Evaluation of North Carolina’s Title IV-E Waiver Demonstration

Design, Implementation, and Approaches to Analysis

Lynn Usher, Principal Investigator

Data collected in the evaluation are used to illustrate various approaches to analysis and how results will be reported. The particular results are not presented as findings of the evaluation.
Introduction

- Federal waiver program
- The waiver as an extension of the reform effort in North Carolina
- Special features of the evaluation:
  - Theory of change approach
  - Self-evaluation strategy
  - Unique data resources
Title IV-E Waiver Demonstrations

- **Improve results** for children and families such as better assuring the safety and protection of children, enhancing and enriching child development, providing permanency for children, strengthening family functioning and averting family crises, providing **early intervention** to avoid out-of-home placement, reducing the time that children are separated from their families, **speeding the process** by which children who cannot return home are freed for adoption and adopted, or preparing young people in foster care for **independent living**;

- **Innovate and develop creative, alternative approaches** to child welfare service delivery that, when confirmed by **rigorous evaluation**, can be employed by other States and Federal policymakers to improve outcomes for children, youth and families or increase efficiency or both;

- Develop new information and experience on which to base **legislative changes**.

- **Develop family-focused, strengths-based, community-based service delivery networks** that enhance the child-rearing abilities of families, to enable them to remain safely together in their homes whenever possible, or to move children quickly to permanency when that is not possible.

Underlying theory of change in NC

• Ability to use funds for preventive and post-reunification services will help:
  – Reduce entries to out-of-home care while maintaining safety
  – Shorten lengths of stay
  – Prevent re-entries to out-of-home care
  – Prevent re-abuse

• Change in fiscal policy is complement to explicit change in values associated with broader child welfare reform effort—"getting the incentives right" and moving beyond current bias toward out-of-home care
Our Vision

Community-Based Support for All Families ... promotes a family's ability to cope with difficult situations and resolve family problems.

One Coordinated Assessment Process ... involves the family in a comprehensive evaluation of their strengths and needs.

One Caseworker or Casework Team ... ensures that everyone is working together toward a permanent plan for the child.

One Single, Stable Foster Care Placement Within the Child's Own Community ... provides temporary stability until a lifelong home for the child is achieved.

A Safe and Permanent Home Within One Year ... for all children for whom a County Department of Social Services has legal custody or placement responsibility.

Our Values

Children's Services is committed to the development, implementation, and evaluation of outcome-based model of service to children and families which values:

• each child's need for safety, love, care, and the stability of a permanent family the strengths and diversity of families and kinship networks
• the responsibility of parents, families, and kinship networks to make decisions about their children and to care for their children
• the responsibility of families and service providers to work together to meet children's needs
• the responsibility of service providers to be proactive and discerning in ensuring positive outcomes for each child served
• the enrichment of communities that occurs from a diversity of knowledge and experience
• collaboration among professionals, paraprofessionals, community members, the family and its support systems to ensure that decisions are in the best interests of the child, family and community.
Specific interventions

- Assisted guardianship
  - Children in safe and committed kinship care
  - Financial assistance beyond TANF, but less than foster care board rate
- Flexible funds to meet individual needs
- Services to children not in out-of-home care (and their families) or to children not eligible under Title IV-E criteria
Encourage self-evaluation by counties

- Feedback of information to both demonstration and comparison counties about baseline performance and changes in performance throughout the demonstration
- Premise is to achieve stronger interventions, reinforcing efforts that seem to yield desired results and moving away from efforts that do not appear to pay off
- Evaluation seeks to create flows of information rather than simply to produce an *post-hoc* report
Experiences Report

#### North Carolina Level 3 Counties

<table>
<thead>
<tr>
<th>SFY</th>
<th>Own Home</th>
<th>Relative</th>
<th>Foster Home</th>
<th>Shelter</th>
<th>Other</th>
<th>Total</th>
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<tr>
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<td>6%</td>
<td>13%</td>
<td>41%</td>
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<td>SFY96</td>
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<td>4%</td>
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<td>42%</td>
<td>3%</td>
<td>38%</td>
<td>100%</td>
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#### Sample County

