltreated children and their families and resulted in efforts by medical and social service professionals to improve the identification and protection of children who had been abused or neglected.
- The passage of CAPTA (P.L. 93-247) in 1974, which established specific reporting and response protocols for states to incorporate into their child protection statutes.

Since CAPTA's enactment, the U.S. Congress and legislatures in every state have established a public and legal mandate to protect children from abuse and neglect at the hands of those responsible for their care. The federal legislation sets forth a minimum definition of child abuse and neglect—including physical abuse, neglect, sexual abuse, and emotional maltreatment—for the states to use. Using the federal legislation as a foundation, state laws establish their own definitions of what forms of child abuse and neglect must be reported to authorities, who is mandated to report suspected maltreatment, and various other child protection provisions.

CAPTA provides federal funding to states in support of prevention, assessment, investigation, and treatment activities. It also provides grants to public agencies and nonprofit organizations for demonstration programs and projects. CAPTA has been amended several times and was most recently amended and reauthorized by the CAPTA Reauthorization Act of 2010 (P.L. 111-320). Since its initial passage, the statutory provisions have attempted to strike a balance between protecting children and preserving the rights and privacy of families (CWLA, 1998, p. 3), as well as address the appropriate scope of CPS intervention.

Federal appropriations to fund this child protection system have failed to approximate the legislation's authorization level. As a result, the system has been under-funded since its establishment.

Additional Federal Child Welfare Legislation

In addition to the federal law that is specific to child safety and protection, there are a number of significant statutes that have broader effect on the policies and practices of child welfare.

The Indian Child Welfare Act of 1978 (P.L. 95-608) was designed to reduce the trans-racial placement of American Indian and Alaska Native children. It also intended to give tribal

courts jurisdiction over all child custody cases involving such children in an effort to prevent the decimation of American Indian and Alaska Native tribes and families.

Beginning with the Adoption Assistance and Child Welfare Act (AACWA) of 1980 (P.L. 96-272), Congress passed a series of child welfare laws to regulate the length of time children could spend in foster care, the court oversight process, and process of termination of parental rights. Over time, child welfare laws have been increasingly designed to ensure that children do not linger in foster care, but return to their families or move on to adoption.

Family Preservation and Support Services provisions of the 1993 Omnibus Budget Reconciliation Act P.L. 103-66) created federal direction and funding for family preservation and family support services. The Family Preservation and Support Services Program (reauthorized as the Promoting Safe and Stable Families Program under the Adoption and Safe Families Act of 1997 and 2001) gave new funding to the states to provide a range of family support and family preservation services to families with children. The program created a new focus on family support strategies and the importance of communities in supporting families and protecting children (CWLA, 2003c, p. 20–21).

The passage of the Adoption and Safe Families Act (ASFA) of 1997 (P.L. 105-89) marked the culmination of more than two decades of reforms in the child welfare field. Enacted as amendments to Titles IV-B and IV-E of the Social Security Act, it reinforces and clarifies the intent of the Child Welfare and Adoption Assistance Act (P.L. 96-272; DHHS, 2000). The focus of these reforms was to

- modify AACWA's requirement that reasonable efforts be made to prevent the placement of children into foster care;
- increase the chances that children already in care would be put on a "fast track from foster care to safe, loving and permanent adoptive homes" (Congressional Record, 1997, as cited in Stein, 2003); and
- discontinue what was seen by some as the system of always putting the needs and rights of the birthparent first, resulting in a de-emphasis on family preservation (Stein, 2003).

The philosophical tenets that inform and guide ASFA are:

- The safety of children is the paramount concern that must guide all child welfare services.

- Foster care is a temporary setting and not a place for children to grow up.
- Permanency planning efforts should begin as soon as a child enters the child welfare system.
- The child welfare system must focus on results and accountability.
- Innovative approaches are needed to achieve the goals of safety, permanence, and well-being (National Child Welfare Resource Center for Family Centered Practice, n.d., pp. 9–11).

There can be little doubt that ASFA has created a significant reform in child welfare practice (U.S. General Accounting Office, 2002).

In 2006 congress passed several laws to strengthen the protection and services in child welfare:

The Safe and Timely Interstate Placement of Foster Children Act of 2006 (P.L. 109-239), requires states to have procedures in place for the orderly and timely interstate placement of children and requires states to complete foster care and adoption home studies within 60 days after a request by another state.

The Adam Walsh Child Protection and Safety Act of 2006 (P.L. 109-248), requires procedures to conduct criminal records checks including finger print checks of national crime information data bases for any prospective foster or adoptive parent before the parent may be finally approved for placement.

The Child and Family Services Improvement Act of 2006 (P.L. 109-288), made changes to Title IVB, subpart 1 to provide that the new program purpose is to promote the welfare of all children, and to support at risk families through services that allow children to remain with or return to their families in a timely manner and to promote the safety, permanence and well being of all children in foster care and with adoptive families. States are required to develop disaster plans for child welfare to ensure the safety and care of children in foster care in the event of a disaster. The law also strengthens provisions to require that physicians and other medical professionals be involved with assessing the health and well being of children and determining medical treatment. The law set standards for the frequency and quality of caseworker visits with children in foster care.

In 2007, the Tax Relief and Health Care Act was passed requiring that states verify the citizenship or immigration status of any child in foster care under the responsibility of the state. (P.L.109-432).

The Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-351), amended the Social Security Act to address a number of issues for youth in foster care. Provisions include:

- Creating an option for states to provide kinship guardianship assistance payments for relatives taking legal guardianship of children who have been in foster care;
- Extending categorical eligibility for Medicaid for children receiving guardianship assistance;
- De-linking adoption assistance from Aid to Families with Dependent Children (AFDC) eligibility standards;
- Giving states an option to serve children in foster care, adoption and kinship guardianship to age 21, and
- Providing federally recognized Tribes the option of operating a Title IV-E program.

Child and Family Services Reviews

In March 2000, regulations went into effect for a new approach to federal oversight of state child welfare programs, known as the Child and Family Services Reviews (CFSRs). Overseen by the Children's Bureau of the Administration for Children and Families, the review process consists of statewide assessment as well as onsite review conducted by a team of federal, state, and peer reviewers. Information gathered is used to examine the states' success in meeting the major goals of child welfare—child safety, permanence, and well-being. The CFSRs are used to measure State Performance on seven outcomes and seven systemic factors, which are based on the results of an assessment of 45 individual items. The Children's Bureau conducted the first round of reviews in fiscal years 2001-2004 and completed the second round of CFSRs in 2010.

States' inability to attain "substantial conformity" with the seven required outcomes necessitates the development of Program Improvement Plans that describe how they will reach substantial conformity. The CFSR process reaffirms the need for the child welfare system to forge linkages with other systems of support for families (McCarthy & McCullough, 2003, p. 10).

Core Values of Child Protection

Successful efforts to care for and protect children, whether they are made by government child welfare agencies, individual citizens, or community entities, are based on a set of core values (CWLA, 1998, p. 15):

- Every child has a right to adequate care and supervision and to be free from abuse, neglect, and exploitation.
- Every child should have a safe, permanent family.
- Every child's family, however family is defined, is unique and has value, worth, integrity, and dignity.
- The most desirable place for children to grow up is in their own caring families, when those families are able to provide safe and nurturing relationships intended to last a lifetime.
- Parents have the primary responsibility for, and are the primary resource for, their children.
- Most parents want to be and can be adequate parents.
- Most parents who experience difficulty in parenting can be helped to be adequate parents. Appropriate services must be available to assist them in accomplishing needed changes.
- When parents cannot or will not fulfill their protective responsibilities, the community has the right and obligation to intervene directly on the child's behalf.

The CPS System

Public child welfare agencies, of which CPS agencies are a part, are responsible for accepting referrals alleging child abuse and neglect, determining if children have been—or are at risk of being—maltreated, and providing services to protect them. The challenge for CPS agencies is to fulfill their core mandates—prevention, assessment, identification, and treatment of child maltreatment.

State policies often indicate that the decision to accept a report of child abuse and neglect is guided procedurally by concurrence with the notion that the report, if true, constitutes abuse and neglect as defined in state law (Morton & Holder, 1998). This decision is also shaped by other factors, including:

- federal law, which sets core requirements for state systems of reporting and investigation;
- state law, which defines child abuse and neglect and sets requirements for response;
- agency policies, which interpret laws, set standards, and define case practice procedures;
- agency customs, which further refine definitions and response procedures and guide practical issues such as caseload management; and

- the number of layers of decision-makers involved in the screening decision (Wells, 1997).

