

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted ELECTION ASSISTANCE COMMISSION				2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) CA20101001			
3. Recipient Organization (Name and complete address including Zip code) CALIFORNIA SECRETARY OF STATE 1500 11TH ST, SACRAMENTO, CA 958145701							
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type	7. Basis of Accounting		
				<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period (Month, Day, Year) From: March 28, 2018				9. Reporting Period End Date (Month, Day, Year) September 30, 2020			
To: September 30, 2029							
10. Transactions					Cumulative		
<i>(Use lines a-c for single or combined multiple grant reporting)</i>							
Federal Cash (To report multiple grants separately, also use FFR Attachment):							
a. Cash Receipts				\$73,502,386.00			
b. Cash Disbursements				\$5,535,493.66			
c. Cash on Hand (line a minus b)				\$67,966,892.34			
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized				\$73,502,386.00			
e. Federal share of expenditures				\$5,535,493.66			
f. Federal share of unliquidated obligations				\$0.00			
g. Total Federal share (sum of lines e and f)				\$5,535,493.66			
h. Unobligated balance of Federal funds (line d minus g)				\$67,966,892.34			
Recipient Share:							
i. Total recipient share required				\$9,516,646.00			
j. Recipient share of expenditures				\$0.00			
k. Remaining recipient share to be provided (line i minus j)				\$9,516,646.00			
Program Income:							
l. Total Federal share of program income earned				\$1,016,737.95			
m. Program income expended in accordance with the deduction alternative				\$0.00			
n. Program income expended in accordance with the addition alternative				\$0.00			
o. Unexpended program income (line l minus line m and line n)				\$1,016,737.95			
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals:					\$0.00	\$0.00	\$0.00
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation: State Interest Earned: \$0							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official					c. Telephone (Area code, number, and extension)		
Yang, Fan					d. Email Address		
Accounting Administrator I (Supervisor)							
b. Signature of Authorized Certifying Official					e. Date Report Submitted (Month, Day, Year)		
Yang, Fan					April 19, 2021		

Standard Form 425
OMB Approval Number: 4040-0014
Expiration Date: 02/28/2022

Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 4040-0014. Public reporting burden for this collection of information is estimated to average 1 hour per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: US Department of Health & Human Services, OS/OCIO/PRA, 200 Independence Ave, SW, Suite 336-E, Washington DC 20201. Attention: PRA Reports Clearance Officer

FEDERAL FINANCIAL REPORT

(Additional Page)

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID : CA20101001

Recipient Organization : CALIFORNIA SECRETARY OF STATE
1500 11TH ST, SACRAMENTO, CA 958145701:

DUNS Number

DUNS Status when Certified

EIN

Reporting Period End Date : September 30, 2020

Status :

Remarks :

Federal Agency Review

Reviewer Name :

Phone # :

Email :

Review Date :

Review Comments :

EAC Progress Report

Response ID:149 Data

1. Login

Please enter your userword and password to begin the Progress Narrative. If you require assistance or have any questions, please contact grants@eac.gov

2. Verification

3. EAC Progress Report

1. State or Territory:

California

2. Grant Number:

CA20101001-01

3. Report:

Annual (Oct 1 - Sept 30)

4. Grant:

Please select only one.

Election Security

5. Reporting Period Start Date

10/01/2019

6. Reporting Period End Date

09/30/2020

7. DUNS/UEI:

8. EIN:

9. Recipient Organization:

Organization Name

California Secretary Of State

Street Address

1500 11th Street

City

Sacramento

State

CA

Zip

95814

4. Progress and Narrative

10. Describe in detail what happened during this reporting period and explain how you implemented the approved grant activities.

