

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) CA20101CARES			
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 <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final				7. Basis of Accounting <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual			
8. Project/Grant Period (Month, Day, Year) From: March 28, 2020 To: December 31, 2020				9. Reporting Period End Date (Month, Day, Year) December 31, 2020			
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				\$36,485,465.00			
b. Cash Disbursements				\$5,070,078.00			
c. Cash on Hand (line a minus b)				\$31,415,387.00			
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized				\$36,485,465.00			
e. Federal share of expenditures				\$5,070,078.00			
f. Federal share of unliquidated obligations				\$31,415,387.00			
g. Total Federal share (sum of lines e and f)				\$36,485,465.00			
h. Unobligated balance of Federal funds (line d minus g)				\$0.00			
Recipient Share:							
i. Total recipient share required				\$7,297,093.00			
j. Recipient share of expenditures				\$7,297,093.00			
k. Remaining recipient share to be provided (line i minus j)				\$0.00			
Program Income:							
l. Total Federal share of program income earned				\$0.00			
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)				\$0.00			
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 Yang, Fan Accounting Administrator I (Supervisor)					c. Telephone (Area code, number, and extension) d. Email Address		
b. Signature of Authorized Certifying Official Yang, Fan					e. Date Report Submitted (Month, Day, Year) March 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/OIG/PHR, 200 Independence Ave, SW, Suite 336-E, Washington DC 20201. Attention: PHR Reports Clearance Officer

FEDERAL FINANCIAL REPORT

(Additional Page)

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID : CA20101CARES

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

DUNS Number :

EIN :

Reporting Period End Date : December 31, 2020

Status : Awarding Agency Approval

Remarks : State Interest Earned: \$0
State Interest Expended: \$0
Program Income Earned (this is not Federal Interest): \$0
Program Income Earned Breakdown: N/A
Program Income Expended: \$0.

Federal Agency Review

Reviewer Name :
Phone # :
Email :
Review Date :
Review Comments :

EAC Progress Report

Response ID:184 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

reCAPTCHA

reCAPTCHA answered

3. EAC Progress Report

1. State or Territory:

California

2. Grant Number:

CA20101CARES

3. Report:

CARES (Off-cycle report only due February 28, 2021)

4. Grant:

Please select only one.

CARES

5. Reporting Period Start Date

03/28/2020

6. Reporting Period End Date

12/31/2020

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. CARES Grant Specific:

Describe how you used the funds to address the pandemic.

In order to prepare for and respond to the coronavirus or COVID-19 pandemic, \$36,485,465.00 was allocated through the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) to California. California's primary election was held March 3, 2020, therefore no CARES Act funds were used to conduct the March 3, 2020 Primary Election.

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 were 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, 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, 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. Describe the major issues you faced in dealing with the pandemic in the election cycle.

Conducting the November 3, General Election in the face of the COVID-19 pandemic presented many challenges. These challenges included keeping voters and election workers safe, communicating changes in voting processes to voters, finding sufficient numbers of election workers, and procuring sufficient numbers of appropriately sized locations for in-person voting.

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

Due to safety and public health concerns related to the COVID-19 pandemic, the California Secretary of State, in coordination with Governor Newsom, the California Legislature, and all 58 California county election officials collaborated to adopt new strategies and enact new laws to protect the health and safety of Californians while maintaining the accessibility and security of the November 3, 2020 General Election.

These efforts ensured that every active, registered voter in California received a vote-by-mail (VBM) ballot, all California voters had the opportunity to sign up for SMS, email, and phone notifications on the status of their VBM ballot; over five million California voters tracked their ballot for the November 3, 2020 General Election. Voters were provided options for safely returning their ballots to their county elections office such as in-person voting locations, ballot drop boxes, and the USPS (California provides postage pre-paid on ballot return envelopes to VBM voters).

In-person voting opportunities were made available with sufficient and appropriate health and safety protocols in place to ensure voters could safely receive assistance or cast their ballot. Extensive training on safety guidelines and protocols were made available to poll workers and election workers for all California counties. This training included the creation and implementation of an online COVID-19 process and procedures curriculum for election workers. An education and outreach effort was undertaken to inform voters of the changes in election procedures and how to vote safely. A new online portal was created to recruit poll workers statewide in an effort to assist all California county election offices who needed to replace the traditionally older workers who were unable or unwilling to volunteer for the General Election due to COVID-19.

Personal Protective Equipment (PPE) was procured for all 58 California counties for use by elections workers and voters. Working group meetings were held daily and weekly with county election officials, the SOS, the US Postal Service (USPS), community groups, and stakeholders to prepare, plan, troubleshoot, and provide resources for the challenges faced due to COVID-19. A statewide situation room for county, state, and federal partners was established to communicate issues and concerns during early voting and on election day. Multiple cyber security exercises and continuity trainings were conducted, and information was shared on a variety of issues quickly and efficiently.

County contracts were issued for COVID-19 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. These county contracts expired December 31, 2020.

13. 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.

All activities funded conform to the program narrative relative to the CARES Act funding and were necessary to conduct the November 3, 2020 General Election in the face of the COVID-19 pandemic:

- March 2020 – November 2020: PPE equipment for election workers and voters was procured and distributed.
- August 2020 – November 2020: Education and outreach activities to educate voters on changes in voting processes for the November General Election and how to vote safe in the November election.
- April 2020 – November 2020: In-person voting locations were planned, procured and implemented by county officials. Additional costs were incurred for procuring the sites, routine sanitizing of locations (including deep cleaning often required

- by site owners prior to and following the election), staffing the locations with appropriate physical distancing.
- June 2020 – November 2020: Counties procured additional ballot printing services and ballot sorting equipment and added staffing resources to meet the higher VBM ballot costs for the November General Election.
 - June 2020 – November 2020: Extensive training on safety guidelines and protocols.
 - June 2020 – November 2020: Online portal to recruit poll workers statewide was designed, created and implemented.

14. 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.

No significant changes during this period.

15. 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

16. 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.

- Two Voting System Tabulators - ImageCast Central Kit – HSS (7070)
- Five ballot marking devices – ATI-30U, Audio Tactile Interface
- Seventy central scanners – Hart Intercivic Verity Scan

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

Otherwise enter - no security training conducted during this period.

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

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.

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.

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.

18. 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 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.

19. 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.

20. 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.

21. Upcoming Activities:

Provide a timeline and description of upcoming activities.

In the next reporting period covering March 28, 2020 – December 31, 2020, the Secretary of State will continue reconciliation activities for COVID-19 related funding and activities.

5. Expenditures

22. Current Period Amount Expended and Unliquidated Obligations

CARES COST CATEGORIES

	Federal	Match
Voting Processes:	\$3,765,754.82	\$753,150.96
Staffing:	\$8,113,179.17	\$1,622,635.83
Security and Training:	\$644,933.14	\$128,986.63
Communications:	\$14,928,023.22	\$2,985,604.65
Supplies:	\$9,033,574.65	\$1,806,714.93
Total	\$36,485,465.00	\$7,297,093.00

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:



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.