<table>
<thead>
<tr>
<th>SFY</th>
<th>Own Home</th>
<th>Relative</th>
<th>Foster Home</th>
<th>Shelter</th>
<th>Other</th>
<th>Total</th>
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<td>40%</td>
<td>6%</td>
<td>38%</td>
<td>100%</td>
</tr>
<tr>
<td>SFY95</td>
<td>9%</td>
<td>14%</td>
<td>43%</td>
<td>3%</td>
<td>36%</td>
<td>100%</td>
</tr>
<tr>
<td>SFY96</td>
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<td>3%</td>
<td>37%</td>
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<tr>
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<td>9%</td>
<td>15%</td>
<td>43%</td>
<td>3%</td>
<td>37%</td>
<td>100%</td>
</tr>
</tbody>
</table>

### Pattern of Initial Placements

#### Number of children

- **SFY93**: 4787
- **SFY94**: 5264
- **SFY95**: 5217
- **SFY96**: 5135
- **SFY97**: 5219

### Length of Time in Custody/Placement Authority

#### Median Number of Days

<table>
<thead>
<tr>
<th>SFY</th>
<th>Remaining in custody/PA after 3 months</th>
<th>Remaining in custody/PA after 6 months</th>
<th>Remaining in custody/PA after 12 months</th>
<th>Remaining in custody/PA after 18 months</th>
<th>Remaining in custody/PA after 24 months</th>
<th>Remaining in custody/PA after 36 months</th>
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<td>SFY93</td>
<td>85%</td>
<td>78%</td>
<td>64%</td>
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<td>83%</td>
<td>79%</td>
<td>81%</td>
<td>83%</td>
<td>50%</td>
<td>95%</td>
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### Length of Time in Licensed Care

#### Median Number of Days

<table>
<thead>
<tr>
<th>SFY</th>
<th>In licensed care for 3 months</th>
<th>In licensed care for 6 months</th>
<th>In licensed care for 12 months</th>
<th>In licensed care for 18 months</th>
<th>In licensed care for 24 months</th>
<th>In licensed care for 36 months</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFY93</td>
<td>67%</td>
<td>56%</td>
<td>42%</td>
<td>34%</td>
<td>27%</td>
<td>14%</td>
</tr>
<tr>
<td>SFY94</td>
<td>70%</td>
<td>58%</td>
<td>45%</td>
<td>35%</td>
<td>24%</td>
<td>17%</td>
</tr>
<tr>
<td>SFY95</td>
<td>68%</td>
<td>56%</td>
<td>42%</td>
<td>32%</td>
<td>26%</td>
<td>17%</td>
</tr>
<tr>
<td>SFY96</td>
<td>68%</td>
<td>55%</td>
<td>42%</td>
<td>30%</td>
<td>20%</td>
<td>12%</td>
</tr>
<tr>
<td>SFY97</td>
<td>68%</td>
<td>55%</td>
<td>42%</td>
<td>28%</td>
<td>21%</td>
<td>11%</td>
</tr>
</tbody>
</table>

