

**CALIFORNIA PUBLIC UTILITIES
COMMISSION**

**ADMINISTRATIVE MANUAL
For
California Advanced Services Fund
Broadband Adoption Account
Grant Program**

Version: July 05, 2018



To all CASF Adoption Grant Applicants and Recipients:

The California Public Utilities Commission (CPUC or the Commission) thanks you for your interest in promoting broadband access and adoption in California. We welcome you to the California Advanced Service Fund (CASF) Program and look forward to working with you.

Respectfully,

The CASF Team
CPUC Communications Division

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Appendix 1 – Broadband Adoption Account, Reporting Template

I. Introduction

This Administrative Manual describes the requirements and processes for requesting project fund reimbursements for projects already approved from the CASF Broadband Adoption Account (Adoption Account). This Administrative Manual also provides the templates for project reporting, and outlines the Communications Division's (CD) expectations for performance oversight of the individual programs applicable to grant recipients. This document is intended for Adoption Account grant recipients, or for prospective applicants who wish to better understand the regulatory processes and reporting requirements post grant approval. For information on how to apply for the Adoption Account grant, please visit the CASF [Adoption Account](#) webpage.

We encourage each recipient to review the pertinent information under which the Adoption Account program operates, including Commission [Decision \(D\) 18-06-032](#) which establishes the guidelines for applying, selecting, and administering the Adoption Account. We also encourage recipients to familiarize themselves with the Adoption Account operations in relation to the three other CASF programs including:

- [Broadband Infrastructure Grant](#),
- [Broadband Consortia Account](#), and
- [Broadband Public Housing Account](#)

For more information, please visit the [Adoption Account](#) program website, or send an email to CASF_Adoption@cpuc.ca.gov.

II. CASF Contact

For questions related to the CASF programs, please send an email to:

Selena Huang, xiaoselena.huang@cpuc.ca.gov

CASF Access & Adoption Section Supervisor

415.703.5247

OR

- Broadband Infrastructure Grant Account,
CASF_Application_Questions@cpuc.ca.gov
- Rural and regional Urban Consortia Account,
CASF_Consortia_Grant_Administrator@cpuc.ca.gov
- Broadband Public Housing Account,
CPUC_Housing@cpuc.ca.gov
- Broadband Adoption Account,
CASF_Adoption@cpuc.ca.gov

For questions related to the CPUC's broadband mapping efforts, please send an email to:

Rob Osborn,

Broadband Deployment Administrator

robert.osborn@cpuc.ca.gov

916-327-7788

OR

Owen Rochte

owen.rochte@cpuc.ca.gov

415-703-5469

III. Applying for Grant Funds

For information on how to apply for the Adoption Account grant, please visit the [Adoption Account](#) program webpage for instructions and application forms.

IV. Payee Data Record

Upon an application's approval, the grantee will have received an email from the Commission requesting the grantee to complete and submit a [Payee Data Record \(STD 204\)](#) if one is not already on file with the Commission. A completed STD 204 is required when receiving payment from the State of California and information provided in this form will be used by the CPUC to prepare Information Returns, i.e. Internal Revenue Service, Form 1099.

V. Performance

All tasks, performances, and milestones specified under the terms of any award shall be completed on or before the completion of the project. The Commission may withhold or terminate grant payments if the grantee does not comply with any of the requirements set forth in its application and compliance with the CASF. Should the grantee fail to commence work by the end of the ramp up period (6 months from grant approval), or fail to complete the project within the 24-month period after the ramp up period, the Commission may terminate the award. In the event that the grantee fails to complete the project, in accordance with the terms of approval ordered by the Commission, the grantee will be required to reimburse some or all of the CASF funds that it has received.

VI. Changes to a Grantee's Project

Any changes to the substantive terms and conditions underlying Commission approval of the grant (e.g., changes to the Work Plan, or Budget, etc.) must be communicated in writing to the Director of CD at least 30 days before the anticipated change, and may be subject to approval by either the Director or by Commission resolution before becoming effective.

VII. Reporting

Three reports will be required throughout the course of the project. Please see Appendix 1 for the reporting template.

