

**CALIFORNIA PUBLIC UTILITIES  
COMMISSION**

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

Version: 2.2  
September 10, 2021



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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## I. Introduction

The purpose of this Administrative Manual is intended solely for providing guidance for grant recipients regarding the requirements and processes for requesting project fund reimbursements for projects already approved from the CASF Broadband Adoption Account (Adoption Account) and for the Communications Division's (CD) oversight of the operations applicable to grant recipients.<sup>1</sup>

This Administrative Manual also provides the templates for project reporting and outlines CD's expectations for performance oversight of the individual programs applicable to grant recipients.

We encourage each recipient to review the pertinent information under which the Adoption Account program operates, including Commission Decision ([D.\) 19-02-008](#) which establishes the guidelines for applying, selecting, and administering the Adoption Account. For more information, please visit the [Adoption Account](#) program website, or send an email to [CASF\\_Adoption@cpuc.ca.gov](mailto:CASF_Adoption@cpuc.ca.gov)

Recipients may also 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](#)

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<sup>1</sup> This Administrative Manual was prepared by California Public Utilities Commission (CPUC) CD staff. It does not change, replace, or waive any of the rules or guidelines adopted in D.19-02-008 on March 1, 2019 nor has the CPUC passed upon the accuracy or adequacy of the information in it. The contents of the manual are for informational proposed only.

## **II. CASF Staff Team**

The CD CASF Team is responsible for overseeing the CASF programs. Questions may be directed to the following:

- Broadband Infrastructure Grant Account,  
[CASF\\_Application\\_Questions@cpuc.ca.gov](mailto:CASF_Application_Questions@cpuc.ca.gov)
- Rural and regional Urban Consortia Account,  
[CASF\\_Consortia\\_Grant\\_Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov)
- Broadband Public Housing Account,  
[CPUC\\_Housing@cpuc.ca.gov](mailto:CPUC_Housing@cpuc.ca.gov)
- Broadband Adoption Account,  
[CASF\\_Adoption@cpuc.ca.gov](mailto:CASF_Adoption@cpuc.ca.gov)

For questions specific to the CASF Adoption Account, you may contact the CASF Access & Adoption Section Supervisor:

James Tang, [james.tang@cpuc.ca.gov](mailto:james.tang@cpuc.ca.gov)  
415.703.1970

## **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 and Consent Form**

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 and to complete and sign a consent form (which will be provided) and submit it to 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.

The Consent Form binds the grant recipient to the terms, conditions, and requirements of both the authorizing Decision and the approval document (either a Commission resolution awarding the grant or the award letter, if approved by CD staff). The Consent Form details the goals and metrics set forth by the grantee in their application; all reimbursements will be made based on the grantee meeting these goals and metrics. The approved budget is also generally described. A completed and executed consent form must be emailed to [CASF\\_Adoption@cpuc.ca.gov](mailto:CASF_Adoption@cpuc.ca.gov) within 30 calendar days from the date of the adoption of the Resolution or award letter. Failure to submit the consent form within the stated timeframe will deem the grant null and void.

## **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. Grantees must notify the Commission as soon as they become aware that they may not be able to meet project deadlines. 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 Work Plan or Budget**

Any changes to the entries of the application underlying Commission approval of the grant (as set forth in the Resolution or Approval Letter) must be communicated in writing to the Director of the Communications Division. Grantees are expected to report at least 30 days before the anticipated change and may be subject to approval by the Director or by Commission resolution before becoming effective.

## **VII. Reporting**

Up to three reports will be required throughout the course of the project. For reporting, grantees must use the [Broadband Adoption Account Reporting Template](#) Word document for a narrative description of project activities and accomplishments and the [Broadband Adoption Account Budget Details and Payment Request](#) Excel workbook to report on the status of the reporting period milestones per the work plan, as well as request payment for relevant expenses to date.

### Ramp-up Period Report (if applicable)

A Ramp-up Period Report is required after completion of the ramp up activities and when deployment is set to begin, if applicable. 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.

### 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 (this report is not required if the project is completed within 12 months after the ramp-up period or with prior approval of CD staff if completion date is within 15 months after the ramp-up period).

### Year 2 Completion Report

The Year 2 Completion Report is required at the end of the 24-month period after ramp-up 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 (using the address provided in the completed STD 204). 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. Facility rent, utilities, internet service costs, food costs, lodging, marketing incentives for participation (gift cards, giveaways, etc.), certain classroom supplies and accessories, and other items not listed in Section 1.6 of Appendix 1 of (D.) 19-02-008 are not eligible for reimbursement.
- D. Grantees must notify the Commission as soon as they become aware that they may not be able to meet project deadlines.
- E. Payment will be made in accordance with, and within the time specified in California Government Code, § 927 et seq.

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 eligible project costs. The remaining 15% must be matched by other funding sources. Payment requests for Ramp-up costs may not exceed 25% of the total award amount.
- B. ***Performance-based reimbursement:*** Grant funding is approved based on the participation goals as stated in the grantee's application. All reimbursements will be made based on the grantee meeting those goals.
- C. ***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 with incomes at or below the thresholds required to participate in the California



Alternative Rates for Energy (CARE), 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.

D. ***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.

E. ***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 application and Work Plan. Additional information may be requested regarding the report, expenses, and/or supporting documentation if needed which may include evidentiary exhibits such as class sign-in sheets, photographs of participants engaged in learning activities, lists and pictures of computing devices (including serial numbers) subsidized by the

provided grant and information regarding the training location including any rental agreements, among other items. 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 with the 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.”