

Direction under s. 41(1) of the *Privacy and Personal Information Protection Act 1998* in relation to Youth on Track

1. Interpretation

1.1 In this Direction, the following words have the respective meanings:

“**Category A agency**” means the agencies listed in Category A of Schedule 1;

“**Category B agency**” means the agencies listed in Category B of Schedule 1;

“**Category C agency**” means the agencies listed in Category C of Schedule 1;

“**COPS database**” means the Computerised Operational Policing System database operated and controlled by the NSW Police Force;

“**DAGJ**” means the Department of Attorney General & Justice;

“**DEC**” means the Department of Education and Communities;

“**Direction**” means this direction and any Schedules;

“**GRAM screen**” means the Group Risk Assessment Model actuarial tool described in Schedule 3;

“**Home Environment**” means a location in which the young person ordinarily resides. It may include more than one location, for example where the young person has parents/guardian living in different residences.

“**IPP**” means the Information Privacy Principle set out in the section of the PPIP Act with the corresponding section number;

“**Known Risk Factors**” includes negative peer associations, undocumented offending by the young person (eg: occurring before 10 years of age) and risky family circumstances. This personal information may, in rare cases, include personal information to which s. 19 of the PPIP Act applies (in particular, personal information about a young person’s sexual activities, such as prostitution, if that is relevant to the young person’s risk of offending and/or support needs).

“**NGO**” means a non-government organisation contracted by DAGJ for the purposes of Youth on Track;

“**participating agency**” means a public sector agency specified in Schedule 1;

“**personal information**” has the same meaning as in s. 4 of the PPIP Act;

“**Police**” means the NSW Police Force;

“**PIIP Act**” means the *Privacy and Personal Information Protection Act 1998*;

“**privacy internal review**” means internal review as provided by Pt. 5 of the PPIP Act;

“**public sector agency**” has the same meaning as in the PPIP Act and includes Category A,B, and C agencies listed in Schedule 1 of this Direction;

“**safety warnings**” means information which tends to suggest that the young person, or background circumstances surrounding the young person, may pose a threat to a case worker seeking to approach the young person and/or his or her parent/guardian, including due to his or her home environment.

“**YLS-CMI**” means the Youth Level of Service Case Management Inventory tool described in Schedule 2;

“**Youth on Track Unit**” means the Youth on Track Unit established within DAGJ to conduct and oversee Youth on Track.

- 1.2 For the purposes of s. 4(4)(b) of the PPIP Act, the NGO contracted to provide the case management services is a “person engaged” by DAGJ.

2. Objectives of Youth on Track

- 2.1 Youth on Track is a trial strategy for reducing juvenile offending through improved early intervention and post release support. It aims to do this by:
 - (a) identifying young people at risk of offending;
 - (b) identifying needs that contribute to the risk of those young people offending;
and
 - (c) addressing those needs at an early stage before offending becomes entrenched, through case management and the provision of appropriate evidence-based interventions for the young person.
- 2.2 The NSW Government will implement Youth on Track in three NSW Police Force Local Area Commands (Mid North Coast, Newcastle City and Blacktown) for 18 months.
- 2.3 The Bureau of Crime Statistics and Research (BOCSAR) will formally evaluate the effectiveness of Youth on Track. If proven successful, Youth on Track will be implemented in other areas of NSW.

3. Process

- 3.1 NSW Police and DEC regularly come into contact with young people who are at risk of offending. Under the Youth on Track program, NSW Police and Department of Attorney General and Justice (DAGJ) agree to use evidence based screening tools to identify suitable potential participants for referral into the program. A Non–

Government Organisation (NGO) will provide case management to referred potential participants, under contract with DAGJ for this purpose.

- 3.2 Young people who will be assessed for this program are of 10 to 17 years of age.
- 3.3 The Youth on Track Program uses a six step process, and will undergo formal evaluation by BOCSAR.
- 3.4 The Program involves the collection, use and disclosure/exchange of personal information about a potential participant, his or her family and social environment based on known risk factors and protective factors that can be used to predict the risk that a young person will offend or re-offend. The risk factors are inter-related and cumulative.
- 3.5 The Youth on Track process is outlined below.

Identification and Referral.

- 3.6 Identification may be by Police or DEC.

