

# Finance Survey: Family Cost Participation



2008

The ITCA has conducted a national survey of Part C Coordinators for over 5 years. The goal of the survey was to gather relevant information and make it available to members on a regular basis. The initial survey was lengthy, detailed and required substantial time on the part of State Coordinators to complete. As a result, participation in survey completion never achieved the level that was intended. In 2008, the Data Committee was charged with revising the survey, eliminating data that was already being collected by other sources and streamlining the process to facilitate a higher level of participation. The survey has been divided into four topic areas. The first topical area to be distributed for completion was Finance and the survey was distributed in late 2008.

The Finance Survey was divided into five major areas:

- Fund Sources used to Support Part C
- Family Cost Participation
- Family Fees
- Use of Private Insurance; and
- Use of Public Insurance.

The survey data represent the 38 state and territory members who completed the survey by January 2009. This is the first in a series of reports from the Finance Survey and is focused on Family Cost Participation. The data is reported by frequency as well as cross tab analyses by type of Lead Agency, the OSEP eligibility category and the Regional Resource Center geographic alignment. The frequency tables were produced using Statistical Package for the Social Sciences (SPSS) and include frequency and percentages of all responses including noting where there were no responses. The charts in the report reflect the responses of those states who answered the questions. The "no responses" are excluded from the charts. ITCA draws no conclusions from the data analysis but simply reports the data. All data are aggregated and the individual state responses are kept confidential. The remaining portions of the Finance survey are currently being processed and will be released in the next several months.

## Survey Participants

**State Participation**

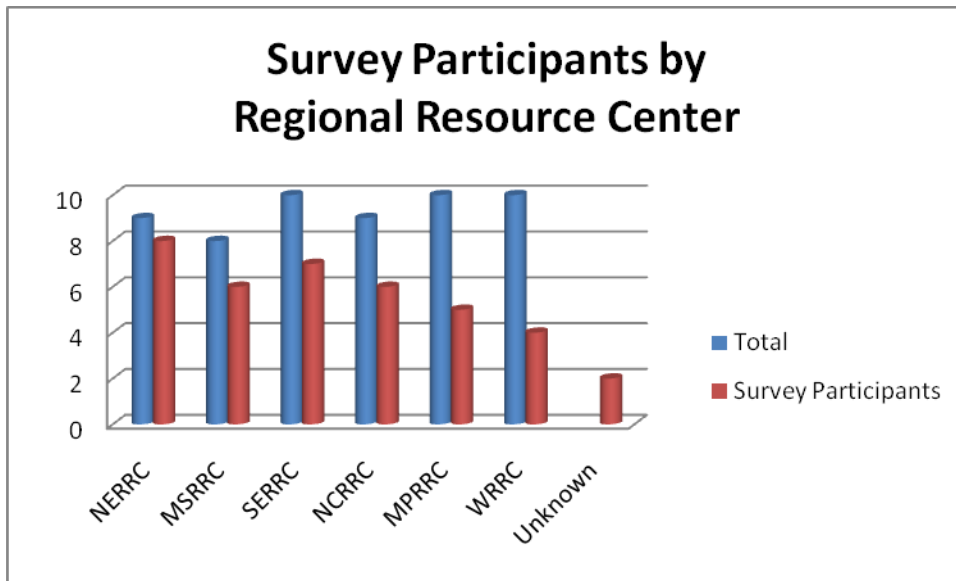
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Alaska	1	2.6	2.6	2.6
American Samoa	1	2.6	2.6	5.3
Arkansas	1	2.6	2.6	7.9
California	1	2.6	2.6	10.5
Colorado	1	2.6	2.6	13.2
Connecticut	1	2.6	2.6	15.8
Florida	1	2.6	2.6	18.4
Hawaii	1	2.6	2.6	21.1
Illinois	1	2.6	2.6	23.7
Indiana	1	2.6	2.6	26.3
Iowa	1	2.6	2.6	28.9
Kansas	1	2.6	2.6	31.6
Kentucky	1	2.6	2.6	34.2
Louisiana	1	2.6	2.6	36.8
Maine	1	2.6	2.6	39.5
Maryland	1	2.6	2.6	42.1
Massachusetts	1	2.6	2.6	44.7
Michigan	1	2.6	2.6	47.4
Minnesota	1	2.6	2.6	50.0
Missouri	1	2.6	2.6	52.6
Montana	1	2.6	2.6	55.3
Nebraska	1	2.6	2.6	57.9
New Hampshire	1	2.6	2.6	60.5
New Jersey	1	2.6	2.6	63.2
New Mexico	1	2.6	2.6	65.8
New York	1	2.6	2.6	68.4
North Carolina	1	2.6	2.6	71.1
Northern Marianas	1	2.6	2.6	73.7
Oklahoma	1	2.6	2.6	76.3
Rhode Island	1	2.6	2.6	78.9
South Dakota	1	2.6	2.6	81.6
Tennessee	1	2.6	2.6	84.2
Texas	1	2.6	2.6	86.8
Utah	1	2.6	2.6	89.5
Virginia	1	2.6	2.6	92.1
West Virginia	1	2.6	2.6	94.7
No response	2	5.3	5.3	100.0
Total	38	100.0	100.0	

Two states responded to the survey but did not include the state name.

**Participation by RRC region**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Northeast	8	21.1	21.1	21.1
Mid South	6	15.8	15.8	36.8
Southeast	7	18.4	18.4	55.3
North Central	6	15.8	15.8	71.1
Mountain Plains	5	13.2	13.2	84.2
Western	4	10.5	10.5	94.7
No response	2	5.3	5.3	100.0
Total	38	100.0	100.0	

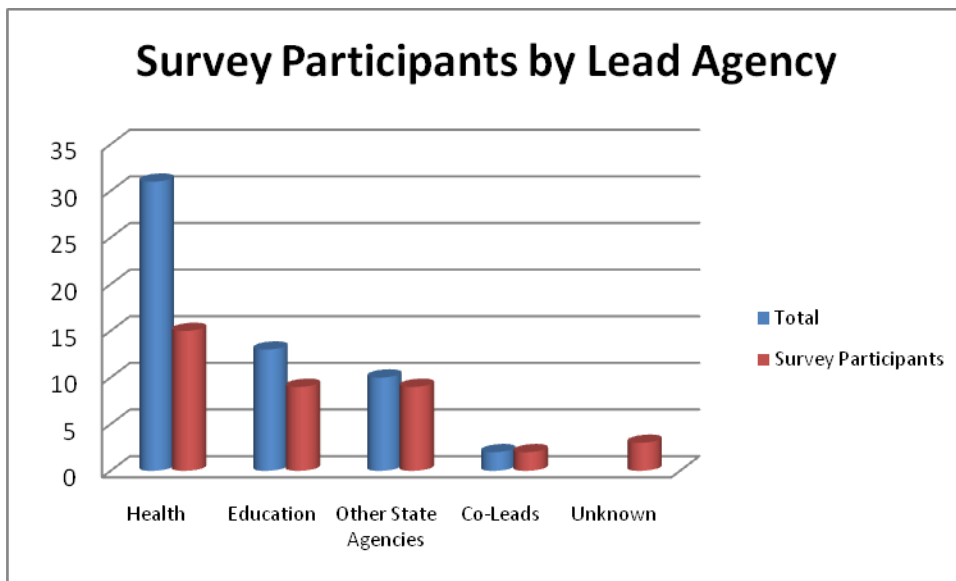
Survey participants ranged from a high of eight states (89%) in the Northeast region to a low of four states (40%) in the Western region. Two states completed the survey but did not identify themselves so their regional categorization cannot be determined. This will also be the case for Lead Agency and Eligibility Status.