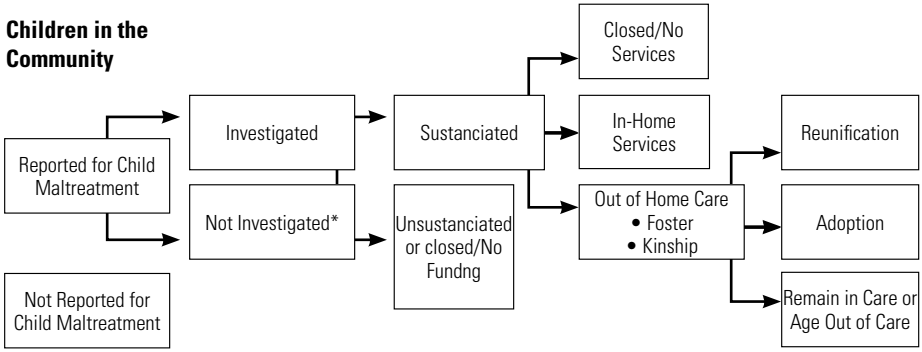
Given these numerous variables, no single prototype or standard CPS system exists. Nonetheless, some common characteristics of the way cases typically flow through the CPS system and the decision-making points along this case flow continuum exist (see Figure C-1).

At the casework level, child protection workers typically engage in a number of steps across the continuum of a single case. Table 1 illustrates these steps.

TABLE 1: The Child Protection Casework Process

STEPS	KEY QUESTIONS
Intake/Screening the report	Should the report be accepted for investigation or assessment? What is the urgency of the report and the timeline for response?
Initial assessment/ Investigation	Is maltreatment substantiated? Should the case be opened for services? Is placement needed to ensure safety? Is court action needed to achieve safety?
Comprehensive family assessment	What must change to reduce or eliminate the risk of harm? What must happen for the effects of the maltreatment to be addressed?
Case planning	What are service goals? What changes must the family make to educe risk and meet treatment needs? What services will the family use to achieve goals and changes? How will the worker evaluate progress?
Service delivery/ Case management	What services will be most effective in achieving the goals? What services are available to meet the plan goals?
Evaluation of family progress	Does the child remain safe? Are the child's permanency needs being met? Is the goal still viable, or is a new goal indicated? Are additional services needed?
Case closure	Does the child remain safe? Are the child's permanency needs being met? Can the case be closed? What services are needed to assist the family following closure?

Simplified Model of Case Flow of Children in the Child Welfare System



*Nearly half of all states have policies that allow for "differential response"—no requirement that determination of maltreatment has or has not occurred. Despite the variability among states, these differential responses address the service needs of families who may be at risk and avoid labeling the caregiver as a perpetrator of maltreatment. The screening and investigation function are altered by the presence of differential response systems in the child welfare agency.

It is important to note that in the past several years many states have reformed their child protective service systems through the implementation of differential response. Differential response allows the CPS agency to set aside the fault finding of substantiation when assessing reports of child maltreatment in certain situations. Generally, differential response is used in cases involving low to moderate risk of harm. By setting aside fault finding the agency is able to enter into a strengths-based assessment with the family that focuses on safety, risk and strengths of and needs of families. This approach changes the nature of the relationship between the public agency and the family. The reauthorization of CAPTA in 2010 contained emphasis on the use of differential response by states and required reporting on the use of it.

Services In most CPS jurisdictions, the decision to provide continuing services is not made solely based on substantiation status—the determination of whether maltreatment occurred. In 2011 more than 1 million (1,113,702) received post-response services as a result of the investigation or assessment conducted by the CPS agency. Three-fifths (61.2%) of victims and nearly one-third (31.1%) of non-victims received post-response services (DHHS, 2013). Service delivery tends to be uneven across communities, with particular shortages of mental health and substance abuse services as well as services delivered in languages other than English.

Juvenile and Family Courts The juvenile and family courts are involved with a small percentage of children who come to the attention of CPS. Nationwide, court proceedings occur on behalf of less than one-fifth (19%) of child maltreatment victims to determine temporary custody of the child, guardianship of the child, or disposition of state dependency petitions (DHHS, 2013). A child should only be removed from his or her home on an emergency basis, if he or she is in imminent danger and no action, other than removal, can remediate the situation.

State laws generally establish a two-step process for the state to obtain custody of a maltreated child. In the first, adjudicatory phase, the court must decide whether allegations that the child has been abused or neglected are legally sufficient and, if so, factually true. If abuse or neglect is found, in the second, dispositional phase, the court must decide what remedy is in the child's best interest. In addition to committing the child to the care and custody of the state CPS agency, dispositional options typically include allowing the child to remain at home with (or return to) his or her parents, with or without protective supervision, committing the child to the care and custody of the agency for a specified (or, in some states, indefinite) period of time, or transferring legal guardianship of the child to a relative or other appropriate person (Chill, 2003).

Despite the fact that court involvement is limited to a small percentage of children who come to CPS's attention, the court is actively involved in the lives of those children. Judges have the final authority to make decisions about the need for placement, the approval of plans for children under protective supervision, and ordering or approving service plans for the child and his or her parents (McCarthy & McCullough, 2003).

The Advent of a Community-Based Child Protection Framework

In 1993, the U.S. Advisory Board on Child Abuse and Neglect, embracing a new child protection framework, called for a neighborhood-based child protection strategy in which

- primary strategies would be focused at the level of urban and suburban neighborhoods and rural communities;
- social and economic supports for troubled families and children would be developed at the neighborhood level, with neighborhoods defined by geographic boundaries; and
- both formal and informal services that are based on the principle of voluntary help by one citizen for another would be widely available, regardless of whether access to such services is determined by the place of residence (p. 18).

State and local efforts to build a community approach to supporting families and protecting children have demonstrated ways to involve citizens and community groups in family support and child protection (CWLA, 2003c, p. 24).

These goals frequently create tension between the child protection agency and the community, as the formal mandate and legal responsibility to protect children resides with the public child welfare agency. The challenge for the child protection field is to recognize that the true hope for these vulnerable children is dependent on workers' ability to work effectively with parents—individuals who frequently have committed egregious acts against their own offspring. Only by engaging these family members in the assessment, treatment, and healing processes, will workers collectively be able to optimize the healthy growth and development of children who have been maltreated, minimize or negate the adverse consequences of these harms, and facilitate productive, satisfying, and independent lives in the context of their families—whether they live with their birth family, with kin, or as part of another permanent family established through adoption or guardianship.

Endnote

1. Text in this section relies heavily on the CWLA Standards for Services for Abused and Neglected Children and Their Families (CWLA, 1998).

APPENDIX C

The Juvenile Justice System

The U.S. government established a juvenile justice system that was separate from the adult system slightly more than 100 years ago. The newly created system and court produced a tradition of focusing less attention on the criminal or delinquent act, instead viewing the totality of circumstances contributing to the youthful offender's misconduct. The original goal was to divert youthful offenders from the damaging punishments of criminal courts and to encourage rehabilitation based on the needs of the youth. "Acting in the best interests of the child" was the predominant theme that helped shape the course and development of the juvenile court movement. Simply put, the mission of this new reform was to guide juveniles toward responsible and productive adulthood, not punish them for these youthful transgressions. As a result, the court had no need "to formulate legal regularities of defendant's rights, due process, and constitutional safeguards that marked the adult judicial process" (Maloney et al., 1988, p. 48, as cited in Howell, 1997, p. 13).

In examining the evolution and current status of the juvenile justice system, it is important to remember that the United States has at least 51 different juvenile justice systems—not just one. Each state and the District of Columbia has its own statutes and children's codes that govern its juvenile justice system. Even with these unique systems, the original reforms, key subsequent Supreme Court decisions, and federal legislation have helped create many of the fundamental tenets relied on today to address juvenile delinquency. It is useful to examine this history and evolution to enrich the efforts at ongoing reform and consideration of integrating the child welfare and juvenile justice systems.

History

Supported by many philanthropic groups, including the Chicago Bar Association, the Chicago Women's Club, led by such reformers as Jane Addams, drafted a bill creating a juvenile court. The Illinois legislature passed the Illinois Juvenile Court Act in 1899. This resulted in the creation of an adjudicatory process involving a hearing in which a judge, the child, the child's family and friends, and the probation officer explored the youthful offender's problem behavior. The goal was to identify the underlying cause of the behavior and then administer appropriate rehabilitative measures. The underlying justification and argument for the creation of this separate system was that children and youth younger than 16, as a direct consequence of their age and immaturity, "are not fully responsible for

their antisocial behavior and can, if humanely treated in proper rehabilitation programs, become productive members of society" (Hutzler, 1982, p. 26, as cited in Howell, 1997, p. 14). The language of the new juvenile court underscored its fundamental differences from the criminal court. Juveniles were not charged with crimes, but rather with delinquent acts; juveniles were not found guilty, but rather were adjudicated delinquent; and they were not sent to prison, but rather to training or reform schools.

This reform philosophy spread quickly. Between 1900 and 1910, 32 states enacted legislation establishing juvenile probation. By 1912, 22 states had juvenile courts, and by 1925, all but 2 states had established them (Krisberg & Austin, 1993, p. 30, as cited in Howell, 1997, p. 13). The juvenile courts established a persistent trend through the 1930s of focusing on the individual and family, dominated in its treatment philosophy by biological, Freudian, and medical approaches (Empey, 1985, as cited in Howell, 1997, p. 14). From the 1930s through the 1960s, prevailing treatment approaches gradually embraced consideration of extra-familial factors, such as poverty, discrimination, inequality, and peer constructs (Howell, 1997, p. 14). Finally, in the 1970s, interest in the family as a source of delinquency regained momentum, and researchers coupled it with recognition that other sources of failure in the socialization process included the school and other youth-serving institutions (Empey, 1985, pp. 26–27, as cited in Howell, 1997, p. 14). Little is known, however, about the actual operations of juvenile courts through this period. Although the original intent remained largely unchanged, no one examined the outcomes from this approach or the fairness of application. That changed fundamentally with several significant Supreme Court decisions beginning in 1966.

