

**SUPPORTING STATEMENT FOR OMB CLEARANCE
FOR THE ACF-801**

**Department of Health and Human Services
Administration for Children and Families
Office of Child Care**

**CHILD CARE AND DEVELOPMENT FUND (CCDF)
QUARTERLY CASE RECORD REPORT
ACF-801**

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary:

Pursuant to section 658K of the Child Care and Development Block Grant Act (42 U.S.C. 9858), the Department of Health and Human Services (HHS) established uniform disaggregate reporting requirements, for which States and Territories must submit case-level reports on a monthly or quarterly basis (at grantee option). These reports are derived from administrative data collected by States and Territories in the course of providing services to families and children under the Child Care and Development Fund (CCDF). This data includes demographic information about families and children served, the type, cost, and hours of child care being used. The ACF-801 and its instructions specify the minimal set of data necessary for compliance with the Act. Consistent with the statute and regulations, ACF requests extension of the ACF-801 without changes.

On November 19, 2014, the President signed the Child Care and Development Block Grant Act of 2014 (P.L. 113-86) which reauthorized the CCDF program and made some changes to ACF-801 reporting requirements. Owing to the need to consult with CCDF administrators and other interested parties on these changes, and a limited amount of time before the current ACF-801 form expires, ACF is not proposing changes to the ACF-801 at this time. We request to extend the ACF-801 without changes in order to ensure the form does not expire. In the near future, ACF plans to initiate a new clearance process under the Paperwork Reduction Act to implement the data reporting changes in the newly-reauthorized law.

2. Purpose and Use of the Information Collection:

The case-level administrative information received through this collection provides the means to analyze and evaluate the CCDF program and the extent to which States and Territories are assisting families in addressing child care needs. This collection will provide ACF with the information necessary to make reports to Congress, address national child care needs, offer technical assistance to grantees, meet performance measures, and conduct research.

3. Use of Improved Information Technology and Burden Reduction:

ACF has made arrangements with the National Institutes of Health for secure electronic file transfer using either the CONNECT:DIRECT or CyberFusion data exchange systems, or by using secure FTP (File Transfer Protocol). These methods of

transmission ensure that case identifiers remain secure in the transmission. States that cannot transmit the ACF-801 data via one of the above methods may submit using a diskette/CD via registered mail. ACF provides technical assistance to Grantees in the use of the electronic system toward improved data accuracy and reliability.

4. Efforts to Identify Duplication and Use of Similar Information:

This data collection is required by section 658K of the statute and does not duplicate any other reporting or record-keeping requirements.

Similar Information:

No similar information is being collected on CCDF program participants and related child care services that can be used to respond to the issues identified in section 658K. Collection of the information specified on the ACF-801 is necessary to comply with the Federal statute and regulations, and to ensure the availability of data to respond to inquiries regarding the progress of the CCDF program and related issues.

5. Impact on Small Businesses or Other Small Entities:

This data collection effort does not involve small business or other small entities.

6. Consequences of Collecting the Information Less Frequently:

Section 658K of the statute requires States and Territories to transmit information collected on a quarterly basis (or monthly at State/Territory option). The data are submitted no later than 60 days after the end of each quarter and includes a minimum of 200 records for each of the three months of the quarter (October through December, January through March, April through May, and July through September, as appropriate). States and Territories have the option of submitting full population or sample data.

7. Special Circumstances Relating to the Guidelines of 5 CFR 1320.5:

The collection of this information is conducted in accordance with 5 CFR 1320.6.

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

A notice in the Federal Register (Volume 79, Number 138, page 42021) was posted on July 18, 2014. In this notice, ACF solicited public comment on the extension of this data collection without changes.

AR commented that efforts are underway to integrate data systems across divisions which will take some time to fully implement. Consequently, several areas in their report, i.e., data elements 30, 33, and 35, cannot be easily tracked at this time. OCC will continue to provide TA to AR in an effort to expedite reporting compliance.

9. Explanation of Any Payment or Gift to Respondents:

Not applicable.