**Participation by State Lead Agency**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Health	15	39.5	39.5	39.5
	Education	9	23.7	23.7	63.2
	Other	9	23.7	23.7	86.8
	Co-Lead	2	5.3	5.3	92.1
	No response	3	7.9	7.9	100.0
	Total	38	100.0	100.0	

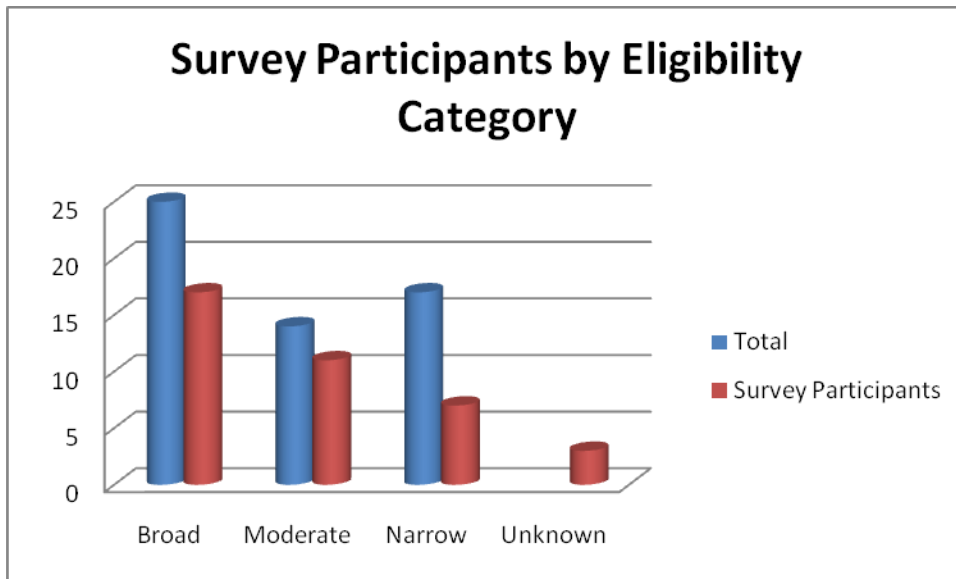
Fifteen states (48%) with Health as the Lead Agency participated in the survey. Nine states (69%) with Education as the Lead Agency and nine states (90%) with “Other State Agencies” as the lead participated in the survey. Both states that have co-lead agencies participated in the survey.



**Participation by OSEP Eligibility Status**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Broad	17	44.7	44.7	44.7
	Moderate	11	28.9	28.9	73.7
	Narrow	7	18.4	18.4	92.1
	No response	3	7.9	7.9	100.0
	Total	38	100.0	100.0	

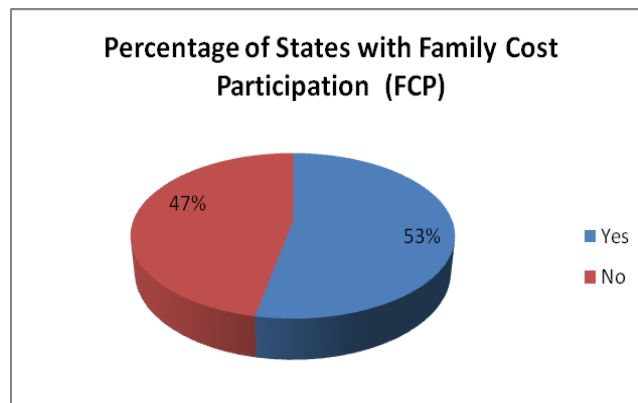
For the purpose of analysis, the OSEP eligibility categories were used. Seventeen states (68%) identified as having broad eligibility criteria completed the survey. Eleven states (79%) identified as having moderate eligibility and seven states (41%) identified as having narrow eligibility completed the survey.



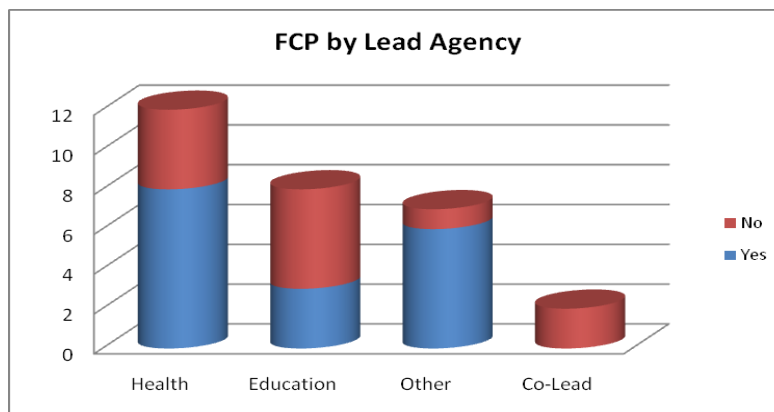
## Survey Questions

**Is there a family cost participation (FCP) policy (copayment/family fees/private insurance) included in your state's System of Payments?**

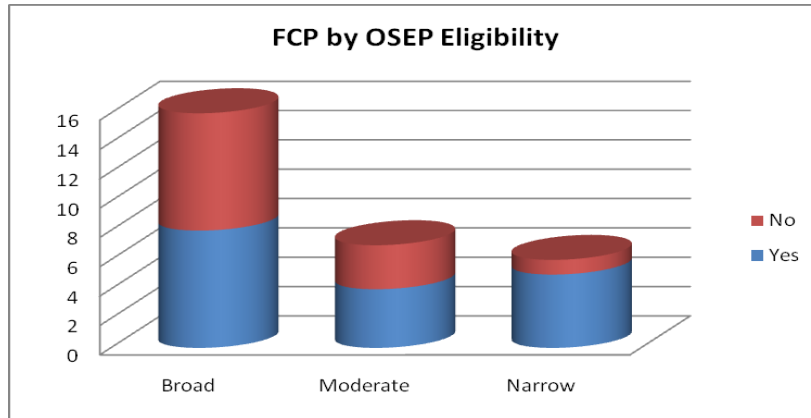
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	17	44.7	44.7	44.7
	No	15	39.5	39.5	84.2
	No Response	6	15.8	15.8	100.0
Total		38	100.0	100.0	



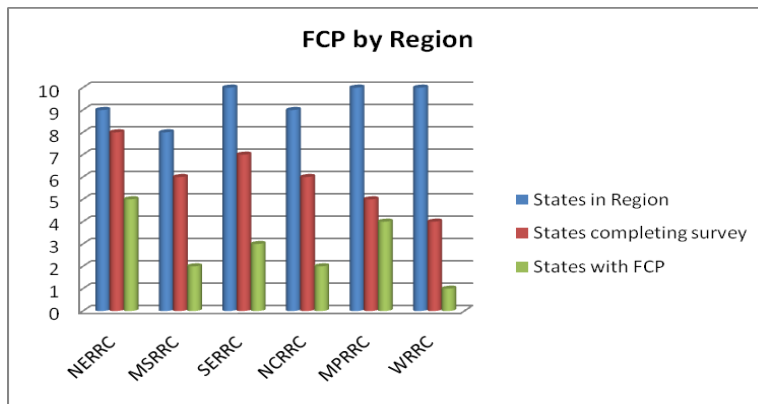
Of the 17 states that responded yes to this question, 8 were Health Lead Agencies, 3 were Education and 6 were "Other State Agencies". Of the 38 states that completed this survey, 53% with Health as the Lead Agency have family cost participation included in their System of Payments. This compares to 33% of States with Education as the Lead Agency and 66% of States with Other State Agencies.