Key U.S. Supreme Court Decisions

Four important U.S. Supreme Court decisions resulted in more procedural formality in the juvenile courts. In 1966, in Kent v. the United States, the Court ruled that Morris Kent was denied fundamental due process rights preserved for adult defendants when his case was transferred to criminal court jurisdiction without a hearing and without giving his legal counsel access to the social history information on which the presiding judge based his decision. The Court ruled that

- juveniles had the right to a hearing on the issue of transfer,
- juveniles were entitled to counsel,
- counsel must be given access to social records that are considered by the juvenile court in its decision making process, and

- the juvenile court must provide a statement of the reasons it seeks transfer to criminal court jurisdiction with any waiver order.

The Court also established fundamental criteria to be considered when assessing a decision to transfer a juvenile case to criminal court jurisdiction.

In 1967, the decision of in re Gault extended these procedural safeguards further, ensuring the same rights to juveniles as are afforded adults in criminal prosecutions. These rights can be summarized as follows:

- The alleged delinquent conduct must be set forth with "particularity" and be given sufficiently in advance of the court proceedings.
- In a delinquency proceeding, which may result in commitment to an institution, the court must notify juveniles of their right to counsel (including court-appointed counsel, if private counsel is unaffordable).
- Juveniles may not be required to incriminate themselves in testimony.
- Juveniles have the right to confront their accusers in the delinquency proceeding.

The third key Court decision occurred in 1970. The Court ruled, in the case of in re Winship, that the standard of proof for juveniles charged with delinquent or criminal acts was to be "beyond a reasonable doubt." Prior to this ruling, the standard was no greater than that which is often used in civil court proceedings, "a preponderance of the evidence." Finally, in 1971, in McKeiver v. Pennsylvania, the Supreme Court ruled that delinquency proceedings do not require a jury trial. This effectively reinforced the foundation of the juvenile court, the "parens patriae" philosophy, in which the court acts on behalf of a minor or incompetent person.

Federal Legislation

These U.S. Supreme Court decisions provided the basis for the next chapter of fundamental change in the juvenile justice system: the formulation of the federal Juvenile Justice and Delinquency Prevention Act of 1974 (JJDPA). The previous Supreme Court decisions were buttressed by a report from the President's Commission on Law Enforcement and Administration of Justice issued in 1967 (President's Commission on Law Enforcement and Administration of Justice, 1967a, p. 30, as cited in Howell, 1997). The report provided the first comprehensive examination of the American juvenile justice system and concluded that "it has been proven for a variety of reasons that the promise of the juvenile courts to help the child, to rehabilitate him, to lead him into a healthy and constructive life has not

been kept" (President's Commission on Law Enforcement and Administration of Justice, 1967a, p. 30, as cited in Howell, 1997, p. 15).

In addition, the National Advisory Commission on Criminal Justice Standards and Goals was established in 1971 to "formulate the first national criminal justice standards, goals, and priorities that would constitute a national criminal justice strategy" (Howell, 1997, p. 18). Its work led to the conclusion, published in the National Advisory Commission on Criminal Justice Standards and Goals report in 1973, that courts should give the first priority to preventing delinquency, minimizing involvement of juvenile offenders in the system, and reintegrating delinquents into the community.

JJDPA was passed into law in 1974. It created the federal Office of Juvenile Justice and Delinquency Prevention. JJDPA provided guidance, tied to receipt of federal funding (the Formula Grants program), that outlined compliance with "core protections" for juveniles. The act's original language included a requirement for states to remove non-criminal status offenders and non-offenders from secure detention and correctional facilities. Subsequent amendments have resulted in additional protections that include sight and sound separation of juveniles from adults in detention and correctional facilities, removal of juveniles from adult jails and lockups, and a requirement for states to address the disproportionate minority confinement of juveniles.

Congress reauthorized JJDPA and signed it into law in November 2002, reaffirming the commitment to these core protections. The reauthorized act continued to embrace delinquency prevention and renewed the commitment to the use of evidence-based community programs to prevent delinquency. JJDPA of 2002 was supported by a wealth of research developed since the original 1974 act.

Recent Developments in Research and Law

While there have been no major legislative amendments to the 2002 reauthorized JJDPA in the past decade, there have been major research findings in the area neurological and psychosocial research on adolescents. The nearly 20 year history of credible research has confirmed what parents have long known: that although teenagers are not childlike, they are less competent decision-makers than adults by virtue of their inherent psychological and neurobiological immaturity. According to Steinberg and Scott, "they are more susceptible to peer pressure, less able to consider long-term consequences, more impulsive and ready to take risks. This makes them less culpable or blameworthy than adults, and as a result, they don't merit the same punitive consequences."[1]

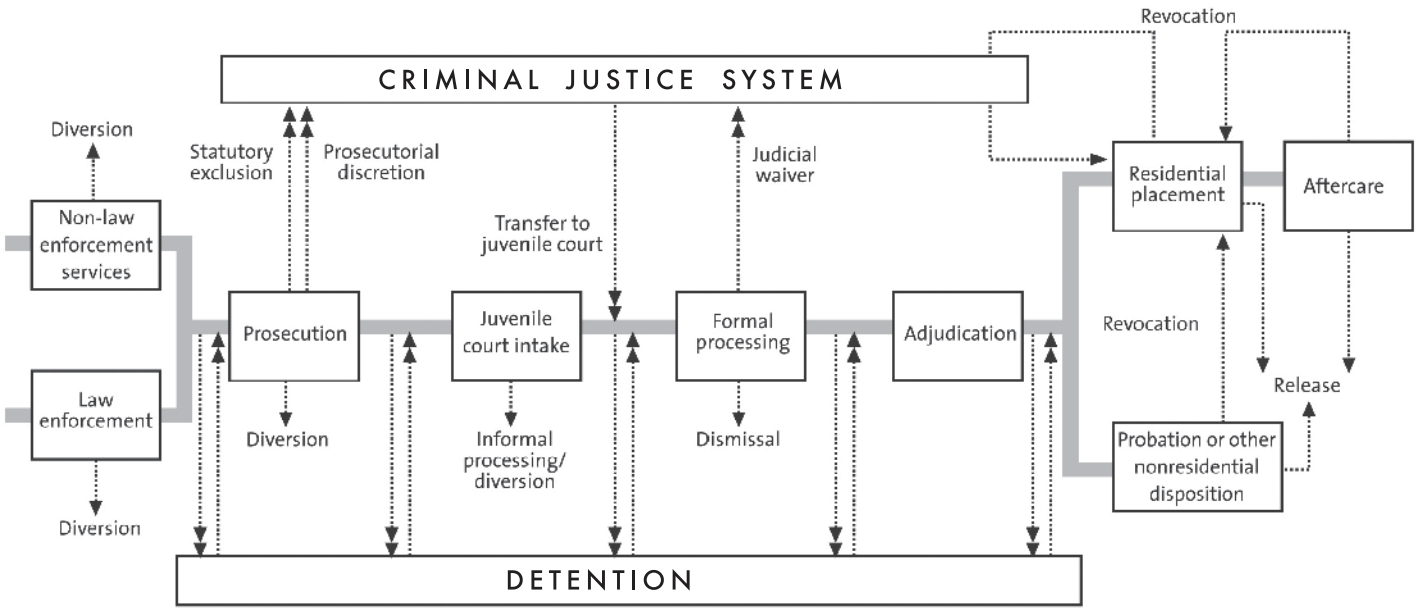
Regardless of whether advances in the understanding of adolescent brain development and neuroscience had a leading or supporting role, there has been relevant evidence brought to the U.S Supreme Court's attention since the early 2000's "in amicus curiae briefs that described a maturational imbalance during adolescence that affects self-regulation during a time of relatively heightened neural responsiveness to…emotional and social stimuli".[2] This seminal research has impacted several significant U.S. Supreme Court opinions that involved the criminal culpability of juveniles and significantly altered the landscape of juvenile justice.[3] Since 2005, the Supreme Court has struck down the juvenile death penalty (Roper v. Simmons) and juvenile sentences of life without parole in non-homicide cases (Graham v. Florida). In J.D.B. v. North Carolina, the Court found that law enforcement must consider the age of a juvenile suspect in determining whether Miranda warnings should be issued. The most recent case, Miller v. Alabama (and its companion case, Jackson v. Hobbs), went further than Roper and limited the authority of states to impose mandatory life without parole sentences on juvenile offenders convicted of homicide in adult criminal court.

Juvenile Justice System Case Flow

As previously recognized, juvenile justice systems vary greatly by jurisdiction. The organization of courts, case processing procedures, and juvenile correctional facilities are governed by state law. Most juvenile courts have jurisdiction over delinquency for offenders younger than 18, abuse and neglect, and status-offender matters. The aforementioned Supreme Court decisions and JJDPA have also helped shape the processes that constitute the procedural flow of a case through the juvenile courts. Figure C-1 shows the juvenile justice case flow, identifying key decision points in the process.