Identification by Police

- 3.7 Police identify young people at risk of offending by two screening methods, and refer suitable potential participants to DAGJ. The first screening process uses personal information about the young person¹ held on the COPS database to conduct GRAM screening. The second screening process is discretionary referral by Police Youth Liaison Officers based on information about other known risk factors.²
- 3.8 The Youth on Track Unit are provided with personal information in paragraph [3.7], including the contact details, address and known aliases of the young person and his or her parents/guardian and safety warnings in relation to the young person and/or their home environment.³

Identification by DEC

- 3.9 DEC identifies young people at risk of re-offending through its knowledge of student's known risk factors, and emails the Police Youth Liaison Officer ("YLO"), School Liaison Police Officer ("SLP") and Youth on Track Screening Officer with the name, date of birth, and address of a student which it believes may be eligible for the program.

¹ Name, age, gender, prior cautions, prior charges, type of contact.

² Disclosure / collection of this personal information is authorised and/or reasonably contemplated by s. 66(2)(g) of the YO Act and can also be authorised under Chap. 16A of the CYPCP Act (s. 25, PPIP Act).

³ Collection from Police and use by the Youth on Track Unit of records of, or relating to, warnings, cautions and conferences under the YO Act is authorised and/or reasonably contemplated (s. 25, PPIP Act) by s. 66(2)(g) of the YO Act. Additionally, some collection and use can be authorised under Chap. 16A of the CYPCP Act. To the extent that these provisions do not apply, this Direction modifies the application of the IPPs to enable the collection and use to occur.

- 3.10 Police and/or YoT Screening Officer identifies whether the young person meets the eligibility criteria⁴ by using information held on the COPS database and the Client Information Management System (CIMS), and informs DEC whether the young person is eligible for the program. If the young person is not eligible, DEC records that an eligibility request was made and the young person was not eligible.
- 3.11 If the young person is eligible, DEC then completes the referral form including information about known risk factors and safety warnings in relation to the young person and/or their home environment, which is submitted to the Youth on Track Unit. If police identifies safety warnings in relation to the young person and/or their home environment while conducting the eligibility search they will provide this information directly to the Youth on Track Unit.

Screening

- 3.12 The Youth on Track Unit conducts further analysis of the suitability of potential participants against acceptance thresholds using GRAM screening and consideration of other known risk factors.
- 3.13 At this stage young people below the threshold are screened out, and the referral source (Police or DEC) is advised. The referral source is provided with a general explanation to why the young person was not suitable. This information is used to improve the referrer's future assessment as to whether possible candidates for the Youth on Track program are likely to be accepted for referral and to maintain a collaborative relationship.
- 3.14 For those young people who meet the threshold, information about existing case management being provided by Category B agencies is sought by the Youth on Track Unit.

Assessment

- 3.15 The DAGJ Youth on Track Unit refers the young person to the contracted NGO, providing personal information accumulated through the earlier stages. Where already case managed by a Category B agency, the NGO contact the existing case manager and negotiates support to be provided by the Youth on Track program to the young person.

For the provision of any support by the Youth on Track program to the Young person, the contracted NGO must obtain the consent of both:

- (a) The existing case manager and
 - (b) The young person and their parents/guardians
- in that order.

If either the case manager or young person does not provide consent, the involvement of the young person with the Youth on Track program will end.

⁴ Young person has had at least one, and no more than three, cautions, conferences and/or charges and they have not previously been under the supervision of Juvenile Justice.

- 3.16 In all other cases, the NGO contacts the young person and parents/guardian to inform them that the young person has been referred to Youth on Track and seeks consent for the young person to participate in the program. The initial consent to participate in Youth on Track includes consent to personal information being used after exit or disengagement from Youth on Track. Records of consent are kept by the NGO and reported to the Youth on Track Unit.
- 3.17 All other steps in Youth on Track are conditional on the young person and their parents/guardians consenting. Without consent, the involvement of the young person in Youth on Track will end and they will not be further involved unless consent is given.
- 3.18 If consent is not given by the young person and their parents/guardians, or the young person disengages from Youth on Track at any time, the NGO reports this to the Youth on Track Unit and any Category B or C agency that has been involved in the provision of services to the young person during their involvement with the Youth on Track program. The DAGJ Youth on Track Unit reports back to Police and/or DEC the refusal of consent and monitors the COPS database for any further offending by the young person⁵.
- 3.19 If consent is given by the young person and their parents/guardian, the NGO Case Manager assesses the young person's risk and protective factors. This involves collection and use by the NGO of personal information from multiple sources that the young person and their parents/guardians have consented to the NGO collecting their personal information from, the use to which that personal information will be put, and the disclosure of that personal information to other parties. The personal information collected mainly relates to the young person, but may include personal information about family, peers and other third parties.
- 3.20 Personal information in paragraph [3.19] relating to third parties will only be collected by the NGO from a public sector agency if the third party consents to the collection, use and disclosure of that personal information by the NGO.
- 3.21 The DAGJ Youth on Track Unit reports back to Police with an update about the young person's progress through the program.⁶