When examining the same data by OSEP Eligibility Status, 47% of states with broad eligibility responding to this survey have Family Cost Participation compared to 36% for states with moderate eligibility and 71% of states with narrow eligibility.



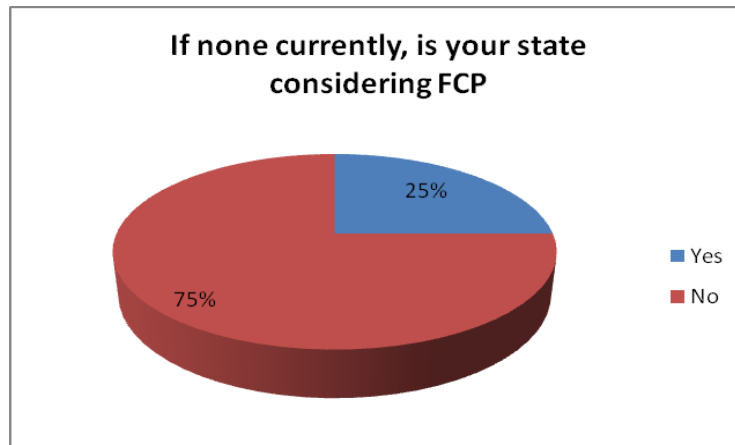
The regions vary in their use of Family Cost Participation. The range was from a high of 80% in the Mountain Plains region to a low of 33% in the Mid South and North central regions.





**If your answer is no, is any form of FCP being considered?**

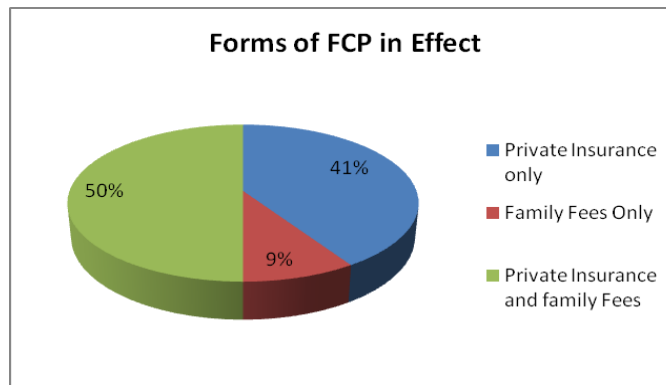
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	4	10.5	10.5	10.5
	No	12	31.6	31.6	42.1
	No Response	22	57.9	57.9	100.0
Total		38	100.0	100.0	



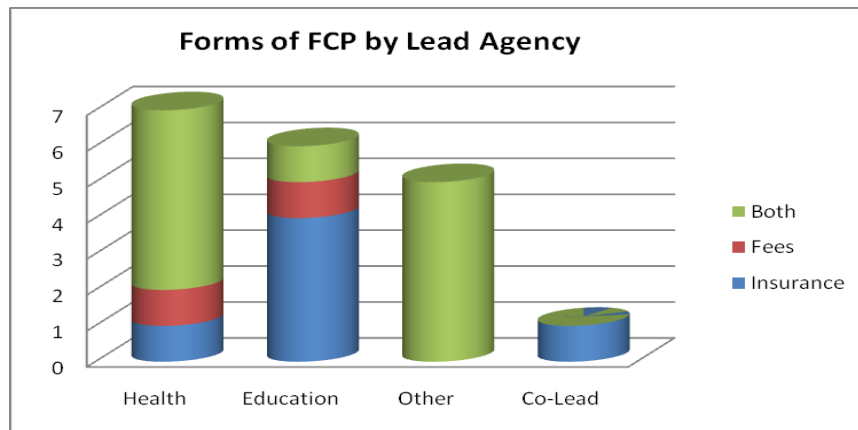
Of the four states who indicated they were considering implementing Family Cost Participation, three were Health Lead Agencies and one was "other". Three were broad eligibility states and one state was in the moderate category. The four states represented four different regions: Northeast, Mid South, Mountain Plains and Western.

### What forms of FCP are in effect for your state?

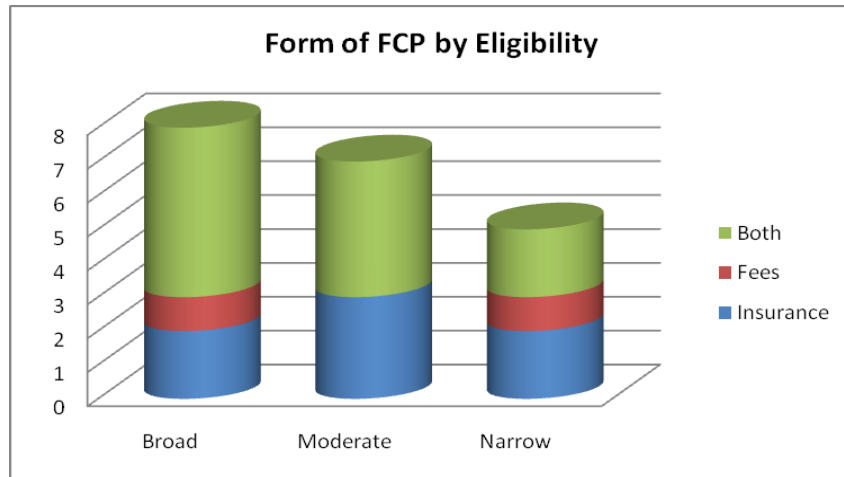
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Private Insurance Only	9	23.7	23.7	23.7
	Family Fees Only	2	5.3	5.3	28.9
	Private Insurance and Family Fees	11	28.9	28.9	57.9
	No response	16	42.1	42.1	100.0
Total		38	100.0	100.0	



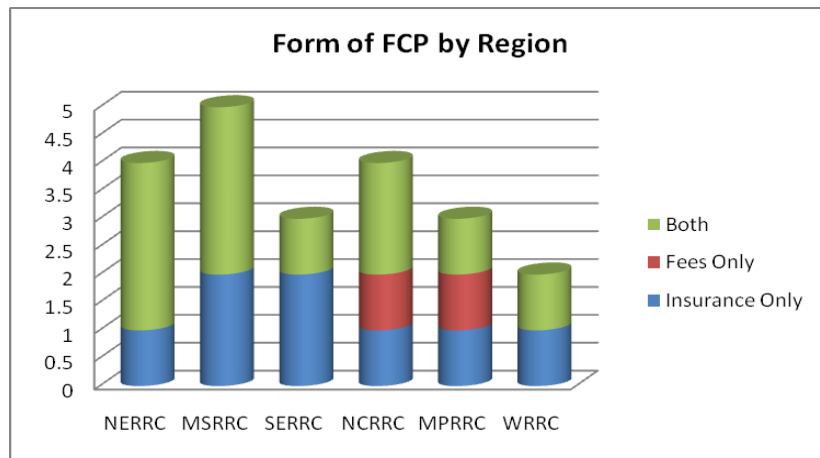
Of the seventeen states that indicated they had Family Cost Participation (FCP), eleven states (50%) indicated that they use both Private Insurance and Family Fees. Four states (67%) with Education as the Lead Agency indicated they used private insurance as their form of Family Cost Participation.



Data analysis by eligibility criteria shows that five Broad Eligibility states (63%) with FCP and four Moderate Eligibility states (57%) use both family fees and private insurance. Narrow eligibility states are more evenly distributed with two states (40%) using private insurance only and two states (40%) using both.