### Disruptions in care

#### % remaining in own home only

- **SFY93**: 2%
- **SFY94**: 7%
- **SFY95**: 11%
- **SFY96**: 10%
- **SFY97**: 15%

#### % remaining with relative only

- **SFY93**: 3%
- **SFY94**: 8%
- **SFY95**: 9%
- **SFY96**: 10%
- **SFY97**: 9%

#### % in other/non facility arrangements only

- **SFY93**: 3%
- **SFY94**: 8%
- **SFY95**: 10%
- **SFY96**: 10%
- **SFY97**: 7%

#### % with only one licensed facility

- **SFY93**: 37%
- **SFY94**: 40%
- **SFY95**: 40%
- **SFY96**: 37%
- **SFY97**: 35%

#### % with two licensed facilities

- **SFY93**: 17%
- **SFY94**: 17%
- **SFY95**: 16%
- **SFY96**: 17%
- **SFY97**: 15%

#### % with three licensed facilities

- **SFY93**: 10%
- **SFY94**: 9%
- **SFY95**: 8%
- **SFY96**: 9%
- **SFY97**: 7%

#### % with four or more licensed facilities

- **SFY93**: 15%
- **SFY94**: 15%
- **SFY95**: 13%
- **SFY96**: 12%
- **SFY97**: 10%

### Rates of Re-entry

#### % children who re-entered care

- **SFY93**: 11%
- **SFY94**: 8%
- **SFY95**: 8%
- **SFY96**: 7%
- **SFY97**: 6%

This report tracks the experiences of children each fiscal year who entered DSS custody/placement authority for the first time in their lives. **NA** = data not available due to insufficient follow-up time.

**Note**: Percentage totals may be slightly greater than or less than 100% due to rounding.
Key Indicators Report
PROTECTING CHILD VICTIMS OF ABUSE AND NEGLECT

OF THE CHILDREN SUBSTANTIATED AS VICTIMS OF ABUSE OR NEGLECT FOR THE FIRST TIME DURING PREVIOUS STATE FISCAL YEARS WHOSE INITIAL CHILD PROTECTIVE SERVICES HAVE BEEN TERMINATED, NUMBER AND PERCENTAGE WITHOUT SUBSEQUENT SUBSTANTIATION.

A. NO REPEATED SUBSTANTIATION AFTER CHILD PROTECTIVE SERVICES TERMINATED FOLLOWING INITIAL SUBSTANTIATION IN SFY 1996-1997

B. NO REPEATED SUBSTANTIATION AFTER CHILD PROTECTIVE SERVICES TERMINATED FOLLOWING INITIAL SUBSTANTIATION IN SFY 1997-1998

ACHIEVING PERMANENCE FOR CHILDREN AWAITING ADOPTION

A. OF THE CHILDREN FOR WHOM A PLAN OF ADOPTION BECAME EFFECTIVE DURING PREVIOUS STATE FISCAL YEARS, NUMBER AND PERCENTAGE WHO HAVE BECOME LEGALLY FREE.

1. LEGALLY FREE AFTER PLAN OF ADOPTION BECAME EFFECTIVE IN SFY 1996-1997

2. LEGALLY FREE AFTER PLAN OF ADOPTION BECAME EFFECTIVE IN SFY 1997-1998

B. OF THE CHILDREN FOR WHOM A PLAN OF ADOPTION BECAME EFFECTIVE DURING PREVIOUS STATE FISCAL YEARS, NUMBER AND PERCENTAGE FOR WHOM AN ADOPTION HAS BEEN FINALIZED.

1. ADOPTION FINALIZED AFTER PLAN OF ADOPTION BECAME EFFECTIVE IN SFY 1996-1997

2. ADOPTION FINALIZED AFTER PLAN OF ADOPTION BECAME EFFECTIVE IN SFY 1997-1998

CASELOAD DYNAMICS

A. NUMBER OF CHILDREN FOR WHOM AN ADOPTION WAS FINALIZED DURING THE REPORT MONTH.

B. NUMBER OF NEW CHILDREN ENTERING CUSTODY OR PLACEMENT RESPONSIBILITY DURING THE REPORT MONTH.

C. NUMBER OF CHILDREN RE-ENTERING CUSTODY OR PLACEMENT RESPONSIBILITY DURING THE REPORT MONTH.

D. NUMBER OF CHILDREN LEAVING CUSTODY OR PLACEMENT RESPONSIBILITY DURING THE REPORT MONTH.

E. NUMBER OF CHILDREN IN CUSTODY OR PLACEMENT RESPONSIBILITY ON LAST DAY OF THE REPORT MONTH.

NOTE: DUE TO MOVEMENT OF FAMILIES & CHILDREN ACROSS COUNTY LINES, DUPLICATION MAY EXIST IN DATA FOR INDIVIDUAL AND COMPARISON COUNTIES. THERE SHOULD BE NO DUPLICATION IN STATEWIDE DATA DUE TO SUCH MOVEMENT.
Measuring Effects of the IV-E Waiver on Outcomes for Children in North Carolina