Case Management

- 3.22 The NGO identifies key areas of need, relevant services and suggested level of service provision for the young person, and works with the young person and their

⁵ Collection of records of, or relating to, warnings, cautions and conferences under the YO Act is authorised and/or reasonably contemplated by s. 66(2)(g) of the YO Act (s. 25, PPIP Act). To the extent that s. 66(2)(g) of the YO Act does not apply, this Direction modifies the application of the IPPs to enable such collection of the personal information specified to occur.

⁶ In cases where the young person and his or her parents/guardian have consented to participate in Youth on Track, this disclosure occurs with informed consent. In most other cases, this disclosure can be authorised under Chap. 16A of the CYPCP Act. To the extent that Chap. 16A does not apply, this Direction modifies the application of the IPPs to enable this disclosure of personal information about the young person's progress through youth on track to occur.

parents/guardians to develop a Case Plan. The NGO may also use the information to provide services directly to the young person and/or parents/guardian.

- 3.23 The NGO reports back to the Youth on Track Unit about the young person's progress.⁷ This enables the Youth on Track Unit to support and monitor the provision of Youth on Track services.

Intervention

- 3.24 Services are delivered by the NGO directly or by other government and non-government service providers (OSPs) brokered by the NGO Case Manager. Brokering of services requires disclosure by the NGO of personal information to OSPs that is necessary for the OSP to provide the service in the particular case and limited collection by the NGO of personal information from the OSP about the young person's progress.
- 3.25 The NGO prepares a quarterly Review/Progress Report and a copy is provided to the Youth on Track Unit. The Youth on Track Unit updates Police.

Exit

- 3.26 The NGO will determine if a young person moves from one stage of case management to the next and when a case may be closed and a young person exited from the program.
- 3.27 The NGO monitors implementation of the Exit Plan and prepares an Exit Report. The Plan and Report are provided to the Youth on Track Unit.

Evaluation

- 3.28 Youth on Track participants and their parents/guardian will be asked to complete a participant feedback form which they can choose not to complete. Youth on Track records and case files will be used by BOCSAR to evaluate the effectiveness of the Youth on Track program. Additionally, BOCSAR may interview Youth on Track participants and parents/guardians.

End of Youth on Track Trial Period

- 3.29 At the conclusion of the trial of the Youth on Track program, all personal information collected by the NGO during the Youth on Track program about participants must be returned to DAGJ to be dealt with by DAGJ under section 12 of the PPIP Act and any other relevant legal obligations DAGJ has in respect of this personal information when returned. This Direction does not modify the application of IPP12 to the participating agencies.

⁷ The personal information provided is limited to the young person's assessment score, interventions accessed, status of completion/non-completion of case plan goals. The information does not include any case notes or personal information discussed with NGO Case Manager.

4. Public Interest

- 4.1 This Direction has been made to permit the collection, use and disclosure of personal information by participating agencies for the purposes of Youth on Track.
- 4.2 I am satisfied that the public interest in making this Direction is greater than the public interest in requiring the participating agencies to comply with the information protection principles contained in Pt. 2, Div. 1 of the PPIP Act.
- 4.3 A corresponding direction applies in respect of health information under the HRIP Act.

5. Duration

- 5.1 This Direction has effect from the date of this direction until 31 December 2014.

6. Previous Directions

- 6.1 This Direction replaces all previous directions under the PPIP Act made in relation to Youth on Track from the date of this direction.

7. Modification of Information Protection Principles

- 7.1 The application of the information protection principles under Division 1, Part 2 of the PPIP Act to the participating agencies is modified to the extent described below.