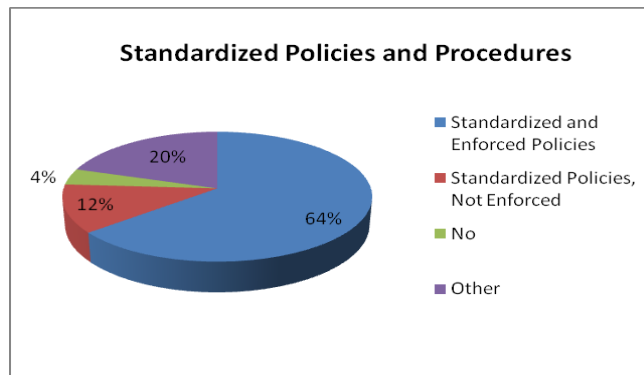


Of those states with FCP, the utilization of both private insurance and family fees ranges from a high of three states (75%) in the Northeast Region to a low of one state (33%) in the Southeast and the Mountain Plains Region. States using Private Insurance only ranged from a high of 50% in the Southeast Region to a low of 12% in the Northeast region.

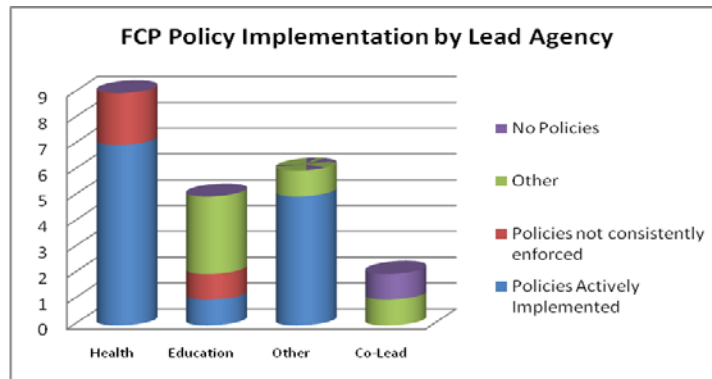


**Does your state have standardized policies and procedures and are they actively implemented?**

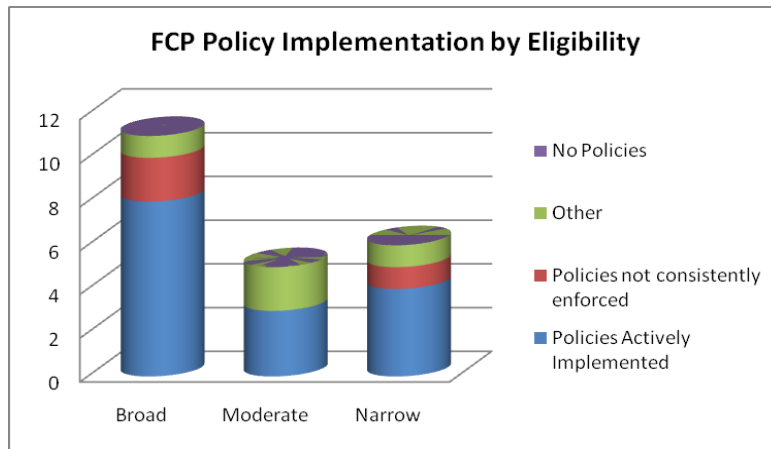
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes we have standardized policies and they are enforced	16	42.1	42.1	42.1
Yes we have standardized policies but they are not consistently enforced	3	7.9	7.9	50.0
No	1	2.6	2.6	52.6
Other	5	13.2	13.2	65.8
No response	13	34.2	34.2	100.0
Total	38	100.0	100.0	



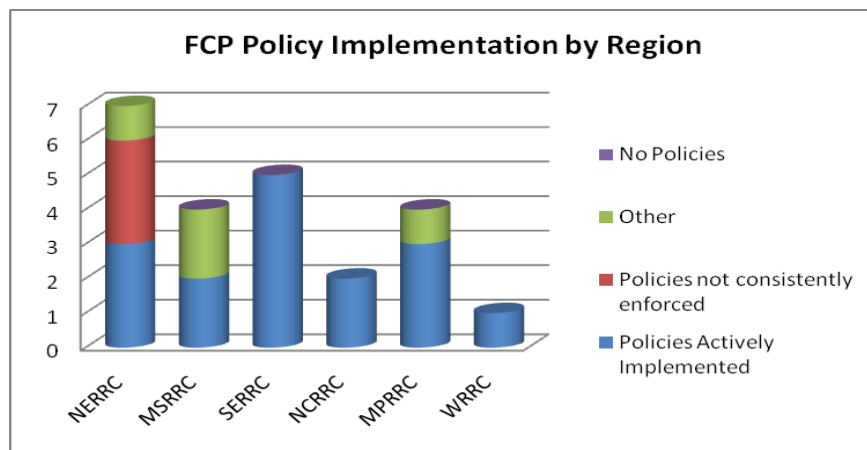
Seven states (78%) with Health as the Lead Agency and five states (83%) with "Other" as the Lead Agency have standardized policies and procedures that are actively implemented. Only one state (20%) with Education as the Lead Agency indicated that the policies were actively implemented.



The majority of States with FCP reported they actively implemented the policies related to Family Cost participation. The percentage ranged from a high of seven states (73%) with Broad eligibility to a low of three states (60%) with Moderate eligibility.

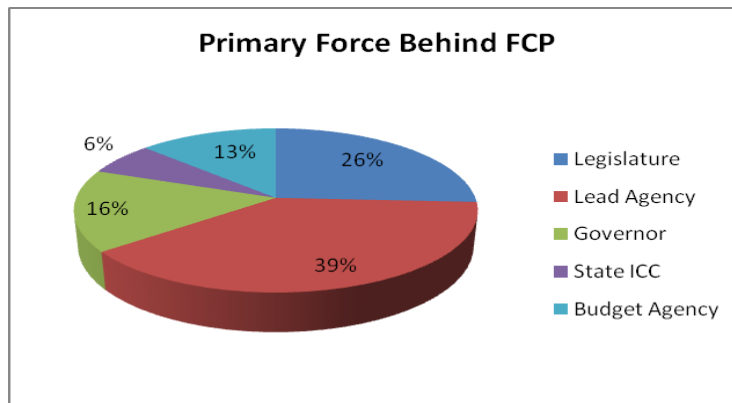


All of the states in the Southeast, North Central and Western regions with FCP indicated that policies were actively implemented. The Northeast region had the lowest percentage (43%) of states with policies actively implemented.