At the beginning of this reporting period, the HAVA election security funding was planned for and used for activities consistent with approved grant activities including the enhancement of technology and making election security improvements. Specifically, the funds were: (1) provided to California's 58 counties in the form of county contracts to support county implementation of cyber security safeguards and associated infrastructure enhancements to protect against cyber risks and vulnerabilities; (2) used for state support of technical security enhancements to the Statewide Voter Registration Database (VoteCal) to ensure the statewide voter registration database remains secure among an ever changing landscape of potential vulnerabilities and changing technology and requirements; (3) provided to California counties to improve the administration of elections through the implementation of vote centers and associated voting process enhancements; (4) provided to California counties for support of polling place accessibility through the training of counties on accessibility requirements and mitigations and providing support to counties to improve accessibility of polling places; (5) used to provide a risk limiting audit tool, support, guidelines and regulations to California counties; and (6) used for associated personnel costs for administration and support of the funding which includes indirect costs for personal services costs of administrative, supervisory, and executive and support units, including accounting, internal audits, legal, information technology, and clerical support.

As COVID-19 emerged in January and February 2020 and a global pandemic was declared, assessment of needs and planning began. Beginning in early March, the California Secretary of State convened on a daily basis a working group of California's 58 county elections officials, legislators, the Governor's office, voting rights advocates, disability rights advocates, data and policy experts, and other stakeholders to adopt new strategies and enact new laws to protect California voters and election workers in the November 3, 2020 General Election. Specifically:

- Every active, registered voter in California receiving a vote-by-mail ballot.
- All California voters able to track their vote-by-mail ballot.
- Options for returning vote-by-mail ballots, including voting locations, county election offices, special ballot drop boxes, and U.S. Postal Service.
- Sufficient in-person voting opportunities.
- Extensive health and safety training for poll workers and protocols in place at in-person voting locations.
- A statewide communications and outreach effort to inform voters of the changes in election procedures to vote safely.
- Recruiting poll workers statewide in an effort to assist all county election offices to replace the many traditional older workers who are unable or unwilling to be poll workers due to their higher-risk of contracting COVID-19.
- Identification and procurement of new sites for in-person voting locations that offer the necessary space for physical distancing while voting.
- Personal protective equipment for all 58 counties for use by election workers and voters.

Based upon the EAC issued Guidance which included OMB guidance that addressed the use of HAVA funds for expenditures, including those necessary to protect the health and safety of poll workers, voters, and staff in conducting the November election, Omnibus Appropriations Act of 2018 funding, Consolidated Appropriations Act of 2020 funding, Coronavirus Aid, Relief, and Economic Security Act (CARES Act) funding, and state General funds were requested through the legislative budget process to prepare for and respond to the COVID-19 pandemic for the November 3, 2020 General Election.

Accordingly, in the last quarter of the reporting period, state and county contracts were issued for COVID-19 support to prevent, prepare for, and respond to coronavirus in the November 3, 2020 General Election. The support included county and state support for costs associated with conducting the election in the face of a pandemic including such things as the higher level of voting by mail, ensuring accessibility by all populations, acquiring additional secure ballot drop boxes, staff and poll worker training on cleaning and prevention processes, notifying and educating the public of voting process changes and requirements, acquiring personal protective equipment for election workers and voters, additional staffing costs, cyber and physical security, specialized training of staff and election workers, cleaning and disinfection, and polling locations or election facilities.

11. Provide a timeline and description of project activities funded to meet HAVA requirements. Provide an analysis of how such activities conform to the submitted State Plan or Program Narrative as applicable.

The HAVA election security funding was planned for and used for activities consistent with approved grant activities including the enhancement of technology and making election security improvements as follows: (1) cyber security contracts were provided to California's 58 counties; (2) state security enhancements; (3) vote center contracts were provided to counties; (4) polling place accessibility contracts; (5) a risk limited audit tool and associated guidelines and regulations were provided for county use for the November 2020 election; and (6) personnel costs were accrued and paid during the reporting period.