Prior to the commencement of juvenile court processes, someone must refer a juvenile to the court. The police, parents, social service agencies, schools, victims, and court staff (i.e., probation officers) may make referrals. Data confirm that 85% to 90% of referrals are initiated by law enforcement (FBI, 2003). Although many differences exist among juvenile courts, once this referral is made, all juvenile cases must proceed through several fundamental stages, including intake, petition, adjudication, and disposition.

The intake process is the mechanism through which the court identifies delinquent charges. The intake screening process, recognized as a critical function and sometimes referred to as a "gatekeeper" function, affects the alleged victim, the alleged perpetrator, the community perception of the court, the resources of the court, and the future


CRIMINAL JUSTICE SYSTEM
Revocation
Diversion
Statutory exclusion
Prosecutorial discretion
Transfer to juvenile court
Judicial waiver
Residential placement
Aftercare
Non-law enforcement services
Law enforcement
Prosecution
Juvenile court intake
Formal processing
Adjudication
Revocation
Release
Diversion
Diversion
Informal processing/ diversion
Dismissal
Probation or other nonresidential disposition
Diversion
DETENTION

delinquency of the juvenile. The intake decision determines whether a case should not be filed due to insufficient probable cause evidence, should be resolved through diversion, or should proceed to formal processing through the filing of a petition. Depending on state law, the court may also decide to transfer jurisdiction to the criminal court at this point.

If a petition is filed, the case is scheduled for a formal adjudicatory proceeding, similar to a trial in criminal court jurisdiction. At this point, the court may make a critical determination regarding the detention status of the alleged perpetrator. At the adjudicatory hearing, lawyers present the facts of the case, and a finding may result in the court judging the youth to be delinquent, which is similar to a finding of guilt in the criminal court jurisdiction. If the court judges the youth to be delinquent, a disposition hearing is scheduled, which is similar to a criminal sentencing hearing. Other potential outcomes include a finding of not delinquent or guilty, resulting in a dismissal of the case, or the matter may be continued in consideration of a future dismissal. In this circumstance, the court may require the youth to take some action prior to a final decision. This may include participating in treatment, paying restitution, or performing some other informal measures as assigned by the court.

In cases that advance to the disposition hearing, the court (usually through a probation department) prepares a pre-dispositional report, which assesses a broad array of personal, social, family, and school factors affecting the youth. It is this hearing that results in a judicial order setting the course of intervention and treatment for the youth and his or her family. This intervention may include probation, prescribed treatment conditions, fines or restitution, referral to a residential or community-based treatment program, or commitment to an institution or correctional facility. It should be noted that detention is increasingly being considered as a sanction imposed at disposition hearings.

Endnotes

1. An Executive Summary: Rethinking Juvenile Justice, Elizabeth S. Scott and Laurence Steinberg, John D. and Catherine T., MacArthur Foundation, Knowledge Brief, December 2011.
2. Casey, B.J., Getz, S. & Galvan, A. The adolescent brain. Dev. Rev. 28, 62-77 (2008).
3. Steinberg, Laurence. Nature Reviews Neuroscience 14, 513–518 (2013). Available at http://www.nature.com/nrn/journal/v14/n7/full/nrn3509.html.

APPENDIX D

Executive Summary from *Doorways to Delinquency: Multi-System Involvement of Delinquent Youth*

Executive Summary

This executive summary highlights findings from a study conducted by the National Center for Juvenile Justice (NCJJ) that examines the prevalence of multi-system involvement (specifically, child welfare and Becca)[1] among youth referred to the King County Juvenile Court on offender matters during the 2006 calendar year. The study examines how this varies demographically and how juvenile justice trajectories/outcomes vary by level of multi-system involvement.

The target population for the current study reflected a time limited snapshot of youth referred to the King County Juvenile Court on one or more offender referrals during calendar year 2006.[2] The study cohort included 4,475 youth and their history of court and child welfare involvement was tracked through the end of the 2008 calendar year. [3]

Summary of Key Findings

Two-thirds of King County youth referred for offender matters in 2006 have had some form of Children's Administration involvement.

While it was anticipated that a number of youth referred on offender matters in 2006 had some Children's Administration (CA) involvement, it was not anticipated that this would have been the case for two-thirds of the overall study cohort.The 2006 study population is divided into four subgroups that reflect an increasing continuum of Children's Administration involvement. Most data and findings presented in this report are organized along this continuum.

- Group 1: Youth with no record of any history of CA involvement— 33% of the youth referred for offender matters in 2006 were in this group (n = 1,462).
- Group 2: Youth with a CA system identification number (CAMIS ID) but no detail on the extent of agency involvement— 30% of the 2006 offender cohort were in this group. In most instances, these juveniles only had some very limited involvement with the agency (n = 1,358).
- Group 3: Youth who had been named on one or more moderate to high risk child protection referrals that were accepted for investigation. Another 21% of the study cohort were in this group (n = 939).

- Group 4: Youth who had a history of CA-initiated legal activity/placement. These youth had a dependency petition filed or were otherwise placed in CA custody and typically placed out of home—16% of the study population were in this group (n = 716).

The more extensive the history of CA involvement, the greater the proportion of females and minority youth (specifically, African-American and Native American youth).

- Females constitute 27% of the population of youth with no CA history and this steadily increases to 40% among juveniles with a history of CA legal activity/ placement.
- The proportion of African-American youth increases almost three-fold as the extent of CA involvement intensifies—from 16% of the cohort with no CA history to 45%
- of all youth with a history of CA legal activity/placement. For Native American youth, the trend is even more pronounced— a four-fold increase from 1% to 5%.

The likelihood of at least some history of CA involvement increases even more dramatically when controlling for prior history of offender referrals.

- 59% of youth referred a first time for an offender matter during 2006 had at least some history of CA contact/ involvement.
- For youth with two or more prior offender referrals before 2006, this percentage increases to 89% overall, and upwards of 90% for African-American and Native American youth.

Youth with multi-system involvement begin their delinquent activity earlier and are detained more frequently (and for longer periods of time) than youth without such involvement.

- Multi-system youth, particularly those with a history of CA legal activity/placement, start their delinquent careers a year or more earlier than youth with no CA involvement.
- Youth with a history of CA legal activity/placement are typically first detained at an earlier age, are detained far more frequently, and spend substantially more time in detention compared to youth with no multi-system involvement (an average of 70 days compared to 19 days, respectively).

Youth with no history of CA involvement were referred on offender charges much less frequently compared to youth with more extensive CA involvement.

- Youth with no history of CA involvement were referred on offender charges an average of 2.1 times compared to an average of 5.8 times for youth with a history of CA legal activity/placement—a difference of almost three-fold.

Youth who experience multiple offender referrals are much more likely to have records of Becca and CA involvement than youth without such records.

- Overall, 72% of all youth referred to the King County Juvenile Court in 2006 on offender matters had some history of Becca petition filings and/or history of Children's Administration involvement (either prior, during or subsequent to calendar year 2006).
- The percent of youth with a history of Becca petition filings and/or CA involvement increases to 94% for youth referred on two or more offender referrals prior to CY 2006.

A multi-system youth's first offender referral often precedes the filing of a first Becca petition.

- In a slight majority of cases, a truancy or ARY petition was filed after a juvenile's first offender referral (52% and 51% of the time, respectively).
- In 71% of the 106 instances in the study cohort in which a youth was petitioned to the court on a CHINS matter, this petition was filed after his/her first offender referral.

There is a strong correlation between recidivism and history of CA involvement.

- Youth with no history of CA involvement were far less likely to be referred on a new offender matter within two years than youth on the far end of the CA involvement continuum—34% compared to 70%, respectively.
- Two-year recidivism rates for the two less extensive CA categories (CAMIS ID only and history of CA investigation only) fall in between these two ends of the continuum but generally track closer to recidivism rates for the history of CA legal activity/placement subset of 2006 offenders.
- In the most extensive CA involvement category (the history of CA activity/placement cohort), two-year recidivism rates for African-American and Native American youth were 75% and 79%, respectively. These were considerably higher than for other racial groups.
- For females, two-year recidivism rates rose substantially as the analysis controlled for level of CA involvement— from 27% for females with no CA history to 63% for females with a history of CA legal activity/placement.

First-time offenders with records of multi-system involvement have much higher recidivism rates than youth without CA involvement.

- 30% of first-time offenders with no history of CA involvement were referred on a new offender matter within two years compared to 57% of first-time offenders with a history of CA legal activity/placement.
- The more extensive the history of CA involvement, the greater the proportion of first-time offender females. Females constitute 30% of the first-time offender population with no CA history and almost half (47%) of all first-time offenders with a history of CA legal activity/ placement.
- The proportion of first-time offender African-American youth increases almost three-fold as the extent of CA involvement intensifies—from 15% of the first-time offender cohort with no CA history to 43% of similar youth with a history of CA legal activity/ placement. A similar trend is evident among Native American youth.