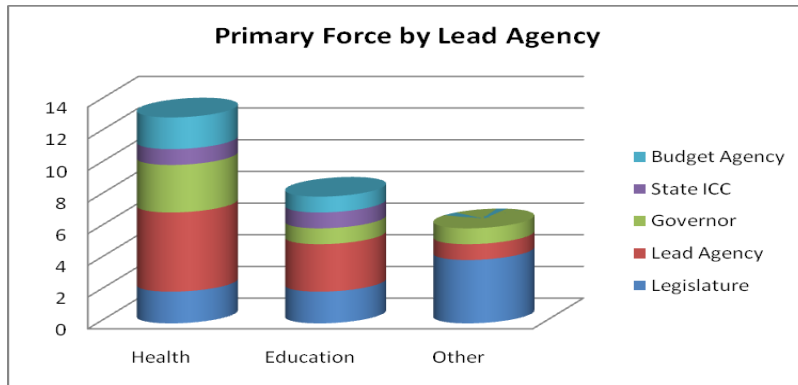


**Who was the primary force behind FCP**

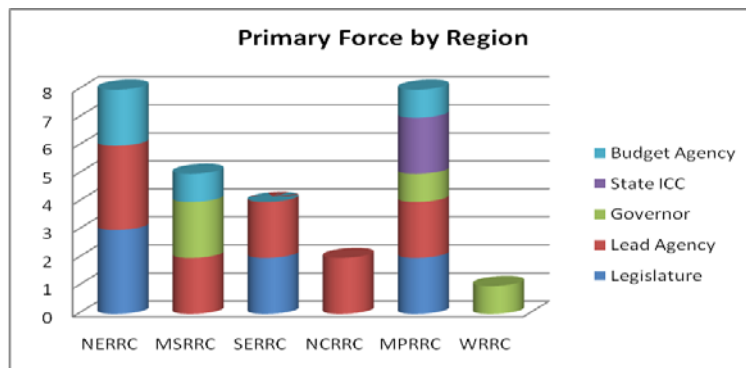
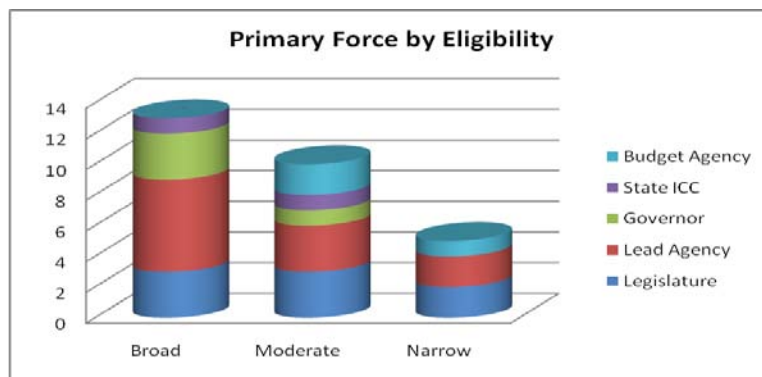
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Legislature	5	13.2	13.2	13.2
	Lead Agency	10	26.3	26.3	39.5
	Governor	2	5.3	5.3	44.7
	State ICC	1	2.6	2.6	47.4
	Other	1	2.6	2.6	50.0
	Legislature and Budget agency	1	2.6	2.6	52.6
	Budget Agency and Governor	1	2.6	2.6	55.3
	Legislature, Budget Agency, Lead Agency and Governor	1	2.6	2.6	57.9
	All	1	2.6	2.6	60.5
	No Response	15	39.5	39.5	100.0
	Total	38	100.0	100.0	



States with FCP reported that the primary force behind the implementation of Family Cost Participation was the State Lead Agency. Four states identified other contributing forces in addition to the Lead Agency. The Lead Agency was the primary force for states with both Health and Education as the Lead Agency. States with "Other" as the Lead Agency reported that the Legislature was the primary force.



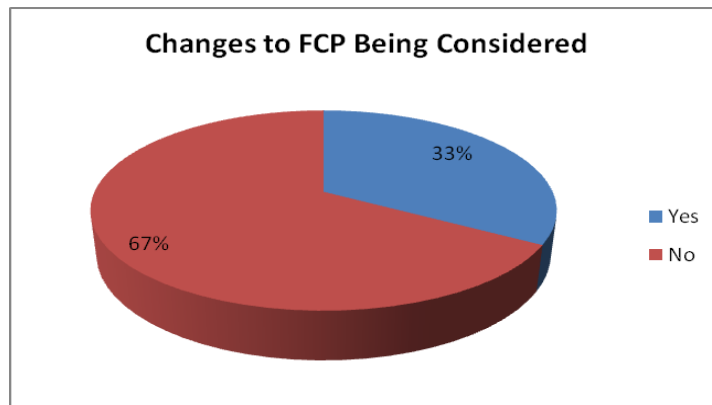
The Lead Agency remains the primary force for Broad and Moderate Eligibility States.



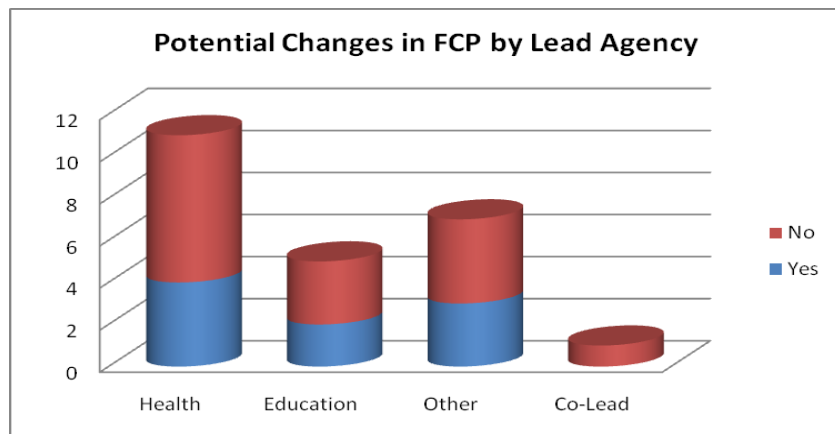
There is a greater variation across regions in the primary force for implementation of Family Cost Participation.

**Are changes to the current FCP system being discussed, planned or implemented?**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	9	23.7	23.7	23.7
	No	18	47.4	47.4	71.1
	No response	11	28.9	28.9	100.0
	Total	38	100.0	100.0	

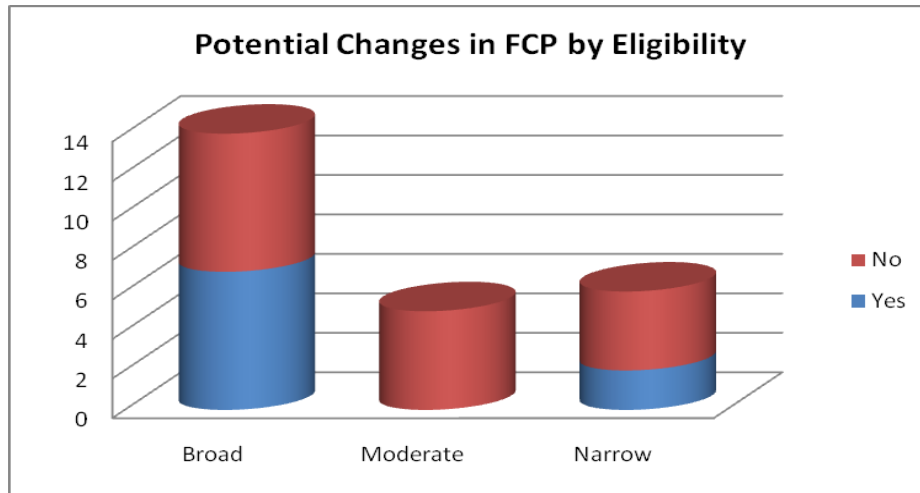


Nine states (33%) with FCP are considering changes to their current policy. Thirty-six (36) percent of states with Health as the Lead Agency are considering changes in their FCP policies. Two states with Education (40%) and three states with "Other" (43%) as the Lead Agency are also considering changes.