In the last quarter of the reporting period, state and county contracts were issued for COVID-19 support to prevent, prepare for, and respond to coronavirus in the November 3, 2020 General Election. COVID-19 contracts were provided to California's 58 counties in July 2020 for costs associated with conducting the election in the face of a pandemic including the higher level of voting by mail, ensuring accessibility by all populations, acquiring additional secure ballot drop boxes, staff and poll worker training on cleaning and prevention processes, notifying and educating the public of voting process changes and requirements, acquiring personal protective equipment for election workers and voters, additional staffing costs, cyber and physical security, specialized training of staff and election workers, cleaning and disinfection, and polling locations or election facilities. Contracts were issued for state activities for conducting the November 3, General Election in the face of the COVID-19 pandemic including costs associated with sending every active, registered voter in California receiving a vote-by-mail

ballot, providing all California voters the ability to track their vote-by-mail ballot, providing sufficient options for returning vote-by-mail ballots and in-person voting opportunities, creating and providing extensive health and safety training for poll workers and protocols in place at in-person voting locations, conducting a statewide communications and outreach effort to inform voters of the changes in election procedures to vote safely, recruiting poll workers statewide in an effort to assist all county election offices to replace the many traditional older workers who are unable or unwilling to be poll workers due to their higher-risk of contracting COVID-19, identifying and procuring new sites for in-person voting locations that offered the necessary space for physical distancing while voting, and procuring personal protective equipment for all 58 counties for use by election workers and voters.

12. Describe any significant changes to your program during the course of the project, or if the project was implemented differently than described in your original State Plan or Program Narrative.

Otherwise enter - no significant changes during this period.

As described above, as COVID-19 emerged in January and February 2020, assessment of needs and planning began. Beginning in early March, the California Secretary of State convened on a daily basis a working group of California's 58 county elections officials, legislators, the Governor's office, voting rights advocates, disability rights advocates, data and policy experts, and other stakeholders to adopt new strategies and enact new laws to protect California voters and election workers in the November 3, 2020 General Election.

Based upon the EAC issued Guidance which included OMB guidance that addressed the use of HAVA funds for expenditures, including those necessary to protect the health and safety of poll workers, voters, and staff in conducting the November election, Omnibus Appropriations Act of 2018 funding, Consolidated Appropriations Act of 2020 funding, Coronavirus Aid, Relief, and Economic Security Act (CARES Act) funding, and state General funds were requested through the legislative budget process to prepare for and respond to the COVID-19 pandemic for the November 3, 2020 General Election.

Accordingly, in the last quarter of the reporting period, state and county contracts were issued for COVID-19 support to prevent, prepare for, and respond to coronavirus in the November 3, 2020 General Election.

13. Describe any favorable developments which enabled meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

Otherwise enter N/A.

N/A

14. Report on the number and type of articles of voting equipment obtained with the funds. Include the amount expended on the expenditure table.

Otherwise enter - No articles of voting equipment purchased during this period.

Counties were reimbursed for obtaining the following voting equipment during the reporting period:

- o Two Dominion Voting Systems Central Tabulators.
- o Two Hart Intercivic Central Tabulators.

15. Provide a description of any security training conducted and the number of participants.

Otherwise enter - no security training conducted during this period.

In January 2020, cyber security contracts were provided to California's 58 counties. Under these contracts, counties are allowed to submit claims for reimbursement for the implementation of cyber security safeguards and associated infrastructure enhancements to protect against cyber risks and vulnerabilities. As a condition of receiving funds under the contract, counties must conduct a security assessment and conduct security awareness training for all staff. Training must include cyber security best practices, including how to recognize a phishing email, creating and maintaining strong passwords, utilizing multi-factor authentication, and avoiding dangerous applications.