Category A agencies

- 7.2 **IPP 8:** For the purposes of s. 8(1) of the PPIP Act, the collection by a Category A agency of personal information described in paragraphs [3.6] to [3.27] of this Direction is taken to be for a lawful purpose that is related to a function or activity of that agency if the collection of that personal information is:
 - (a) for the purposes of Youth on Track;
 - (b) necessary for those purposes; and
 - (c) made subject to the limitation in paragraph [3.20] of this Direction.
- 7.3 **IPP 9:** Notwithstanding s. 9 of the PPIP Act, a Category A agency:
 - (a) may collect personal information about a young person and his or her parents/guardian described in paragraphs [3.8], [3.10]-[3.11], [3.13]-[3.15], and [3.18] of this Direction; and
 - (b) may collect personal information described in paragraphs [3.18] and [3.24]-[3.27] of this Direction about any third person where that personal information is necessary for the participation by or provision of services to a particular young person in Youth on Track, subject to the limitation in paragraph [3.20] of this Direction;

but s. 9 otherwise applies to Category A agencies.

7.4 **IPP 10:** Notwithstanding s. 10 of the PPIP Act, a Category A agency:

- (a) is taken to have complied with s. 10 of the PPIP Act in respect of the collection of personal information described in paragraphs [3.8] to [3.11] and [3.13]-[3.15] of this Direction when the NGO, as described in paragraph [3.16] of this Direction, informs the young person and his or her parents/guardian that the young person has been referred to Youth on Track; and
- (b) need not comply with s. 10 of the PPIP Act where a third person's personal information that is necessary for the participation by or provision of services to a particular young person in Youth on Track is being collected as described in paragraphs [3.18] and [3.24-3.27], subject to the limitation in paragraph [3.20] of this Direction,

but s. 10 otherwise applies to Category A agencies.

7.5 **IPP 16:** Notwithstanding s. 16 of the PPIP Act:

- (a) the personal information used by the Category A agency in relation to the young person and his or her parents/guardian is taken to be relevant, accurate, up to date, complete and not misleading having regard to the purposes for which it is to be used described in paragraphs [3.12] to [3.15] and [3.24] of this Direction; and
- (b) in respect of the use of a third person's personal information described in paragraphs [3.6] to [3.27] of this Direction that is necessary for the participation by or provision of services to a particular young person in Youth on Track, the taking of "such steps as are reasonable in the circumstances" does not require the Category A agency to consult with or make inquiries of the third person except as required by paragraph [3.20] of this Direction;

but s. 16 otherwise applies to Category A agencies.

7.6 **IPP 17:** For the purposes of s. 17 of the PPIP Act,

- (a) use of personal information about the young person or his or her parents/guardian by a Category A agency as described in paragraphs [3.9]-[3.21] of this Direction is taken to be used for the purpose for which it was collected; and
- (b) use of a third person's personal information described in paragraphs [3.6] to [3.27] of this Direction that is necessary for the participation by or provision of services to a particular young person in Youth on Track is taken to be used for the purpose for which it was collected;

but s. 17 otherwise applies to Category A agencies.

7.7 **IPP 18:** For the purposes of s. 18 of the PPIP Act:

- (a) disclosure of personal information described in paragraphs [3.6] to [3.27] of this Direction about the young person or his or her parents/guardian by a Category A agency:
- to Police as described in paragraphs [3.9],[3.18], [3.21], and [3.25] of this Direction;
 - to DEC as described in paragraphs [3.13] and [3.18] of this Direction;
 - to a Category B agency as described in paragraphs [3.14], [3.15] and [3.18] of this Direction; or
 - to a Category C agency or individual as described in paragraph [3.18] of this Direction; and
- (b) disclosure of a third person’s personal information described in paragraphs [3.6-3.27] of this Direction that is necessary for the participation by or provision of services to a particular young person in Youth on Track by a Category A agency:
- to a Category C agency or OSP as described in paragraphs [3.24] to [3.25] of this Direction; or
 - to Police as described in paragraphs [3.13], [3.18], [3.21], and [3.25] of this Direction–

is taken to be a disclosure that is directly related to the purpose for which the personal information was collected and is taken to have been made in circumstances where the agency disclosing the personal information has no reason to believe that the individual concerned would object to the disclosure unless consent has not been obtained as required by paragraph [3.20] of this Direction;

but s. 18 otherwise applies to Category A agencies.