Youth with histories of both Becca and CA involvement have high recidivism rates.

- Two-year recidivism rates rise dramatically as the analysis controls for histories of both Becca petition filings and CA involvement. Among juveniles with no history of either, the two-year recidivism rate was 31%.
- On the other end, youth with a history of both Becca petition filings and CA legal activity/placement, the two-year recidivism rates spike to 75%.

Multi-system youth experience frequent placement changes and there are substantial costs associated with such placements.

- Multi-system youth who were placed in out-of-homeplacements experienced, on average, 12 placementchanges including an average of three AWOL episodes during the study period. Very little time during this three year period was spent at home or not in CA-related care.
- It is conservatively estimated that placement costs averaged approximately $38,000 per youth during this time. For the 226 youth included in this part of the analysis, the estimated total cost of placement approached $8.6M.

The study suggests the need for earlier, more effective and more timely interventions in multi-system cases, and presents opportunities for further analysis to more closely examine the following topics:

- An examination of current diversion practices and outcomes for multi-system cases;
- Disproportionate Minority Contact (DMC) implications;

- Gender specific implications;
- Additional recidivism measures;
- Expanded DSHS/CA outcome analysis;[4]
- Expanded placement analysis;
- Age of youth at first contact with the child welfare system;
- Analysis of a truant youth cohort; and
- Current court handling/case processing practices.

Endnotes

1. In 1995, in response to the deaths of three runaway children, the State Legislature passed the "Becca Bill" (SB5439) named after one of the deceased children. This statute governs issues related to three types of status offenders/non-offenders: at-risk youth (ARY), truants, and children in need of services (CHINS). While each of these categories of status offenders is considered a different type of case filing and the court process in each differs, these are all commonly referred to as Becca matters in Washington State.
2 This could be for either a referral that was eventually dismissed, accepted for diversion, or a referral that was filed on and formally prosecuted through the court.
3 This included any history of involvement with the King County court system as well as courts in other Washington jurisdictions on offender/criminal, dependency and Becca matters. Child welfare involvement included any Children Administration (CA) history pertaining to moderate/high risk child protection referrals accepted for investigation, legal actions taken by the agency on behalf of these children, and historical records refl ecting any custody, legal status and placement events/changes while in agency care. Children's Administration is the child welfare arm of the Washington State Department of Social and Health Services.
4. The Washington State Department of Health and Human Services (DSHS, the department that oversees Children's Administration) is in the formative stages of launching a series of multi-system pilot projects in a number of counties in Washington State. As the Uniting for Youth effort in King County continues to move forward, it makes sense for Uniting for Youth, at a minimum, to maintain communication with DSHS administration so that each is aware of the other's important system change and ongoing research efforts.

APPENDIX E

King County, Washington

Child Welfare/Juvenile Justice Systems Integration Charter Agreement

Background and Purpose

The Systems Integration initiative is a collaboration of state and local community agencies and organizations in King County that have come together to examine and make improvements in integrated program development, policy development and service delivery for children, youth and families served by Child Welfare and Juvenile Justice Systems.

Since December 2003, the initiative has been working with the Child Welfare League of America to explore and address issues around Juvenile Justice and Child Welfare to enhance the level of collaboration and improve the quality of services delivered to youth and families.

In consideration of the foregoing, the parties agree as follows:

1. Goals.

1.1. Promote increased cooperation, coordination, and integration at the administrative and service delivery levels for the benefit of children and families within the purview of children in the welfare and juvenile justice systems.

1.2. Through a comprehensive, strategic planning process that embraces and values inclusion of youth, families, and a broad based representation of youth serving agencies and organizations, achieve and institutionalize greater multi-system coordination and integration to improve outcomes for King County children, youth and families.

2. Scope of Work.

Each member agency and organization agrees to work with CWLA to:

2.1 Produceaninventoryofresourcesinlocalchildservingsystems,including: programs and services; a comparative analysis of missions, mandates and policies; identification of best

practices nationally and locally; determination of the use of assessment instruments; review and analysis of the funding to support the services and programs; and creation of training for personnel in both systems.

2.2 Assess the current management information systems utilized by participant agencies/organizations and assist CWLA with the preparation of a report on the current capacity to share information across agencies/organizations. The report will identify barriers and obstacles and jointly provide recommendations to overcome the identified impediments to enhanced information sharing. The report will also identify critical information that must be shared across agencies/organizations to enhance case management and service delivery to youth and families.

2.3 Inventory available data systems and identify data sets that must be shared across agencies/organizations and ensure that this information contributes to improved analysis of current trends. This effort will lead to enhanced decision-making, particularly regarding prioritizing the allocation of shared resources among and across agencies/organizations.

2.4 Conduct an examination of the legal, policy, and procedural mandates unique to each agency/organization in order to make recommendations for changes that will contribute to improved coordination of initial decision-making, case management, and service delivery. The parties agree to provide a report of their findings and recommendations available to participant agency/organization leadership.

2.5 Have agency representatives that participate in an ongoing oversight committee ("Executive Committee"), as well as have members assigned to and participate in subcommittee meetings organized to address the multiple issues articulated in this agreement. Each representative shall serve until he or she resigns or a replacement is appointed. The Committee may add additional members at any time.

2.6 Utilize the best available information, research, and practices to guide the process.

2.7 Maintain confidentiality of their client information.

2.8 Assist in the development of a means to track and evaluate the Program's success.

2.9. Jointly compile subcommittee reports to produce findings and recommendations for action strategies resulting in youth serving system coordination and integration.

2.10. Jointly produce an implementation strategy with benchmarks and timelines, no later than 120 days from the adoption of the final report.

3. General Terms

3.1 **Term**. This agreement will be effective through December 31, 2004.

3.2 **Termination**. Member Agencies and Organizations can withdraw from this agreement at any time by making said request in writing with the effective date and reason for withdrawal.

3.3 **Renewal**. This Agreement may be renewed by the parties' mutual agreement for additional terms.

3.4 **Liability**. Each party is responsible for its own acts and omissions and those of its officers, employees, and agents. No party is responsible for the acts of third parties.

SIGNATORY

By:_____
[insert authorized signatory]
[insert title]

SIGNATORY

By:_____
[insert authorized signatory]
[insert title]

[INSERT ALL ADDITIONAL SIGNATORIES]

APPENDIX F

Oregon's Executive Order
Executive Order 02-04

Whereas, 1999 Senate Bill 555 created a new method of comprehensive planning for services provided to Oregon's children and their families; and

Whereas, implementing Senate Bill 555 required significant changes in the way state and local government agencies and other entities work together to identify, plan for, and provide needed, services, supports, and initiatives to children and families; and

Whereas, Senate Bill 555 identified the Department of Human Services, Criminal Justice Commission, Commission on Children and Families, Oregon Youth Authority, Department of Education, and Oregon Progress Board as principal State partners (principal State partners); and

Whereas, the Senate Bill 555 planning process affects additional State agencies, including the Community College and Workforce Development Department, Housing and Community Services Department, Economic and Community Development Department, Employment Department, and others (affected State agencies); and

Whereas, the role of the State of Oregon and its agencies in implementing Senate Bill 555 include:

- Developing partnerships among State agencies to combine planning and reporting requirements;
- Identifying, disseminating, and promoting information on best practices, promising approaches, and research-based practices;
- Collecting and managing data needed to inform the State and county planning and decision-making processes and developing a system to communicate to State agencies and counties in a coordinated fashion and at an appropriate level of detail;
- Jointly developing with counties planning an accountability processes that meet state needs and respond to the capacity of counties to implement those processes; and
- Providing resources, which may include funding, capacity-building, and technical assistance, to support the availability of effective, community based services.

Whereas, the local community comprehensive plans shall include:

1. Identification of ways to connect all state and local planning processes related to services to children and families into the local coordinated comprehensive plan to create positive outcomes for children and families;
2. Provisions for a continuum of social supports at the community level for children. from the prenatal stage through 18 years of age, and their families, that takes into account areas of need, service overlap, asset building, and community strengths;
3. An early childhood system plan; Local alcohol and other drug prevention and treatment plans;
4. The local high-risk juvenile crime prevention plan;
5. Ways to improve results by addressing the needs, strengths, and assets of a children, families, and communities in the county or region including those children and families at high risk;
6. Strategiesbasedonprovenpracticesofeffectivenessforthespecificcommunity; and
7. Strategies designed to achieve outcomes based on research-identified proven practices of effectiveness.

Whereas, State and local agencies have made significant progress in implementing the planning required by Senate Bill 555 but additional actions are necessary to continue that progress;

Therefore, it is ordered and directed:

1. The principal State partners shall, to the greatest extent possible and within their assigned agency mission, jointly submit budget and legislative recommendations to the Department of Administrative Services for consideration in developing the 2003–05 Governor's Recommended Budget. The recommendations shall identify which planning processes, and resources of the principal State partners should be directed by the county comprehensive plans and shall be based on information from the comprehensive plans submitted by the counties.
2. The principal State partners and other affected State agencies shall develop a statewide plan for children and families based upon the county plans. The State plan shall be based on the needs, priorities, and strategies identified in the county plans and shall include recommendations for State agency actions. The principal State partners shall identify and involve other affected State agencies necessary to address issues identified in the county plans.