- A. Ramp-up Period Report: A Ramp-up Period Report is required after completion of the ramp up activities and when deployment is set to begin. This report must be submitted no later than 3

months after the completion of the ramp up activities. In this report, grantees will report on the completion of the ramp up activities per the work plan, milestones met, and will also request payment for relevant expenses to date. The ramp up period may not exceed 6 months from the time the application is approved.

B. Year 1 Progress Report: The Year 1 Progress Report is required at the end of the first year of deployment. This report must be submitted no later than 3 months after the end of the first year of deployment. In this report, grantees will report on the status of Year 1 milestones per the work plan, as well as request payment for relevant expenses to date.

C. Year 2 Completion Report: The Year 2 Completion Report is required at the end of the 24-month period, or after the work plan milestones/deliverables have been accomplished if earlier than the 24-month period. This report must be submitted no later than 3 months after completion of the project. In this report, grantees will report on the completion of the overall project, milestones met per the work plan, and will also request payment for final and remaining relevant expenses.

Grantees must maintain files, invoices, and other related documentation for three years after final payment. Grantees shall make these records available to the Commission upon request and agree that these records are subject to audit, verification and discovery by the Commission at any time within three years after the grantee incurred the expense being audited.

VIII. Payment Requests and Disbursement of Funds

Grantees must submit payment requests along with the relevant Report (Ramp-up Report, Year 1 Progress Report, and Year 2 Completion Report) to CD. Disbursements of grant funds will be made directly to the grantee. . All requested reimbursements must be allocated to activities/goals approved in the Work Plan and be supported by attaching relevant invoices. Please note the following additional requirements:

- A. Payment requests must be submitted with the relevant Report and must be submitted no later than 3 months after the competition of the relevant phase. Please note that for the Ramp-up and Year 1 reports and payment periods, payments will only be made for expenses to date, and will be evaluated based on the grantee meeting the milestones set out in the work plan.
- B. Payment will be based upon receipt and approval of invoices and other supporting documents showing the expenditures incurred for the project are in accordance with their application.
- C. Grantees must notify the Commission as soon as they become aware that they may not be able to meet project deadlines.
- D. Payment will be made in accordance with, and within the time specified in California Government Code § 927 et seq.
- E. The Commission has the right to conduct any necessary audit, verification, and discovery during project implementation to ensure that CASF funds are spent in accordance with the terms of approval granted by the Commission.

IX. Reimbursement Limits and Criteria

- A. ***Up to 85% Reimbursement:*** The Commission may fund up to 85 percent of the total project costs. The remaining 15% must be matched by other funding sources. This may include self-funding from the grantee’s organization or matched by other sources (non-CASF moneys).
- B. ***Computing devices:*** Reimbursement for computing devices used in community training rooms or other public space, such as local government centers, senior centers, schools, public libraries, nonprofit organizations, and community-based organizations, is limited to \$750 per device, with a cap of 15 devices per designated space or project. For Digital Literacy Projects, only households that participate in the Supplemental Nutritional Assistance Program, the National School Lunch Program, or the Women, Infants, and Children Program are eligible to receive computing devices to take home after completing digital literacy training courses. Reimbursement for take-home computing devices is capped at \$150 per device, limited to one computing device per eligible household, and limited to \$10,000 per application/project location. Grantees should ensure proof of eligibility in their distribution of computing devices for households. Grantees may use other funding sources to cover expenses above this reimbursable limit.

C. ***Travel Reimbursement Level:*** Grantees may claim reimbursement for travel expenses related to performing marketing, education and outreach efforts for the specific project. The maximum reimbursement is 10% of the grant amount and is limited to expenses associated with the mode of transportation, or mileage traveled. Non-Reimbursable expenses include, but are not limited to meals, food and travel related to working on proposed state legislation, lobbying, etc.

D. ***Travel Guidelines:*** Grantees must complete a [Travel Expense Claim Form STD-262A](#) when requesting travel reimbursement and follow the instructions and reimbursement guidelines therein. The allowable rates/costs are those negotiated and approved under the collective bargaining agreements that are in use by State employees.

X. Submission of Reports and Payment

The Reports and Payment Requests must be submitted electronically to:

CASF_Adoption@cpuc.ca.gov. The Commission's firewall may prevent grantees from successfully sending large electronic data files over standard email services. Using the secure FTP Server will allow you to send files up to 2 GB in size. Go to: <https://cpucftp.cpuc.ca.gov/> to initiate new user registration using your email address and follow the steps to complete your account set up. Thereafter, you can go to the above hyperlinked site, log in, attach files, and send them to CASF_Adoption@cpuc.ca.gov.