Judith Wildfire
Task Leader for Outcome Evaluation

Eleanor Locklin

John Painter
Overview

- Evaluation strategy
- Data
- Outcome analytic strategies
- Challenges
- Next steps
The IV-E waiver evaluation uses multiple methodologies to track outcome changes

- Quasi-experimental design with 19 comparison counties matched to waiver counties
  - Criteria for matching: expenditures, outcomes status, ‘volunteer-like’ status of county

- Basic evaluation design is also supplemented with multivariate analyses of all 100 NC counties
Multiple Sources of Data

- **Individual child-level**
  - Administrative data files linked together
    - Child abuse and neglect registry data
    - Placement data
    - Cost data

- **County-level**
  - Contextual data (economic, demographic, and child well-being)
  - Child welfare agency data
  - Outcomes
Child-level abuse and neglect data are configured as cohorts of children initially substantiated as victims of abuse or neglect (by state fiscal year)

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Number</th>
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<td>SFY93</td>
<td>19,427</td>
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<td>SFY94</td>
<td>19,238</td>
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<tr>
<td>SFY95</td>
<td>20,267</td>
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<tr>
<td>SFY96</td>
<td>20,292</td>
</tr>
<tr>
<td>SFY97</td>
<td>21,107</td>
</tr>
<tr>
<td>SFY98</td>
<td>22,685</td>
</tr>
</tbody>
</table>
Child-level placement data are configured as initial entry cohorts (by state fiscal year)

- SFY93: 4,778
- SFY94: 5,267
- SFY95: 5,236
- SFY96: 5,153
- SFY97: 5,267
- SFY98: 5,275
- SFY99: 5,193
Measuring Outcomes
Reduce the number of children who must enter placement authority (PA)

- County-level: total number of children who initially enter PA during state fiscal year
- Individual child-level: probability of entering PA
Reduce the number of children entering placement authority

Number of Children Initially Entering PA by SFY

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Reduce the number of children entering placement authority

Children Initially Entering PA by SFY

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Reduce the number of children entering PA: Multilevel Modeling Strategy

- Dependent variable: Rate of Initial Entries per 1,000 Children 0-17 (based on 1995 populations)
- Fixed estimates: Waiver, size of county, SFY, Interaction terms
- Random term: Client county
Changes in Rate of Entry over Time by County Size and Waiver Status

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Probability of children entering PA in baseline year

- Time between Abuse/Neglect Report and PA
- Children with First Substantiation in SFY95

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Probability of children entering PA

Time between Abuse/Neglect Report and PA

Children with First Substantiation, SFY98

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Measuring Outcomes
Reduce the length of time that children remain in placement authority

- Median number of days that children remain in placement authority
- Probability of remaining in placement authority at varying time points (e.g. 1 year; 15 months, 18 months, 3 years)
Reduce the length of time in PA for children who must enter out-of-home care

Length of Time in Placement Authority
by County Waiver Status, 1995

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Reduce the length of time in PA for children who must enter out-of-home care

Length of Time in Placement Authority
by County Waiver Status, 1997

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Relative Risk of exiting PA by year and county size: Waiver to Comparison counties

<table>
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<tr>
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<tbody>
<tr>
<td>Small</td>
<td>0.85</td>
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<td>0.57</td>
</tr>
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<td>Medium</td>
<td>1.14</td>
<td>1.28</td>
<td>1.10</td>
<td>1.01</td>
</tr>
<tr>
<td>Large</td>
<td>1.18</td>
<td>1.09</td>
<td>1.15</td>
<td>0.95</td>
</tr>
</tbody>
</table>

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Changes in one outcome can significantly affect other outcomes

Initial entries into PA and Median Length of Stay
Level 3 Waiver Counties

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Measuring Outcomes
Reduce the number of children with multiple placement authority spells

- Probability of re-abuse following completion of PA (or other services)
- Proportion of children with more than one spell
- Probability of reentering placement authority within 6 months or 1 year of completing an earlier placement authority spell
Demands of the supplemented evaluation design are significant