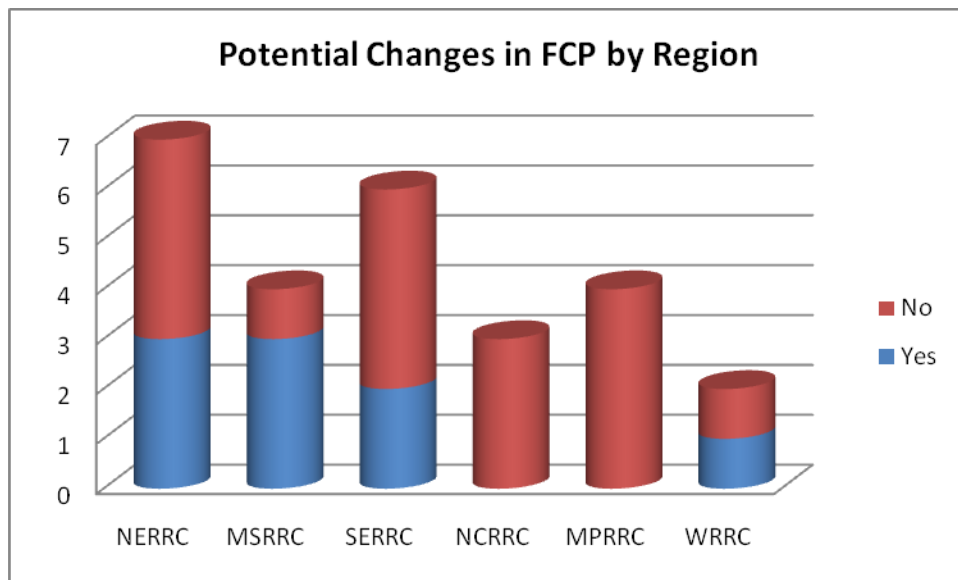




Seven states (50%) with broad eligibility and two states (50%) with narrow eligibility are considering changes in their Family Cost Participation. There were no states in the moderate category that identified they were considering changes.



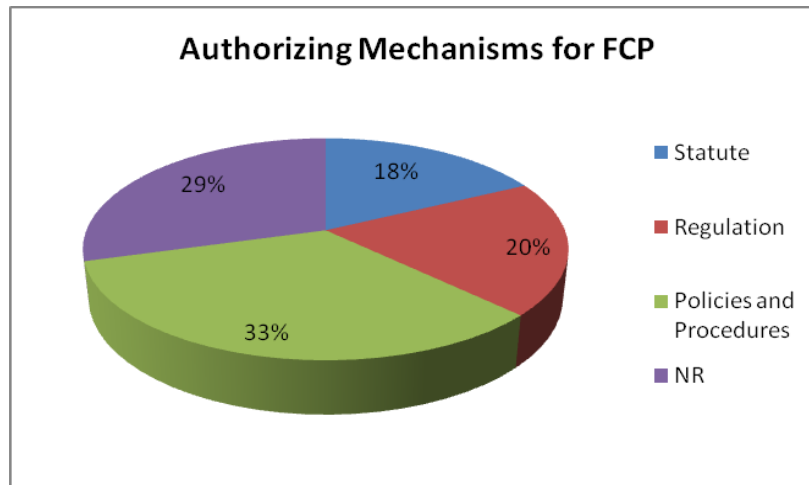
States in two of the regions are not anticipating any changes in their Family Cost Participation. The number of states that are considering changes ranged from a high of three (75%) in Mid South to two states (33%) in the Southeast.

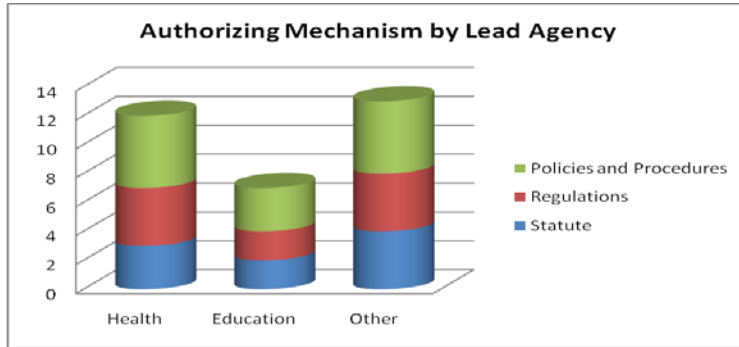


**What are the authorizing mechanisms for FCP?**

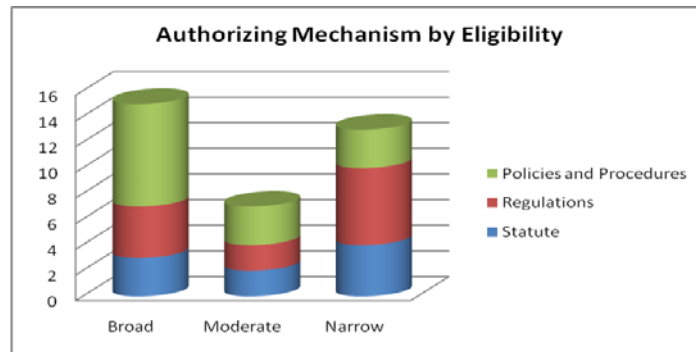
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid State Statute	2	5.3	5.3	5.3
State Regulation	3	7.9	7.9	13.2
Policies and Procedures	8	21.1	21.1	34.2
Statute and regulations	1	2.6	2.6	36.8
Regulations and Policies and Procedures	3	7.9	7.9	44.7
Statute, Policies and Procedures	3	7.9	7.9	52.6
All of the above	3	7.9	7.9	60.5
No response	15	39.5	39.5	100.0
Total	38	100.0	100.0	

States with FCP report that they use a variety of mechanisms to support its implementation.

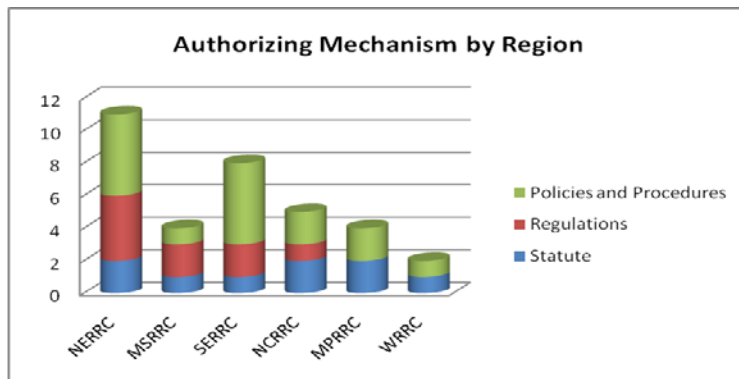




Policies and procedures are the main mechanism utilized across all three types of Lead Agencies to support implementation of Family Cost Participation. It is the leading mechanism for states with broad and moderate eligibility. States with narrow eligibility use state regulation as the main mechanism.

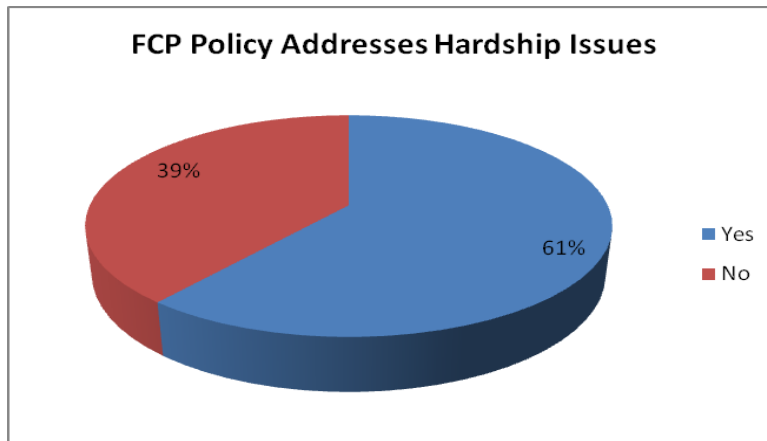


Examining the data across regions, policies and procedures again emerges as the primary authorizing mechanism.