XI. Payment Processing

The Adoption Grant Administrator will review the payment requests, as compared to the grantee's approved budgets, as well as the milestones met as set out in the Work Plan. Additional information may be requested regarding the report, expenses, and/or supporting documentation if needed. Upon approval, the Adoption Grant Administrator will submit payment voucher documents to the Commission's Fiscal Office. The Fiscal Office will review all payment voucher submissions in accordance to State Administrative Manual (SAM); and upon satisfactory review, will schedule payment with the State Controller's Office (SCO), which is responsible for issuing and distributing the check to the grantee.

XII. Publicity and Acknowledgment

Any publications, studies, or reports made possible or derived in whole or in part from the project, and any news articles, brochures, seminars, or other promotional materials or media through which the grantee publicizes the Project will acknowledge the CASF's Adoption program in the following manner:

“Funding for this project has been provided in part through a grant by the Broadband Adoption Account of the California Advanced Services Fund, a program administered by the California Public Utilities Commission.”

Appendix 1
Broadband Adoption Account
Reporting Template

[Grantee Name]

[Project Name]

[Report Name (Ramp Up, Year 1 Progress, or Year 2 Completion)]

[Date of Grant Approval]

[Date of Report]

Total Award Amount for Project	
Payment Request for this Period	
CASF Adoption Payments received to date (\$):	
Project Completion Date (MM/DD/YY):	
Certification: I, the undersigned, am a legal representative of the Applicant, and declare under penalty of perjury under the laws of the State of California that, to the best of my knowledge, all of the statements and representations made in this Report are true and correct.	Name: Signature:

Project Overview and Summary of Progress

1. Provide a high level description of the project and the overall goals the project wishes to achieve (including number of participants to be trained or provided access).
2. Provide a description of the demographic makeup of the population the project serves/ intends to serve, the current adoption level, the current barriers to adoption, and how this project is increasing adoptions.

<p>3. Identify whether the expenses for this period, and the reimbursement being requested are at or below the application approved amount. If the requested reimbursement is above the application approved amount, detail why and provide justification for the increase expenses.</p>
<p>4. For Digital Literacy Projects, provide a description of the classes offered during this period, including course length (if beyond the required 8 hour training), subject matter, and whether the proposed participation rate and course completion rate was met. (NA for Ramp Up Report)</p>
<p>5. For Broadband Access projects, describe the type of access provided, the number of hours access was provided (hours of operation on a daily, weekly, or monthly basis), and whether the proposed participation rate was met. (NA for Ramp Up Report)</p>
<p>6. Provide the number of new subscriptions that resulted from the project for this period. (NA for Ramp Up Report)</p>
<p>7. For each milestone laid out in the approved work plan, identify whether all the milestones/</p>

goals set for this period were achieved.(Refer back to Tab 0 in Attachment 1) Describe any additional project accomplishments for this reporting period.

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8. If any of the specific goals or milestones set for this period were not met, explain why.

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9. Provide a summary of all the outreach efforts made during this reporting period including any travel that was required.

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10. For all outreach efforts made during this reporting period, specify whether these efforts led to increased enrollments or participation in the project.

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11. Describe any partnerships formed with other organizations. Include a description of the partner's mission, and their role within the project (financial or not). The Commission encourages grantees to coordinate with other agencies and leverage project funds from other non-CASF sources.

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12. If applicable, identify whether any changes or diversions from the approved work plan or budget are anticipated before the completion of the project. This includes any anticipated delays to the schedule or completion of project. If so, explain. Please refer to Section VI of the Administrative Manual on how to address any changes to the substantive terms and conditions of the approved grant.
13. Identify any challenges that were met during the course of the project during this period, and the planned course of action to address the challenge.
14. Identify any unexpected benefits observed during the course of the project during this period, if any.

Attachment 1
Broadband Adoption Account
Budget Details and Payment Request

Please See Excel Form for the Budget Details and Payment Request Template.

Attachment 2
Broadband Adoption Account
Supporting Documentation

Include all supporting documentation, including invoices to support the reimbursement being requested for this period as PDF documents, labeled Attachment 2 to this Report.