7.8 **IPP 19:** A Category A agency need not comply with s. 19 of the PPIP Act where the Category A agency is satisfied that it is necessary, for the purposes of providing Youth on Track services to the young person, to disclose:

- (a) Personal information of a third party to which s.19 of the PPIP Act applies
- (i) to a Category C agency or OSP as described in paragraphs [3.24] to [3.25] of this Direction; or
 - (ii) to Police as described in paragraphs [3.13], [3.18], [3.21], and [3.25]of this Direction;
- (b) Personal information of the young person to which s.19 of the PPIP Act applies to Police as described in paragraphs [3.13], [3.18], [3.21], and [3.25] of this Direction;

but s. 19 otherwise applies to Category A agencies.

Category B agencies

- 7.9 **IPP 8:** Notwithstanding s. 8(1) of the PPIP Act, the collection by a Category B agency of personal information described in paragraphs [3.8] to [3.15] of this Direction is taken to be for a lawful purpose that is related to a function or activity of that agency if the collection of that personal information is:
- (a) for the purposes of Youth on Track;
 - (b) necessary for those purposes; and
 - (c) made subject to the limitation in paragraph [3.20] of this Direction..
- 7.10 **IPP 9:** Notwithstanding s. 9 of the PPIP Act, a Category B agency may collect personal information described in paragraphs [3.14] and/or [3.15] of this Direction about a young person and his or her parents/guardian , but s. 9 otherwise applies to Category B agencies.
- 7.11 **IPP 10:** Notwithstanding s. 10 of the PPIP Act, a Category B agency need not comply with s. 10 of the PPIP Act when collecting a third person's personal information as described in paragraphs [3.18],[3.24] to [3.27] of this Direction that is necessary for the participation by or provision of services to a particular young person in Youth on Track subject to the limitation in paragraph [3.20] of this Direction, but s. 10 otherwise applies to Category B agencies.
- 7.12 **IPP 16:** Notwithstanding s. 16 of the PPIP Act, the use of personal information contained in paragraphs [3.14] and [3.15] of this Direction, by the Category B agency in relation to the young person and his or her parents/guardian is taken to be relevant, accurate, up to date, complete and not misleading having regard to the purposes for which it is to be used, but s. 16 otherwise applies to Category B agencies.
- 7.13 **IPP 17:** For the purposes of s. 17 of the PPIP Act, use of personal information described in paragraphs [3.14] and [3.15] of this Direction by a Category B agency is taken to be used for the purpose for which it was collected, but s. 17 otherwise applies to Category B agencies.
- 7.14 **IPP 18:** For the purposes of s. 18 of the PPIP Act, disclosure of personal information by a Category B agency to a Category A agency as described in paragraphs [3.14] and [3.15] of this Direction is taken to be a disclosure that is directly related to the purpose for which the information was collected and is taken to have been made in circumstances where the agency disclosing the personal information has no reason to believe that the individual concerned would object to the disclosure unless consent has not been obtained as required by paragraph [3.20] of this Direction, but s. 18 otherwise applies to Category B agencies.
- 7.15 **IPP 19:** A Category B agency need not comply with s. 19 of the PPIP Act where the Category B agency is satisfied that it is necessary, for the purposes of providing Youth on Track services to the young person, to disclose personal information to which section 19 of the PPIP Act applies about the young person or his or her

parents/guardian to a Category A agency as described in paragraphs [3.14] and [3.15] of this Direction, but s. 19 otherwise applies to Category B agencies.

Category C agencies

7.16 **IPP 8:** Notwithstanding s. 8(1) of the PPIP Act, the collection by a Category C agency of personal information described in paragraphs [3.15] to [3.27] of this Direction is taken to be for a lawful purpose that is related to a function or activity of that agency if the collection of that personal information is:

- (a) for the purposes of Youth on Track;
- (b) necessary for those purposes; and
- (c) made subject to the limitation in paragraph [3.20] of this Direction.

7.17 **IPP 9:** Notwithstanding s. 9 of the PPIP Act, a Category C agency may collect personal information described in paragraphs [3.18] and/or [3.24] to [3.27], subject to the limitation in paragraph [3.20] of this Direction about:

- (a) a young person and his or her parents/guardian; and/or
- (b) any third person that is necessary for the participation by or provision of services to a particular young person in Youth on Track;

but s. 9 otherwise applies to Category C agencies.

7.18 **IPP 10:** Notwithstanding s. 10 of the PPIP Act, a Category C agency need not comply with s. 10 of the PPIP Act where a third person's personal information described in paragraphs [3.6] to [3.27] of this Direction that is necessary for the participation by or provision of services to a particular young person in Youth on Track is being collected as described in paragraphs [3.18] and/or [3.6] to [3.27], subject to the limitation in paragraph [3.20] of this Direction, but s. 10 otherwise applies to Category C agencies.