In addition, the Secretary of State's Office conducted the following trainings for county and state election officials on security related topics during the reporting period:

- o In October of 2019 the SOS hosted a custom-built tabletop exercise in regions throughout the state attended by over 200 local, state, and federal participants. The tabletop exercise was a compressed time simulation-style training where participants were given roles and required to respond to a variety of Election Day security challenges from misinformation to coordinated cyberattacks to physical destruction of property.
- o In mid-July of 2020 the SOS partnered with Defending Digital Democracy (D3P) a project of Harvard's Belfer Center for a weeklong training attended by 103 state and local officials which covered operations management, incident tracking, crisis communications, information operations, and COVID-19 related special topics. The training was a mix of lectures and small group tabletop exercises.
- o In late July the SOS coordinated attendance of 99 state and county elections officials at the CISA hosted National Tabletop the Vote exercise sessions. Three sessions were held that covered cybersecurity, misinformation, communications, and physical security.
- o In August the SOS partnered with the California Office of Emergency Services (CalOES) to provide 32 state and local election officials a training on how to update a continuity of operations plan. The training consisted of a lecture followed a week later by a tabletop exercise. The lecture covered operation analysis, identifying critical functions, and activation planning. Participants were asked to review their existing plans prior to participating in the exercise. The exercise covered election specific operations disruptions and participants considered how well their plans addressed the scenarios.

16. Subgrants (if applicable):

Describe how you made funds available to local jurisdictions.

Provide a description of the major categories of subgrant activities local voting districts will accomplish with the funds.

Otherwise enter N/A.

Funds were made available to California's Counties in the form of county contracts. Under these contracts, counties are allowed to submit claims for reimbursement for: implementation of cyber security safeguards and associated infrastructure enhancements to protect against cyber risks and vulnerabilities, improving the administration of elections through the implementation of vote centers and associated voting process enhancements, improving polling place accessibility, and for COVID-19 support to prevent, prepare for, and respond to coronavirus in the November 3, 2020 General Election for costs including the higher level of voting by mail, ensuring accessibility by all populations, acquiring additional secure ballot drop boxes, staff and poll worker training on cleaning and prevention processes, notifying and educating the public of voting process changes and requirements, acquiring personal protective equipment for election workers and voters, additional staffing costs, cyber and physical security, specialized training of staff and election workers, cleaning and disinfection, and polling locations or election facilities.

17. Match (if applicable):

Describe how you are meeting the matching requirement.

Otherwise enter - match not required.

California authorized \$46.1 million in the FY 20-21 state General Fund budget to satisfy the match requirement.

18. Issues Encountered:

Describe all major issues that arose during the implementation of the project and the reasons why established goals were not met, if appropriate. Address each issue separately in its own section, and describe whether and how the issues were resolved. Also, briefly discuss the implications of any unresolved issues or concerns.

Otherwise enter - no issues encountered.

No issues encountered

19. Upcoming Activities:

Provide a timeline and description of upcoming activities.

In the next reporting period covering October 1, 2020 – September 30, 2021, the Secretary of State will continue administering the above described contracts, monitoring activities, and entering into contracts planned for the next fiscal year as well as other activities authorized under the grant provisions.

5. Expenditures

20. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES

	Federal	Match
Voting Equipment:	\$3,809,061.14	\$493,174.29
Post-Election Auditing:	\$91,910.96	\$11,900.08
Voter Registration Systems:		
Cyber Security:	\$431,679.86	\$55,891.31
Communications:		
Total	\$4,332,651.96	\$560,965.67
Establish toll-free hotlines to report voter fraud/violations to report voting irregularities and to obtain election information Accessibility-related services: Including improving accessibility and quantity of polling places:	\$468,714.67	\$60,686.35

OMB CONTROL NUMBER: 3265-0020

6. Certification

Name and Contact of the authorized certifying official of the recipient.

First Name

Daniel

Last Name

Onodera

Title

VoteCal Project Manager

Phone Number

Email Address

Signature of Certifying Official:

A handwritten signature in black ink, reading "Daniel Onodera". The signature is written in a cursive style with a large initial "D" and "O".

Signature of: Daniel Onodera

7. Report Submitted to EAC



Thank you, your progress report has been submitted to EAC. Please keep the PDF download of your submission as grant record.