3. The principal State partners shall develop formal agreements to improve coordination among the principal State partners and shall develop agreements among the principal State partners and other affected State agencies as necessary. The agreements shall:

- Identify which resources should be directed by the county comprehensive plans;
- Identify individual planning processes of the principal State partners and other affected State agencies affected by the State and county comprehensive planning processes;
- Systematize within each principal State partner how coordination will occur among the principal State partner agencies and programs within those agencies, including reviewing county plans and using information from the county plans in the State planning process;
- Identify means for systematic communication among principal State partner agency staff at all levels;
- Recognize the shared responsibility to achieve positive outcomes for children and families;
- Identify data to be provided to counties for-planning purposes, how it will be made available, and how it will be updated;
- Identify data counties must collect and report to the State and how to minimize reporting requirements to counties;
- Identify joint outcome measures and accountability processes that the principal state partners will use.
- Establish a process and structure for the principal State partners to develop the statewide plan referred to above;
- Identify how decisions affecting implementation of Senate Bill 555 will be made within and among the principal State partners; and
- Identify how to provide coordinated training and technical assistance.

4. All State agencies and programs that serve children and families, directly or indirectly, shall review the contents of the county plans and to the greatest extent possible within the assigned agency mission of each partner incorporate them into their budget and policy development.
5. The principal State partners shall report to the Governor annually on December 1 on the status of compliance with the provisions of this Executive Order.

Done at Salem, Oregon, this 15th day of July, 2002.

APPENDIX G

Baltimore City Memorandum of Understanding

This agreement, made this 21st day of December, 2000, by and among the Circuit Court for Baltimore City, Family Division–Juvenile (hereinafter "The Juvenile Court"), the Maryland Department of Juvenile Justice (hereinafter "DJJ), The Office Of The State's Attorney for Baltimore City (hereinafter "State's Attorney"), The Office of the Public Defender (hereinafter "The Police"), The Maryland Department of Human Resources (hereinafter "The Police"), The Maryland Department of Social Services (hereinafter "DSS") and The New Baltimore City Board of School Commissioners (hereinafter "School Board").

Whereas, the parties acknowledge that the Juvenile Court and associated agencies are committed to delivering services to children, youth and families of Baltimore City and the general public; and

Whereas, the parties acknowledge that the Juvenile Court and associated agencies can improve the delivery of services in a more efficient and effective manner to the children, youth and families of Baltimore City and the general public; and

Whereas, all of the parties agree that cooperation, coordination, and collaboration are critical for the effectiveness of service delivery; and

Whereas, research clearly confirms that children who are maltreated by their parents or caretakers not only suffer the immediate consequences of abuse (e.g., physical injury, sexual exploitation, or serious emotional harm) and neglect (e.g., lack of appropriate physical care and supervision, emotional development, and emotional well being) but also are at heightened risk of early onset of and involvement in serious and violent delinquency and other adolescent problem behaviors, including substance abuse, teen pregnancy, low academic achievement, and mental health problems; and

Whereas, developing effective solutions to the inappropriate or unnecessary use of secure juvenile detention is essential; and

Whereas, as the DJJ has funded the design and construction of a multipurpose juvenile justice center in Baltimore City to provide an appropriate physical location for a juvenile

justice center, a juvenile courthouse and numerous collateral offices known as Baltimore City Juvenile Justice Center (hereinafter "the Justice Center"); and

Whereas, the development of the Justice Center presents an opportunity in the State's largest Juvenile Court to establish new initiatives and procedures that specifically address the unique needs of the at-risk children, youth and families it serves. This opportunity should allow innovative programs and services that are specific to the needs of Baltimore City and possibly differ from those programs and services offered in other subdivisions; and

Whereas, the Juvenile Court is dedicated to serving the best interests of the children and families who appear before the Court while assuring due process and protecting the safety and security of the citizens of Baltimore; and

Whereas, the parties agree to better serve children and families who come into contact with the Juvenile Court, including cases involving delinquency, Children In Need of Supervision (CINS), Children In Need of Assistance (CINA), Termination of Parental Rights (TPR), and adoption; and

Whereas, the parties agree, after the Justice Center is fully operational, to continue to cooperate, coordinate, and collaborate on such issues as case processing, detention reform, management information systems, prevention, early intervention services, the integration of services, the nexus between delinquency and CINA and generally the well being of children and families who come to the Justice Center.

Now therefore, this agreement witnesseth:

1. The recitals shall form a part of the agreement.
2. The parties hereby agree to work in a collaborative manner in developing, piloting, implementing, and evaluating policies, procedures, and "best practices" and the utilization of the Justice Center.
3. The parties hereby agree, that in developing more effective solutions to inappropriate or unnecessary detention of youth, to examine detention reform concepts through development of sound policies, procedures and practices.
4. The parties agree that the use of objective data form juvenile justice and child welfare agencies is essential to implementing new policies, procedures and practices.
5. The parties agree, where appropriate, to pilot new initiatives and to evaluate their success based upon data collected on the new initiatives. The parties further agree to continually review and evaluate those initiatives for purposes of determining their

effectiveness and to establish accountability.

6. The parties hereby acknowledge that each party has certain constitutional and legislative mandates and authority, which cannot be delegated orabdicated. To this end the parties further agree that they each will recognize and respect those proscriptions in developing a collaborative effort.
7. The parties agree that to the extent that the individual signatories are unable to participate in the collaborative process, those signatories will assign a designee with the appropriate authority to permit the collaborative process to continue.

In witness whereof, the parties have caused this Agreement to be executed as of the date first written above.

SIGNATORIES

CIRCUIT COURT FOR BALTIMORE CITY MARYLAND DJJ

THE OFFICE OF THE PUBLIC DEFENDER THE OFFICE OF THE STATE'S ATTORNEY FOR BALTIMORE CITY

BALTIMORE CITY POLICE MARYLAND DEPARTMENT OF HUMAN RESOURCES

BALTIMORE CITY DEPARTMENT OF SOCIAL SERVICES THE NEW BALTIMORE CITY BOARD OF SCHOOL OF COMMISSIONERS

APPENDIX H

Hopetown Hypothetical Agreement

Cooperative Agreement Between the Department of Juvenile Justice, the Department of Family and Children Services, and the Hopetown County Juvenile County.

Parties to the Agreement

This agreement is made and entered into by the Department of Juvenile Justice (hereinafter referred to as "DJJ"), the Department of Family and Children Services (hereinafter referred to as "DFCS"), and the Hopetown County Juvenile Court (hereinafter referred to as "the Court").

Purpose of the Agreement

The purpose of this agreement is to promote increased cooperation, coordination, and integration at the administrative and service delivery levels for the benefit of children and families within the purview of the DJJ, DFCS, the Court, and any additional signatory agencies party to this agreement.

The parties to this agreement believe that greater multi-system coordination and integration is best accomplished through a comprehensive, strategic planning process that embraces and values inclusion of youth, families, and a broad based representation of youth serving agencies and organizations. Since a wealth of basic and applied research, excellent program and practice models, and accessible resources already exist, the parties to this approach will utilize the best available information, research, and practices to guide the process. This agreement provides a framework for the parties to enhance the level of collaboration and improve the quality of services delivered to youth and families.

Areas of Agreement

The parties to this agreement will identify agency representatives that participate in an ongoing committee organized to address the multiple issues articulated in this agreement. The parties will specify the function, roles, and responsibilities of the committee leadership and members.

The parties to this agreement will assess the current management information systems utilized by participant agencies/organizations and provide a report on the current capacity to share information across agencies/ organizations. The report will identify barriers and

obstacles (both statutory and policy) and jointly provide recommendations to overcome the identified impediments to enhanced information sharing. The report will also identify critical information that must be shared across agencies/organizations to enhance case management and service delivery to youth and families (including but not limited to: previous history of maltreatment; court, educational, medical, psychiatric, and family history; and previous services provided to the youth and family).

The parties to this agreement will identify data sets that must be shared across agencies/organizations (including but not limited to: # of foster care youth detained; # of delinquent youth with previous history of maltreatment; youth referred to the court with active foster care status) and ensure that this information contributes to improved analysis of current trends. This effort will lead to enhanced decision-making, particularly regarding prioritizing the allocation of shared resources among and across agencies/organizations.

The parties to this agreement will conduct an examination of the legal, policy, and procedural mandates unique to each agency/organization in order to make recommendations for changes that will contribute to improved coordination of initial decision-making, case management, and service delivery. The parties agree to provide a report of their findings and recommendations to participant agency/organization leadership.

In conducting the above, the parties to this agreement will provide each other with a written description of:

- agency/organizational structure and analysis,
- case flow processing and analysis, and
- identification and review of currently utilized case/service assessment instruments.

The parties to this agreement will inventory and assess the available services and resources utilized in behalf of youth and families within the jurisdiction. This effort is intended to reduce the unnecessary duplication of services and provide a cross-agency resource for youth and families.