- Clear definition of ‘the waiver’ in the 19 waiver counties required an expansion of the process evaluation
- Collect contextual data on all 100 counties
- Develop analytic methodology that controls for confounding by other child welfare reform initiatives and intra-county correlation
Next steps

• Link cost data and process data to outcome data and use it to better define IV-E waiver ‘intervention’ among waiver counties

• Continue to supplement county contextual data and try to identify potential confounders

• Multivariate modeling combining individual-level and county-level data to control for contextual confounders

• Multi-level modeling to better estimate variances with both individual and county level outcomes

• Develop ways to share our evaluation results with state and county
Process Evaluation

Andrea Meier
Task Leader
Process Evaluation Overview

- Data collection
- Analytic approaches
- Preliminary findings
- Research implementation issues
Process Evaluation Objectives

How are contextual factors affecting the implementation of the Waiver?

– Agency contexts
– Community collaboration
– TANF policy changes and experience
– Natural disasters
Data for the process evaluation

• Generic county-level data
  – NC-DSS biennial reviews
    • CPS, foster care, and adoption case reviews
    • Description of services
    • Compliance with supervisor/worker ratios and caseload standards
    • Interpretation of children’s experiences in out-of-home care
  – Contextual data
    • Economic, demographic, and child well-being indicators
Data for the process evaluation

• Experience with Families for Kids (FFK) and other child welfare initiatives

• Demonstration-specific data
  – County plans and plan amendments
  – Quarterly reports
  – Field notes from meetings and other contacts
Data for the process evaluation

- Nurturing agency self-evaluation capacity
  - Statewide monthly meetings
  - Site visits
    - Agency organizational structure & process
    - Waiver-related activities
    - Community collaboration
    - Impact of hurricanes
  - Technical assistance
  - Other ongoing contacts
Analytic Approaches

- Content analyses
- Thematic analyses
- County profiles
Focal Issues: Implementation Progress

• Clearly articulated goals and strategies are mobilizing community resources for child welfare.

• Local system reform activities can lead to improved working relationships with the courts and other community agencies.

• Agencies use flexible funds to individualize services, to prevent children from coming into care and expedite adoptions.

• Agencies are increasing their capacity for self-evaluation
Focal Issues:

Fiscal Issues

- Waiver viewed primarily as a funding mechanism rather than a tool for system reform;
- Confusion about new fiscal mechanisms;
- Fear of having to pay back “reinvestment” dollars if the overall demonstration does not achieve cost creates reluctance to spend on programs;
- System transformations are occurring without leveraging of Waiver generated funds.
- Competition with TANF and other statewide initiatives for agency and county attention.
Focal Issues: Management and Organization

- Delays in agreeing with ACYF on the scope and terms of the waiver;
- Difficulties obtaining permission from their fiscal managers and county commissioners to spend money flexibly.
- High turnover rates within agencies and lack of systematic training about the Waiver
- Most counties have not established Performance Coordinators or Performance Teams as permanent agency functions.
Focal Issues:

Assisted Guardianship

- Assisted Guardianship is rarely used because:
  - Agency fiscal officers are unwilling to commit agency to long term financial commitment beyond the term of the Waiver.
  - Non-related licensed caregivers are unwilling to exchange freedom from DSS oversight for reduced subsidy.
  - Focus is on older children and youth who are not expected to leave foster care.
Focal Issues:

*Impact of Natural Disasters*

- 6 Waiver counties declared disaster areas;
- Increased risk to vulnerable families and children;
- Hurricane damage caused widespread disruptions to agency services and staff losses;
- Local foster care and adoption resources have been lost, delaying or disrupting placements;
- State capital and program funding resources reallocated to reconstruction (long term, statewide impacts).
Research Implementation Issues

- No systematic sources of data on agencies’ current operations
- Variability in the timing, and level of detail in reports
- Uncertain linkages to interim results and outcomes
Assessing the Costs and Benefits of the IV-E Waiver

Dean Duncan

Cost Benefit Analysis Task Leader
Assessing the Costs and Benefits of the IV-E Waiver