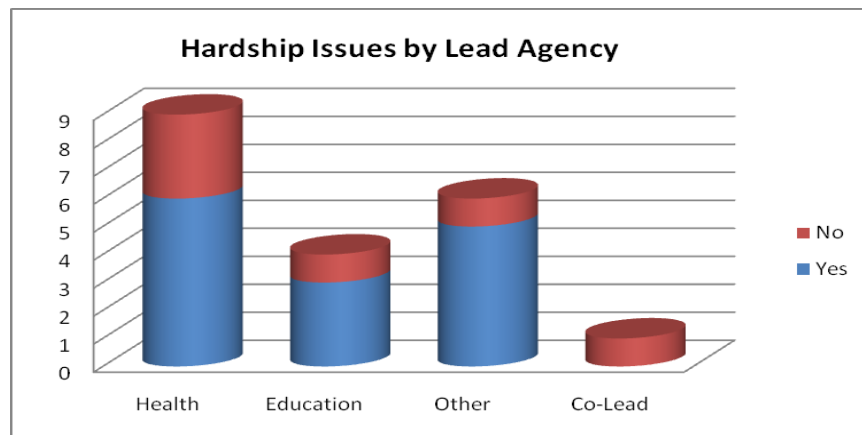


**Does your policy regarding FCP address hardship issues?**

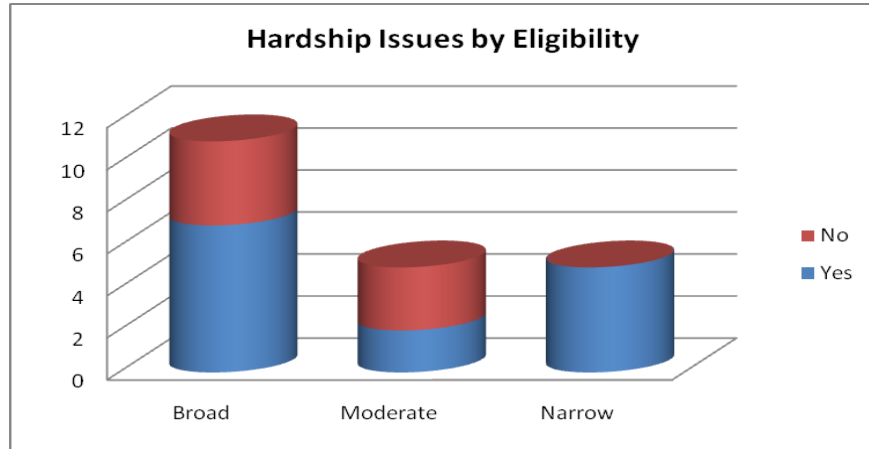
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	14	36.8	36.8	36.8
No	9	23.7	23.7	60.5
No response	15	39.5	39.5	100.0
Total	38	100.0	100.0	



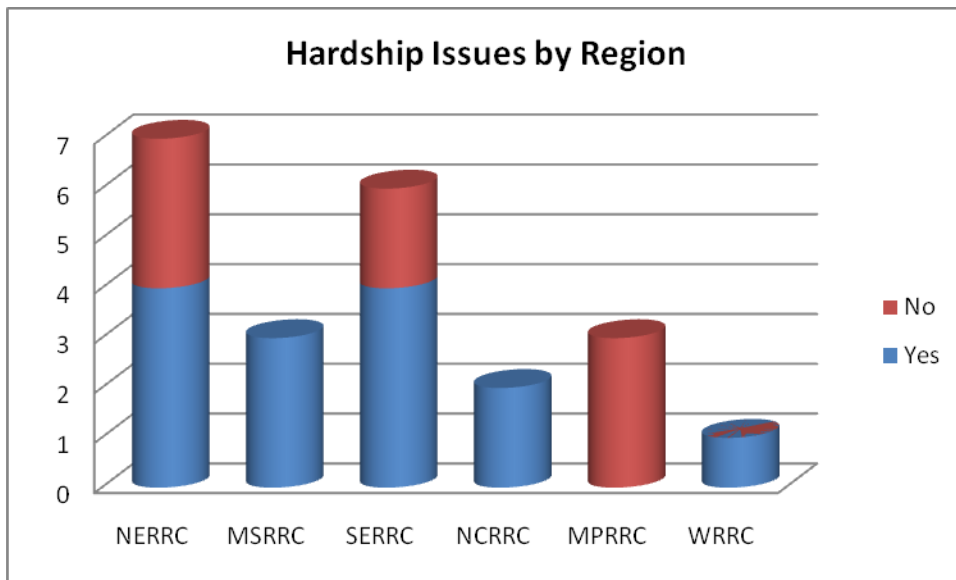
Of the 21 states who responded to this question, fourteen states (67%) indicated they do consider hardship issues. The majority of states regardless of Lead Agency, Eligibility Definition and Region do address hardship issues.



States with Moderate eligibility had a slightly higher response rate of no policy related to hardship issues.

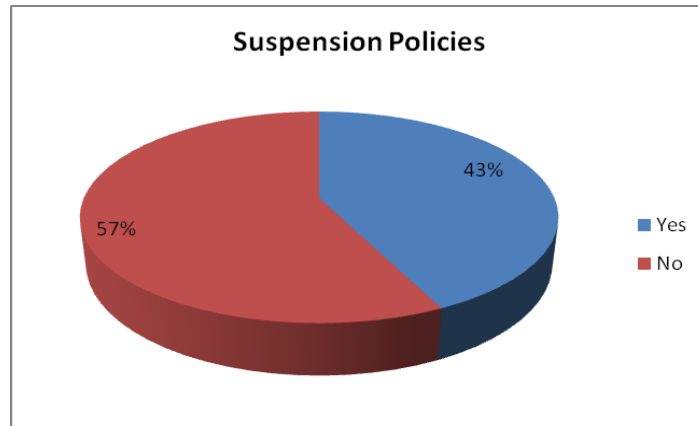


All of the states in three regions have policies addressing hardship issues. Only one region (Mountain Plains) had no states that addressed hardship issues. In the other two regions, the majority of states had policies addressing hardship.

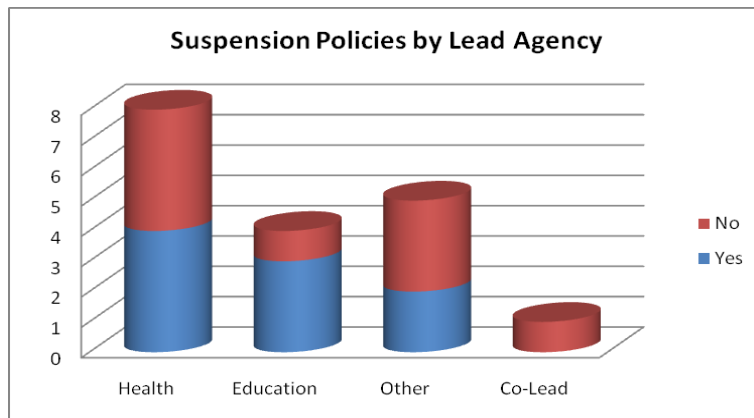


**Do you have suspension policies for families who do not pay?**

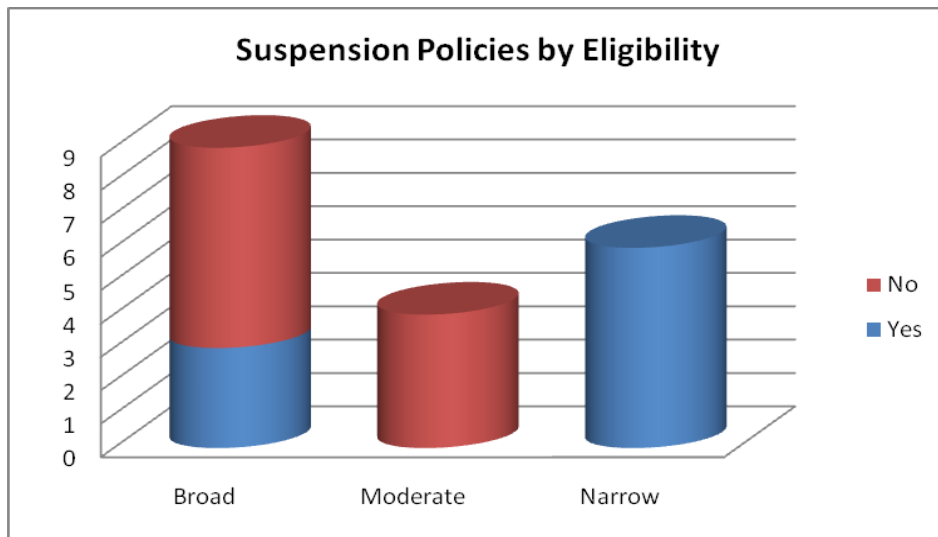
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	9	23.7	23.7	23.7
No	12	31.6	31.6	55.3
No response	17	44.7	44.7	100.0
Total	38	100.0	100.0	