7.19 **IPP 16:** Notwithstanding s. 16 of the PPIP Act, in respect of the use in accordance with paragraphs [3.24] to [3.27] of this Direction of a third person's personal information that is necessary for the participation by or provision of services to a particular young person in Youth on Track, the taking of "such steps as are reasonable in the circumstances" does not require the Category C agency to consult with or make inquiries of the third person, but s. 16 otherwise applies to Category C agencies.

7.20 **IPP 17:** For the purposes of s. 17 of the PPIP Act, the use in accordance with paragraphs [3.24] to [3.27] of this Direction of a third person's personal information that is necessary for the participation by or provision of services to a particular young person in Youth on Track is taken to be used for the purpose for which it was collected, but s. 17 otherwise applies to Category C agencies.

7.21 **IPP 18:** For the purposes of s. 18 of the PPIP Act, disclosure of personal information by a Category C agency to a Category A agency as described in paragraphs [3.18]

and/or [3.24] to [3.27] is taken to be a disclosure that is directly related to the purpose for which the personal information was collected and is taken to have been made in circumstances where the agency disclosing the personal information has no reason to believe that the individual concerned would object to the disclosure subject to the limitation in paragraph [3.20] of this Direction, but s. 18 otherwise applies to Category C agencies.

- 7.22 **IPP 19:** A Category C agency need not comply with s. 19 of the PPIP Act where the Category C agency is satisfied that it is necessary, for the purposes of providing Youth on Track services to the young person, to disclose a third person's personal information to a Category A agency as described in paragraphs [3.18] and/or [3.24-3.27], subject to the limitation in paragraph [3.20] of this Direction, but s. 19 otherwise applies to Category C agencies.

Signed by me on **28 February 2014**.

Dr Elizabeth Coombs
NSW Privacy Commissioner

SCHEDULE 1 – PARTICIPATING AGENCIES

Category A – DAGJ agencies and referring agencies

NGO
Youth on Track Unit
Department of Education and Communities

Category B – Agencies that may already be providing case management to the young person

Community Services
Ageing Disability and Home Care

Category C – Agencies in respect of which the young person and/or parents/guardian may consent to share personal information for the purposes of Youth on Track

Ageing, Disability and Home Care
Births Deaths and Marriages
Bureau of Crime Statistics and Research (BOCSAR)
Community Services
Department of Education & Communities (School and TAFE)
NSW Health including Justice Health
NSW Housing
Juvenile Justice
Legal Aid and/or Aboriginal Legal Services
State Debt Recovery Office

and

Such of the following organisations or individuals as may be specified on the consent form signed by the young person in the particular case:

Counsellor
Drug and alcohol services
Medical practitioner
Non-government agencies
Treatment facilities
Youth Accommodation Services (refuges)

Any named individual(s)

SCHEDULE 2 – ASSESSMENT TOOLS

Youth on Track Group Risk Assessment Model (GRAM) screening tool

The Youth on Track Group Risk Assessment Model (GRAM) screening tool is an actuarial tool developed by BOCSAR to determine the risk of reoffending of individuals. The GRAM uses offender characteristics which are available to NSW Police at the time of a young person's contact with the Police and which are significantly related to an offender's likelihood of reoffending. Specifically these characteristics are:

- Gender
- Type of contact
- Age
- Prior cautions
- Prior charges

GRAM screening will be conducted by a screening officer on the COPS database to identify young people at significant risk of reoffending in each Youth on Track location.

Youth Level of Service Case Management Inventory (YLS/CMI)

The YLS/CMI is a validated tool to assist professionals to: identify a young offender's major needs, strengths, barriers and incentives; select the most appropriate goals for him or her; and produce an effective case management plan.

The YLS/CMI is composed of seven sections:

- Part I: Assessment of risks and needs
- Part II: Summary of risk/need factors
- Part II: Assessment of other needs / special considerations
- Part IV: Your assessment of the client's general risk /need level
- Part V: Contact level
- Part VI: Case management plan
- Part VII: Case management review

The seven parts of this instrument provide a guide for three imperative principles of effective case management:

1. **Risk:** Level of intervention required (based on overall risk/need rating);
2. **Need:** Areas of need that require intervention (based on YLS/CMI domains); and
3. **Responsivity:** Factors that may influence how interventions are delivered (based on other needs and special considerations).