The parties to this agreement will collaboratively develop an inventory of best practices and model or promising programs, and make recommendations for multi-agency development and implementation of selected practices and programs intended to improve the services delivered to youth and families.

The parties to this agreement will examine and analyze current agency/ organization budget and funding requirements to determine the feasibility of blended/integrated/de-categorized funding opportunities to reduce duplication of resources and improve service delivery for youth and families. This effort will produce findings and recommendations and include, but not limit identification of potential additional funding sources for: administrative collaboration, development of management information systems, program development and implementation, and process and outcome evaluation.

The parties to this agreement will develop a timeline for the completion of the tasks enumerated in this memorandum (including reports and analysis and implementation).

APPENDIX I

Discussion Questions for Barriers to Integration and Coordination[1]

Legal Issues

- What funds are available to support various components of the model (e.g., assessment, services delivery, personnel costs, training, and mechanisms for sharing information)? How can funds be combined to meet a family's multiple needs?
- Who is eligible for what services and supports? What eligibility review is required? Does the review become more complicated if funding streams and programs are combined?
- What about confidentiality? Are there statutes, regulations, or policies that prevent information gathered by a worker in one program from being shared with workers in other programs?
- How are costs to be allocated when funds from a variety of funding streams or programs are used jointly? For example, if cross-training is provided to staff from five different programs, which programs pay for what part of the training?
- How do requirements about management information systems help or hinder the integration of services for families? How do cost allocation requirements impact the ability to develop joint management information structures?
- How can waiver authority facilitate cross-program integration where barriers exist?

Information System Challenges

- How can existing information systems be used to promote coordination and integration cross programs? For example, can the systems in relevant programs interface with each other to share information? Can they work together to facilitate reporting of all required data?
- Is there a single information system that can be used to determine eligibility for relevant programs and track individual and family progress towards desired goals?
- If the information systems do not facilitate coordination and integration, can new systems be developed and implemented? Can problems in existing systems be worked around?
- Can confidentiality be protected as needed while utilizing the information system(s)?
- Are there adequate resources to re-program information systems in ways that facilitate integration?

Concerns Raised by Performance Indicators

- How do performance goals for various programs encourage or discourage cooperation and integration across programs?
- To what extent are the performance indicators for relevant programs consistent?
- What services and activities get fewer resources and less attention because performance indicators do not measure them?

Managerial or Administrative Issues

- Who will administer the services in an integrated model?
- Will a single caseworker conduct an assessment or will the assessment be conducted by a multi-disciplinary team?
- Will families have a primary caseworker despite their involvement in multiple programs and services?
- Will services be co-located so that families receive services in a single place? If co-location is not feasible, what structural or procedural components can be put in place to ensure that service delivery is seamless?
- What is the appropriate level of expertise needed by any given worker for the integrated model to work?
- Will there be joint case plans (e.g., a single plan for all programs in which the family participates) or is joint case planning sufficient (e.g., multiple plans that are complimentary, not conflicting)?
- How will the use of funds be tracked and reported? What mechanisms are needed to ensure that relevant reporting requirements are met when multiple funding streams are utilized?
- What decision-making provisions are needed to determine whether the benefits of using a funding stream for a particular purpose outweigh the "costs" of using that funding stream? In other words, when to costs of fulfilling the reporting requirements, meeting the performance indicators, and complying with the requisite cost allocation methodologies outweigh the costs of using a particular funding stream?

Endnote

1. Source: Hutson (2004).

APPENDIX J

Descriptions of Federal Programs for Children and Families[1]

TANF

The Temporary Assistance for Needy Families (TANF) program (Hutson, 2004)[2] replaced the Aid to Families with Dependent Children (AFDC) program in 1996. Under TANF, states receive a lump sum of money that can be used to provide an array of supports and services, not just cash assistance. Spending must be consistent with at least one of the following purposes:

(1) provide assistance to needy families so that children may be cared for in their own homes or in the homes of relatives;
(2) end the dependence of needy parents on government benefits by promoting job preparation, work, and marriage;
(3) prevent and reduce the incidence of out-of-wedlock pregnancies and establish annual numerical goals for preventing and reducing the incidence of these pregnancies; or
(4) encourage the formation and maintenance of two-parent families.[3]

Eligibility for assistance is limited to "needy families," but states have broad discretion in defining the income level that constitutes "needy." There is a federal time limit of 60 months on the receipt of "assistance" (essentially payments designed to meet basic needs and child care and transportation assistance for families that are not employed). However, states can impose shorter time limits if they wish.

SNAP

The Supplemental Nutrition Assistance Program[4] is a federally funded, state-administered program that provides nutrition assistance to low-income families, elderly persons, individuals with disabilities, and childless adults to enhance their food purchasing power. Eligibility is time-limited for some unemployed, able-bodied adults without children, but not for families with children or those who are elderly or disabled. The federal government sets most rules, including eligibility requirements (130 percent of the federal poverty level [FPL]) and benefit levels. States have significant flexibility regarding benefit delivery policies, such as recertification requirements. States also have some flexibility regarding eligibility policies, such as establishing asset limits or creating a transitional Food Stamp benefit for families leaving welfare. The federal government pays 100 percent of the benefit with states sharing 50 percent of the administrative costs. Food Stamp funding is an open-ended entitlement for states—they receive funding for every eligible person the state serves.

Child Support

The Child Support program[5] is jointly administered and funded by federal, state, and county governments. The child support program enforces child support obligations by attaching part of the income of non-custodial parents and transferring it to their children. The program establishes the legal relationship between unmarried fathers and their children, sets child support orders, and obtains health insurance for the children. Programs in some states link parents to employment and other services. Like Food Stamps, the basic child support funding is an open-ended entitlement.

Medicaid

Medicaid[6] finances health insurance for low-income children, families, pregnant women, the elderly and person with disabilities. The federal and state governments, with the federal government paying half or more of the costs, jointly fund the program. Medicaid is administered by states within federal guidelines. Eligible persons fall into one of three basic groups: parents and children; the elderly; and individuals with disabilities. Eligibility requirements vary, but individuals in each of the three groups must have income and assets below specified thresholds. States can have broader eligibility coverage but at a minimum must cover children under age 6 in households up to 133 percent of the FPL and children under age 19 up to 100 percent of the FPL. States must also cover certain very low-income parents. States are required to cover a specific set of services and can adopt optional coverage of others.

With the passage of the Patient Protection and Affordable Care Act (Affordable Care Act) of 2010 on January 1, 2014 all children, parent and childless adults under 65 who have incomes up to 133% of the FPL will become eligible for Medicaid. The expanded eligibility will be available to persons in states that have chosen to accept the expansion.

As with Food Stamps and Child Support, Medicaid is an open-ended entitlement for states.

CHIP

The Children's Health Insurance Program[7] provides health care coverage for children in families with income to high to qualify for Medicaid but can't afford private insurance. States have broad discretion in setting income eligibility and eligibility varies across states. While a couple of states have eligibility lower than 200 percent of FPL, most states are in the range of 200-300% percent of FPL. States can use CHIP funds to expand their Medicaid programs, create a separate state health insurance program or to do both. The Affordable Care Act of 2010 maintains CHIP eligibility standards in place as of enactment through 2019.

CCDF

The Child Care Development Fund awards funds to states to provide child care subsidies to low-income families and funds to improve the quality and availability of child care services. States set the income eligibility for their subsidy program, but federal funds cannot be used for families with incomes above 85 percent of the state median income. Children are eligible for CCDF-funded subsidies if they are younger than 13 (or in many states 19 if the child cannot care for himself or herself due to a disability, or is under court supervision) and if their parents are working or in education or training.

Substance Abuse Grant

The Substance Abuse Prevention and Treatment Block Grant8 provides states with lump sum funding for preventing and treating substance abuse. States have broad discretion in how these funds are used, although there are some limitations; including limitations on the circumstances under which inpatient treatment can be supported with these funds and a limitation on the amount spent for services provided in a penal or correctional institution. There are also requirements that certain percentages of the funds will be spent on prevention and on services for women.

Mental Health Grant

The Mental Health Services Block Grant[9] provides states with lump sum funding to help states provide comprehensive community mental health services. States have broad flexibility in the use of these funds. However, a certain portion of the funds must be spent to provide integrated systems of services for children. In addition, there are some limitations on spending, including a prohibition on the use of funds to provide inpatient treatment.

Family Violence Grant

The Family Violence Prevention and Services Grant provides states and tribes with lump sum funding to increase public awareness about and prevent family violence and to provide for immediate shelter and related assistance to victims of family violence, including their children. States and tribes distribute these funds to local public agencies and nonprofit organizations, but must ensure that at least 70 percent of the funding is allocated to entities that provide immediate shelter and related assistance and that at least 25 percent of the funding goes for providing related assistance, which includes prevention and outreach services, counseling, transportation and child care. The funds cannot be used to provide direct financial payments to victims of family violence, but can be used to help them obtain financial assistance and health care through other programs. In addition to providing funding for shelter and related assistance (80 percent of total funding) the Family Violence Grant provides

funding for state domestic violence coalitions and for technical assistance through National Domestic Violence Resources Centers.

