

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) | | | |
| 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, 2020 | | | | 9. Reporting Period End Date (Month, Day, Year) September 30, 2021 | | | |
| To: 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 | | | | | \$30,787,250.18 | | |
| c. Cash on Hand (line a minus b) | | | | | \$5,698,214.82 | | |
| <i>(Use lines d-o for single grant reporting)</i> | | | | | | | |
| Federal Expenditures and Unobligated Balance: | | | | | | | |
| d. Total Federal funds authorized | | | | | \$36,485,465.41 | | |
| e. Federal share of expenditures | | | | | \$30,726,240.85 | | |
| f. Federal share of unliquidated obligations | | | | | \$381,523.00 | | |
| g. Total Federal share (sum of lines e and f) | | | | | \$31,107,763.85 | | |
| h. Unobligated balance of Federal funds (line d minus g) | | | | | \$5,377,701.56 | | |
| Recipient Share: | | | | | | | |
| i. Total recipient share required | | | | | \$7,297,092.88 | | |
| j. Recipient share of expenditures | | | | | \$7,297,092.88 | | |
| 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: "Please provide the following information: | | | | | | | |
| 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) | | | |
| b. Signature of Authorized Certifying Official Yang, Fan | | | | d. Email Address | | | |
| e. Date Report Submitted (Month, Day, Year) December 29, 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

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(Additional Page)

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID

Recipient Organization : CALIFORNIA SECRETARY OF STATE

DUNS Number : ACTIVE (as of 12/29/2021)

DUNS Status when Certified

EIN : September 30, 2021

Reporting Period End Date : Awarding Agency Approval

Status : "Please provide the following information:

Remarks

State interest earned (current fiscal year): \$0
State interest expended (current fiscal year): \$0
Program income earned (current fiscal year): \$0
Program income earned breakdown (current fiscal year): \$0 Source: e.g. Sale of registration list
Program income expended (current fiscal year): \$0
"

Federal Agency Review

Reviewer Name
Phone #
Email
Review Date
Review Comments

2021-2022 EAC Progress Report

3. EAC Progress Report

1. State or Territory:

California

2. Grant Number:

3. Report:

Annual (Oct 1 - Sept 30)

4. Grant:

CARES

5. Reporting Period Start Date

10/01/2020

6. Reporting Period End Date

09/30/2021

4. Progress and Narrative

7. CARES Grant Specific:

Describe in detail how you used the funds to address the pandemic.

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

This included:

- 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.

8. Describe the major issues you faced in dealing with the pandemic and how you addressed or resolved those issues.

California faced many challenges due to the COVID-19 pandemic during the 2020 General Election which included:

- Ensuring every registered voter was able to vote safely: To address this, each active registered voter received a vote-by-mail ballot, voters were provided multiple safe and secure options returning their ballots, health and safety protocols were established, training on health guidelines and protocols was made available to election workers, and personal protective equipment for voters and election workers was provided.
- Ensuring the health and safety of election workers: To address this, health and safety protocols were established, training on health guidelines and protocols was made available to election workers, and personal protective equipment for all voters and election workers was provided.
- Recruiting election workers in the face of COVID-19: To address this, the Secretary of State worked closely with county election officials to utilize emergency workers, and the Secretary of State developed a new online portal to recruit poll workers statewide for each county.
- Finding voting locations: To address this, the Secretary of State worked closely with state and regional businesses and large sports venues to secure appropriately sized locations for physical distancing while maintaining other important criteria for voting locations such as availability of parking, accessibility for differently abled voters, access to public transportation, and more.
- Fighting misinformation and disinformation: A statewide situation room for counties, state and federal partners was created so that issues and concerns were timely identified and responded to.

9. Provide a description of any training conducted, including security training.

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.

10. Subgrants:

Did your office provide subawards to local jurisdictions during this reporting period?

Yes

11. Describe the activities carried out by your subgrantees during the reporting period.

In order for California counties to conduct the November 3, 2020 General Election in the face of COVID-19, contracts were awarded to all 58 counties to cover increased costs associated with: additional vote-by-mail (VBM) costs, staffing, security, specialized training of staff and election workers, cleaning and disinfecting, personal protective equipment, education and outreach to voters about voting safely, and polling locations or election facilities.

Provide a breakdown of aggregate subawards expenditures across major categories.

Security : \$55,492.01

Voting Equipment : \$6,007,565.57

Communications : \$10,736,704.78

Total : \$16799762.36

12. Match:

Describe how you are meeting or have met the matching requirement.

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

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

- 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

5. Expenditures

14. CARES COST CATEGORIES - FEDERAL

Voting Equipment and Processes: : \$4242485

Voter Education/Communications: : \$9922739

Staffing: : \$142778

Subgrants: : \$16799762

Total : \$31107764

Comments:

15. CARES COST CATEGORIES - MATCH

Voting Equipment and Processes: : \$945875

Voter Education/Communications: : \$2000214

Staffing: : \$28556

Subgrants: : \$4322449

Total : \$7297094

Comments:

7. Expenditures

16. Confirm Total CARES Expenditure Amounts

Federal : \$31,107,763.85

Match : \$7,297,093.00

Total : \$38404856.85

OMB CONTROL NUMBER: 3265-0020

8. Certification

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

First Name

Jessica

Last Name

Arriola Godina

Title

HAVA Coordinator

17. Add another contact to send a copy of submission confirmation and edit link?

Yes!

18.

First Name

Susan

Last Name

Lapsley

Title

HAVA Director

Email Address

Signature of Certifying Official:



Signature of: Jessica Godina

9. Report Submitted to EAC



Thank you. Your Annual (Oct 1 - Sept 30) progress report for CARES has been submitted to the EAC. Please keep the PDF download of your submission as grant record.