

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration on Aging

Supporting Statement for Maintenance of Effort Information Collection

1. Circumstances Making the Collection of Information Necessary

AoA is requesting approval of Certification of Maintenance of Effort Information Collection, OMB number 0985-0009. Title III of the Older Americans Act, as amended, 42 USC 3029(c), requires that a State's allotment for a given fiscal year be reduced by the percentage (if any) by which its expenditures from State sources are less than its average annual expenditures from such sources for the period of three consecutive fiscal years preceding such fiscal year. Since the information collected on the SF 269 report combines the funds from State and local sources, the Administration on Aging is unable to identify funds solely from State sources without the requested financial data.

Under Title III of the Older Americans Act, as amended, 42 USC 3027(a)(9) assurances are required from the State agency that they will carry out a State Long-Term Care Ombudsman Program and will expend for such purposes an amount that is not less than an amount expended by the State agency with funds received under Title III for fiscal year 2000. An additional assurance is established in Title VII of the Older Americans Act, as amended; 42 USC 3058d(a)(4) requires that the State will use funds made available in addition to, and will not supplant, any funds that are expended under Federal or State law.

2. Purpose and Use of the Information Collection

The information contained on the Certification of Maintenance of Effort form will be used by the Administration on Aging to verify the amount of State expenditures and make comparisons with the average annual expenditures for the period of three consecutive fiscal years preceding the given year to assure that a State is in compliance with 45 CFR 1321.49 and 42 USC 3027(a) and 42 USC 3058d.

3. Use of Improved Information Technology and Burden Reduction

The information may be submitted in electronic form.

4. Efforts to Identify Duplication and Use of Similar Information

No other data source collects this or similar information.

5. Impact on Small Business or Other Small Entities

This information does not impact small entities. It is collected from the 56 state agencies on aging.

6. Consequences of Collecting the Information Less Frequently

The information collection occurs on an annual basis in order to allow the Administration on Aging to ensure compliance with 42 USC 3029(c), 42 USC 3027(a), and USC 3058d of the Older Americans Act for each fiscal year.

7. Special Circumstances Relating to the Guidelines of CFR 1320.5

There are no special circumstances related to this request.

8. Comment in Response to the Federal Register Notice and Efforts to Consult Outside the Agency

The Federal Register Notice was published on Tuesday, March 29, 2011 (Vol. 76, No. 60). The Administration on Aging received the following comment in response:

“The forms are necessary for proper stewardship of public funds and to assure that states are complying with the requirements of the Older Americans Act. From a practical standpoint, the forms could be combined.”

“We are appreciative of the addition of the State Ombudsman signature and reference on the Certification form to the minimum funding requirements as footnoted.”

The comment was received from the National Association of State Long-Term Care Ombudsmen (NASOP) on May 27, 2011. AoA concurs with the comment received.

9. Explanation of Any Payment or Gift to Respondents

No payment provided.

10. Assurance of Confidentiality Provided to Respondents

Information provided, financial data regarding state expenditures, is not of a confidential nature.

11. Justification for Sensitive Questions

This request does not involve questions of a sensitive nature.

12. Estimates of Annualized Burden Hours and Costs

- a) Estimated Number of Respondents-----56
- b) Frequency of Response-----1 x annually
- c) Estimated Annual Hour Burden-----28 hours (Annual hour burden derived from the following estimates: 56 respondents prepare 1 report a year; each report takes an average of 1/2 hour to complete; 56x1/2 hour = 28 hours).
- d) Estimated Annual Costs for Respondents:
  - Per Respondent-----\$17
  - (based GS 13 Step 1 salary of \$71,674 and an hourly rate of \$34.45 x 28 hours = \$965 for the 56 respondents or \$17 per respondent)
  - Total for 56 Respondents-----\$965

13. Estimates of Other Total Annual Cost Burden to Respondents and Record Keepers

There is no additional cost burden to respondents and record keepers.

14. Annualized Cost to Federal Government

- a) Regional Office review of 56 reports -----28 hours
- b) Grants Office Processing of reports -----28 hours
- TOTAL GOVERNMENT HOURS-----56 hours
- GOVERNMENT SALARIES
- a. GS-13-1, annual salary of \$71,674 and an hourly rate of \$34.45,  
which equates to 28 hours x \$34.45 -----\$965
- b. GS-13-1, annual salary of \$71,674 and an hourly rate of \$34.45,  
which equates to 28 hours x \$34.45 -----\$965
- TOTAL COST TO THE FEDERAL GOVERNMENT-----\$1930

15. Explanation for Program Changes or Adjustments

The MOE form for Ombudsman expenditures now requires the signature of the State Long-Term Care Ombudsman. This change is being made in order to improve the coordination and accuracy of the financial data submitted to the Administration on Aging. The burden hours and number of respondents remain the same.

16. Plans for Tabulation and Publication and Project Time Schedule

This information collection is not published

17. Reason(s) Display of OMB Expiration Date is Inappropriate

The Administration on Aging has no reason not to display the expiration date of OMB approval for this collection of information.

18. Exceptions to Certification for Paperwork Reduction Act Submissions

There are no exceptions to the certification statement

Certification by Authorized Official Submitting Request

I certify that the form submitted for approval is necessary for the proper performance of the agency's functions; that the proposed data collection represents the minimum burden on respondents consistent with the need for information; that the information collected is not available from any other source; that the request complies with the requirements of the Freedom of Information Act and the Privacy Act of 1974, and is consistent with applicable OMB and agency policy directives.

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Dan Berger  
Acting Director, Center for Management and Budget

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Date