10. Assurance of Confidentiality Provided to Respondents:

We will protect the information to extent allowed by Federal law. The information submitted by States and Territories involves case-level administrative data regarding the families and children being served through CCDF funds. Typically, States and Territories use an "optional" Social Security number or a Unique State Identifier (required in the absence of a Social Security number) to ensure compliance with the statutory requirement that they provide "the total number (without duplication) of children and families served". To ensure confidentiality, ACF has made arrangements with the National Institutes of Health for secure electronic file transfer using either the CONNECT:DIRECT or CyberFusion data exchange systems, or by using secure FTP (File Transfer Protocol). These methods of transmission ensure that case identifiers remain secure in the transmission. States that cannot transmit the ACF-801 data via one of the above methods may submit using a diskette/CD via registered mail. ACF provides technical assistance to Grantees in the use of the electronic system toward improved data accuracy and reliability.

11. Justification for Sensitive Questions:

This data collection does not involve asking questions of a sensitive nature.

12. Estimates of Annualized Burden Hours and Costs:

All States and Territories are required to participate and report on the CCDF program on a quarterly basis, a mandatory requirement effective April 1998. The burden of collecting the information is estimated as follows:

Number of Respondents:	56
Number of Responses per Respondent:	4
Average Burden Hours per Response:	25
Total Burden Hours per Year:	5,600

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

We estimate that the time required to assemble and transmit the data file will take approximately 25 hours per transmission at an estimated \$23 per hour which totals \$2,300 per State and Territory. Operational cost for systems software computer time will average about \$4,500 a year per State and Territory. The estimated yearly cost for all States and Territories is \$380,800.

14. Annualized Cost to the Federal Government:

The estimated annual Federal cost is \$513,600. This includes staff costs of program analysts who review the information to ensure consistency and contact grantees as necessary when information is incomplete or questionable. It also includes systems costs, including data base maintenance, associated with the electronic system that performs audit checks and provides feedback to the States and Territories.

15. Explanation for Program Changes or Adjustments:

None.

16. Plans for Tabulation and Publication and Project Time Schedule:

Fiscal Year 1998 through 2013 data from the ACF-801 has been processed and reported in a variety of places. Specifically, data has been incorporated into the Office of Child Care (OCC) Report to Congress, used by ACF to respond to requests from Congress, track ACF's performance under the Government Performance and Results Act, and respond to inquiries regarding the progress and effectiveness of the CCDF program as well as posted on the OCC website on an annual basis.

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

The expiration date is currently displayed at the top right corner of the Form ACF-801.

18. Exception to Certification for Paperwork Reduction Act Submissions:

There are no exceptions to this form.

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS

1. Respondent Universe and Sampling Methods:

The information reported by States and Territories via the ACF-801 is derived primarily from administrative data that is collected in the course of providing CCDF services to families and children. These administrative data systems include information about the full population of families and children being served. Since full population information is being collected by States and Territories in the course of doing business, the issue of sampling is not relevant. However, as described in ACYF-PI-CC-98-01, issued on January 22, 1998, States and Territories have the option of submitting a sample of their records for the ACF-801 report. This issuance indicates that States choosing to submit sample data must develop a methodology that conforms to the principles of probability sampling, i.e., each family in the population of interest must have a known, non-zero probability of selection. A sample frame must be constructed for each month in the annual sample period and include approximately one-twelfth of the required minimum annual sample. States that sample are required to have their sampling plan approved by the Office of Child Care. The first sampling plan was due February 28, 1998. State and Territories that submit their entire caseload were not required to submit a sampling plan. Instead they were required to submit a statement indicating their intention to submit data for the entire population.

2. Procedures for the Collection of Information:

Not Applicable.

3. Methods to Maximize Response Rates and Deal with NonResponse:

Ongoing TA provided by OCC data contractor via email, fax, telephone, and on-site visits.

4. Tests of Procedures or Methods to be Undertaken:

Not Applicable.

5. Individuals Consulted on Statistical Aspects and Individuals Collecting and/or Analyzing Data:

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