Costs primarily include:

• Maintenance (payments for out-of-home care)
• Traditional IV-E administrative costs (case management, services related to children in care, and supervision)
• New services in demonstration sites that help avoid placement or support reunification or other permanent placements
Assessing the Costs and Benefits of the IV-E Waiver

- Cost neutrality is a requirement of the demonstration.
- IV-E costs of all 19 demonstration counties are compared with costs from a group of 19 comparison counties.
Assessing the Costs and Benefits of the IV-E Waiver

• Costs are pooled across counties within the demonstration and comparison groups

• Comparisons are not made between individual demonstration and individual comparison counties
Assessing the Costs and Benefits of the IV-E Waiver

- A key component in determining cost neutrality is the experience of the comparison group of counties.
- The costs in the comparison counties are tracked to monitor their rate of change.
- That rate of change is used to project the costs for the demonstration counties.
Assessing the Costs and Benefits of the IV-E Waiver

If the actual costs for the demonstration counties equal (or are less than) the projected costs, based on the rate of change in for the demonstration counties, the project is cost neutral.
Assessing the Costs and Benefits of the IV-E Waiver

- To assist directors and managers in demonstration counties, the NC Division of Social Services provides county level projections of cost neutrality.

- Projections—
  - are based on maintenance as well as administrative costs.
  - are provided to demonstration counties quarterly.
Cost Neutrality Status for Demonstration Counties

Maintenance Cost Underspending As Of September 1999

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Maintenance Cost Neutrality

- Nine counties were cost neutral as of September 1999
- One county, (County D), had spent $1.5 million less on maintenance than the projected amount.

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Maintenance Cost Neutrality

- Ten counties were not cost neutral in terms of maintenance expenditures.
- Their maintenance costs were rising at a rate higher than the comparison counties.
- One county (County J) spent $600,000 more than the rate of change in the comparison counties.

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Cost Neutrality Status for Demonstration Counties

Underspending on Administrative Costs As Of September 1999

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Administrative Cost Neutrality

- Fifteen of the 19 demonstration counties were cost neutral in terms of administrative expenditures.

- In County C, administrative expenditures were nearly $1.8 Million less than they would have been if the county had the same rate of change as the group of comparison counties.

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Factors That May Affect Costs and Benefits in the IV-E Waiver

- Practices and procedures that county agencies use to reduce entry, length of stay, and re-entry to care
- Reliance on residential child caring agencies (CCAs)
Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Cost Neutrality and Percentage of Maintenance Expenditures Spent on CCAs

- Of the 13 counties that devoted less than 35% of their maintenance expenditures on CCAs, 8 were cost neutral.

- Of the 6 counties that devoted more than 35% of their maintenance expenditures on CCAs, 5 were not cost neutral.

Analyses are illustrative of methodology but should not be interpreted as evaluation findings.
Assessing the Costs and Benefits of the IV-E Waiver

Other lines of analysis:

• Supplement macro level cost analysis with information on expenditures at the local level.

• Use information from worker day sheets as well as checks written to providers of out-of-home care (maintenance costs).
Assessing the Costs and Benefits of the IV-E Waiver

- Information from worker day sheets will indicate the minutes spent in providing certain services to each child.
- This will allow analysis between demonstration, comparison, and all other counties.
- Data on home-based services are available for children who do not enter PA as well as those who do.
Assessing the Costs and Benefits of the IV-E Waiver

- Information from day sheets on all children may allow us to observe changes in practice and delivery of specific services that result in children not entering PA.

- Data from day sheets may be valuable in modeling outcomes.
Assessing the Costs and Benefits of the IV-E Waiver

- Data on maintenance payments will be used to analyze the amount spent for each child.

- These data will be linked with data from the worker day sheets to obtain total costs of care, information that is not currently available.
Assessing the Costs and Benefits of the IV-E Waiver

- The cost benefit analysis will be conducted by comparing the changes in costs and outcomes.

- To the extent that the outcomes improve and the costs remain the same or decrease, the project will be deemed cost beneficial.