CAPTA Grants

The CAPTA provides several different discretionary funding streams. One provides funding and guidance to states to improve their CPS systems (e.g., the investigation and prosecution of child abuse and neglect cases). CAPTA also provides funding for innovative research and demonstration projects and for community-based efforts that support and strengthen families to reduce the likelihood of child maltreatment.

Child Welfare Services Grant

The Child Welfare Services Grant[10] (Title IV-B, Subpart 1, of the Social Security Act), provides matching funds to states for a wide range of child welfare services. The definition of services that can be supported includes services aimed at: "(A) protecting and promoting the welfare of all children; (B) preventing or remedying...the neglect, abuse, exploitation, or delinquency of children; (C) preventing the unnecessary separation of children from their families; (D) restoring to their families children who have been removed; (E) placing children in suitable adoptive homes; and (F) assuring adequate care of children away from their homes."

PSSF Grant

The Promoting Safe and Stable Families Grant[11] (Title IV-B, Subpart 2, of the Social Security Act) provides states matching funds for a set of family support, family preservation, time-limited reunification and adoption support services.

Foster Care and Adoption Grants

The Foster Care and Adoption Assistance Grants[12] (Title IV-E of the Social Security Act) guarantee reimbursement to states for a portion of the foster care costs of certain children. A child is entitled to federally funded foster care maintenance payments if: (1) he or she is removed from the home of his or her parents or specified relatives pursuant to a voluntary placement agreement or judicial order; (2) responsibility for the care and placement of the child rests with the child welfare agency; and (3) at the time of removal, the child's family meets the state's 1996 AFDC eligibility criteria. The federal government reimburses states at their Medicaid matching rate for each eligible child. In addition, the federal government reimburses states for certain training expenses at a 75 percent match rate and for administrative expenses and certain child placement costs at a 50 percent match rate.

These Grants also provide financial assistance to adoptive parents on behalf of certain children with special needs. Although states have discretion defining "special needs," a child generally meets the criteria if he or she has a condition that makes it unlikely that he or she will be adopted absent financial assistance. The adoptive parents of a child with special needs are entitled to payments for certain non-recurrent adoption expenses. If the child had met Title IV-E foster care requirements or the eligibility criteria for Supplemental Security Income (SSI), the state may provide the parents with on-going assistance payments and seek reimbursement from the federal government at the state's Medicaid match rate. States are also entitled to reimbursement for certain training costs at a 75 percent federal match rate and for administrative costs and certain child placement activities at a 50 percent match rate. As with Food Stamps, Medicaid, and Child Support, the Foster Care and Adoption Assistance Grants are open-ended entitlements to the state.

With the passage of the Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-351), states have the option of providing kinship guardianship assistance payments under Title IV-E for relatives taking legal guardianship of children who have been in foster care. The law also extended categorical eligibility for Medicaid for children receiving kinship guardianship assistance payments. It also gave states the option of extending Title IV-E Foster Care, Adoption and Guardianship up to age 21 if certain conditions are met.

CSBG

The Community Services Block Grant[13] provides very flexible funding to states "to ameliorate the cause of poverty in communities." At least 90 percent of the funding received by states is to be distributed by the state to local community action agencies and other neighborhood organizations. Up to 10 percent of a state's funds can be used by the state to provide technical assistance, training, coordination, communication services, and other statewide activities that help support the work of local agencies.

SSBG

The Social Services Block Grant[14] provides very flexible funding to states to provide a broad range of social services. The goals of SSBG include helping families achieve and maintain economic self-support and self-sufficiency, preventing or remedying maltreatment of children or adults unable to protect themselves, preventing or reducing inappropriate institutional care by providing community-based or home-based services, and securing referrals for institutional care when other forms of care are not appropriate.

Endnotes

1. Original summary reprinted with permission of CLASP; updated for the third edition of Guidebook.
2. 42 U.S.C. § 601 et seq. For an overview of allowable spending under TANF, see U.S. Department of Health and Human Services, Helping Families Achieve Self-Sufficiency: A Guide to Funding Services for Children and Families through the TANF Program (1999), http://www.acf.hhs.gov/programs/ofa/resource/tanf-funding-guide
3. For an overview of allowable spending under Temporary Assistance to Needy Families, see: U.S. Department of Health and Human Services (2013).
4. 7 U.S.C. § 2011 et seq.
5. 42 U.S.C. § 651 et seq.
6. 42 U.S.C. § 1396 et seq.
7. 42 U.S.C. § 1397aa et seq.
8. 42 U.S.C. § 300x-21 et seq.
9. 42 U.S.C. § 300x-1 et seq.
10. 42 U.S.C. § 622 et seq.
11. 42 U.S.C. § 629 et seq.
12. 42 U.S.C. § 670 et seq.
13. 42 U.S.C. § 9901 et seq.
14. 42 U.S.C. § 96.70 et seq.

APPENDIX K

Summaries of Federal Programs for Juvenile Justice

Title V

Community Prevention Grants Program: The Title V Incentive Grants for Local Delinquency Prevention Program is commonly known as the Community Prevention Grants Program and is administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Congress authorized it as part of the 1992 reauthorization of JJDPA of 1974. Title V, the only federal funding source specifically dedicated to delinquency prevention, created a federal grants program to fund collaborative, community-based delinquency prevention efforts to reach youth in high-risk situations before they make poor choices. The program provides local jurisdictions with the resources needed to implement a comprehensive delinquency prevention strategy that is best suited to that community.

Communities have used Title V funds for a range of prevention programs and activities from pre- and postnatal strategies, such as nurse home visitation and preschool/parent training programs, to youth development initiatives involving the mentoring, after school activities, tutoring, truancy, and dropout reduction. The Title V Program led to the creation of three delinquency prevention programs that were funded under Title V—the Community Prevention Grants program, the Tribal Youth Program (TYP), the Enforcing Underage Drinking Laws (EUDL) program which are still funded today. Despite decreasing funding levels from approximately $95 million in 2003 to approximately $20 million in 2012, the program continues to provide incentives to states and local jurisdictions to develop improved delinquency prevention services and alternatives.

JAIBG

Congress created JAIBG in the appropriations for the Departments of Commerce, Justice, and State; the judiciary; and related agencies for FY 1998, passed on November 26, 1997 (P.L. 105-119). The appropriation for JAIBG was $250 million. OJJDP has been administering the JAIBG program. Funds are available on a formula basis. This formula provides a minimum allocation of 0.5% of the available funds to each state, with the remaining funds allocated to each eligible state based on relative share of the aggregate of all states' population of people younger than 18. The purpose of JAIBG is to provide states and local governments with funds to develop programs to promote greater accountability in the juvenile justice system. Since FY 2002, the program has faced severe cuts in appropriations and Congress recently funded it at less than 20% of the original appropriation in FY 1998.

Defending Childhood Initiative

The U.S. Department of Justice (DOJ) launched the Defending Childhood initiative on September 23, 2010, to address the exposure of America's children to violence as victims and as witnesses. Children's exposure to violence, whether as victims or witnesses, is often associated with long-term physical, psychological, and emotional harm. Children exposed to violence are also at a higher risk of engaging in criminal behavior later in life and becoming part of a cycle of violence. In 2010, DOJ awarded grants to eight sites in cities and tribal communities around the country to develop strategic plans for comprehensive community-based efforts that will further demonstrate the goals of this initiative. Each of these sites received additional support in 2011 to help launch, sustain, and expand programs and organizations focused on the development of community-based solutions to address the problem. Four sites will be supported to develop comprehensive demonstration projects. In addition to the demonstration program grants, the Department of Justice is committing additional funding for research, evaluation, public awareness and training for professional members and affiliates of national organizations through the initiative. The Federal partners include: the Executive Office of United States Attorneys, Federal Bureau of Investigation, Office of Community Oriented Policing Services (COPS), Office on Violence Against Women, and the Office of Justice Programs.

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Ms. Wiig has provided consultation and technical assistance on juvenile justice and child welfare issues to state and local jurisdictions in the areas of program design; policy analysis; case flow management; best practices and probation system reviews; information sharing; and multi-system collaboration.

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In the past twelve years, Mr. Tuell and his colleague, Janet K. Wiig, have created and enhanced the framework upon which this third edition of the Guidebook is based. Mr. Tuell has worked extensively with experienced leaders and practitioners to identify the critical obstacles and opportunities to improve multi-system coordination and integration, and worked with the RFK National Resource Center staff to provide technical assistance and consultation to dozens of state and local jurisdictions to improve outcomes for dual status youth and their families. Mr. Tuell has been an author or contributing author to numerous publications and issue briefs including: *Dual Status Youth - Technical Assistance Workbook; Promoting a Coordinated and Integrated Child Welfare and Juvenile Justice System; Understanding Child Maltreatment and Juvenile Delinquency: From Research to Effective Program, Practice and Systemic Solutions; Addressing the Needs of Multi-System Youth: Strengthening the Connection between Child Welfare and Juvenile Justice; Models for Change Information Sharing Tool Kit; and Probation Review Guidebook*.

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An initiative supported by the John D.
and Catherine T. MacArthur Foundation
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