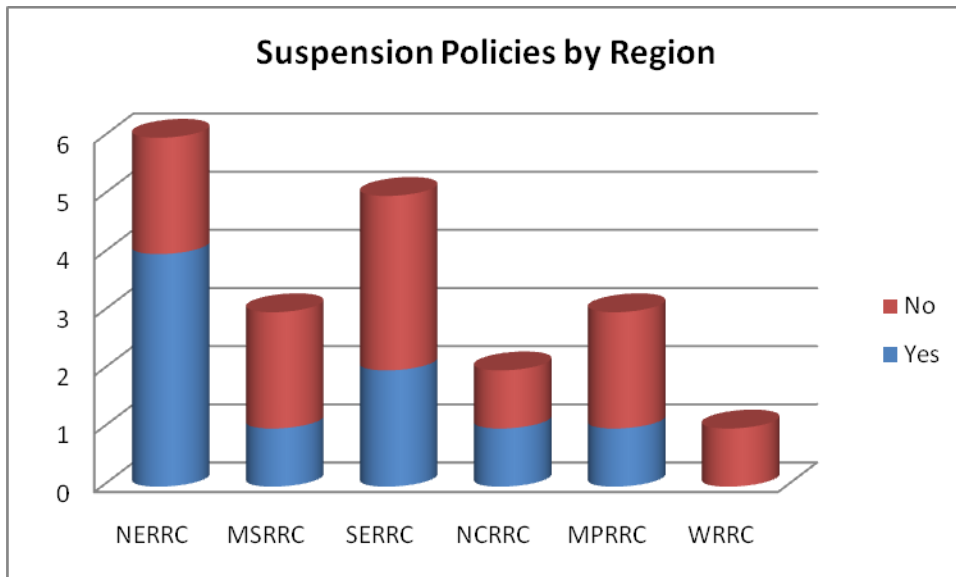
Nine states with FCP policies (43%) indicated that they have suspension policies for families who do not pay. When looking at the data by type of Lead Agency, four states (50%) with Health Lead Agencies, three states (75%) with Education Lead Agencies and five states (83%) of "Other" Lead Agencies have suspension policies.



Three states (33%) with Broad eligibility have suspension policies. None of the moderate eligibility states have suspension policies while six states (100%) with Narrow eligibility have suspension policies.

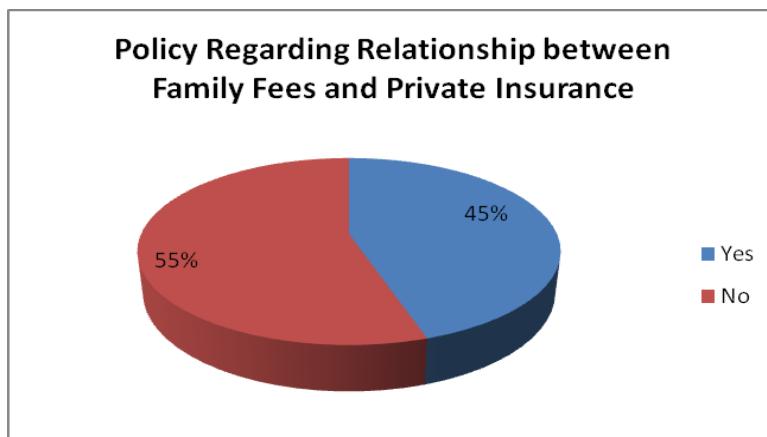


States in the Western region do not have suspension policies for families who do not pay. In the other regions, suspension policies range from four states (67%) in the Northeast and two states (67%) in the Southeast to two states (33%) in the Mid South and one state (33%) in the Mountain Plains region.

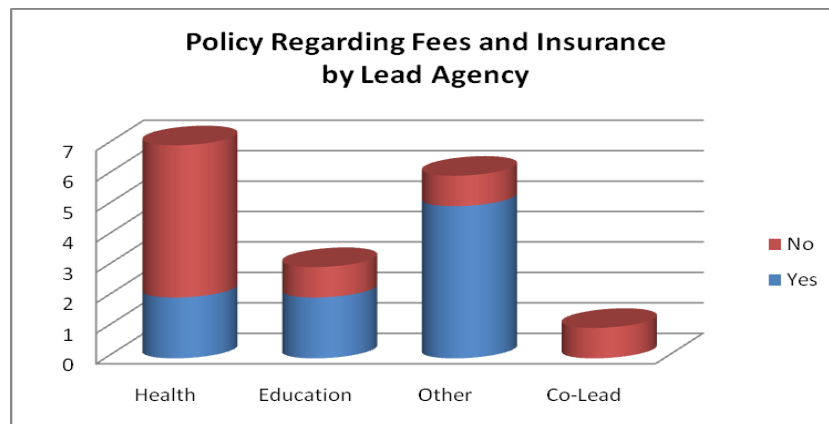


**Is there a policy that addresses the relationship between family fees and private insurance?**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	9	23.7	23.7	23.7
	No	11	28.9	28.9	52.6
	No response	18	47.4	47.4	100.0
Total		38	100.0	100.0	

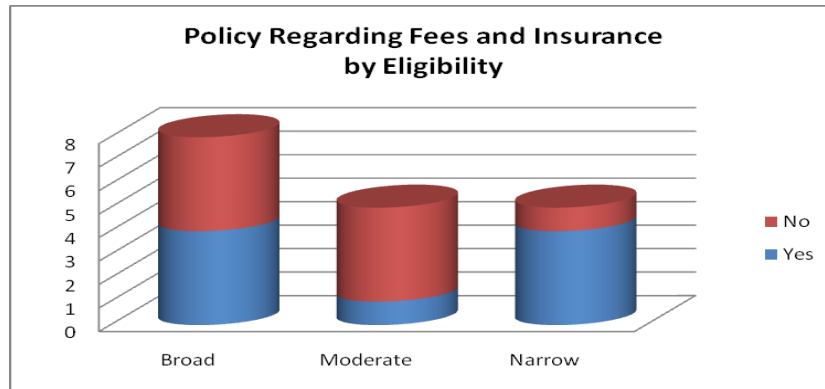


Of the states that have FCP, eleven states (55%) report that they do not have a policy that addresses the relationship between Family Fees and Private Insurance. Five states (71%) with Health as the Lead Agency do not have a policy regarding Family Fees and Private Insurance. Five states (83%) with "Other" as the Lead Agency do have a policy.





Four states (50%) with broad eligibility and four states (80%) with narrow eligibility have a policy regarding family fees and private insurance. Only one state (20%) with moderate eligibility has a similar policy.



All respondents in the Mountain Plains Region indicated they have no policy while all respondents in the North Central and Western Regions have a policy. The number of states in the remaining regions that responded to this question range from two states (33%) in the Northeast region to all the states in the North Central and Western regions.

