Office of the City Auditor

Report to the City Council
City of San José

AN AUDIT OF CITYWIDE GRANT OVERSIGHT

Citywide Grant Administration Needs To Be More Centralized, Coordinated, And Consistently Applied
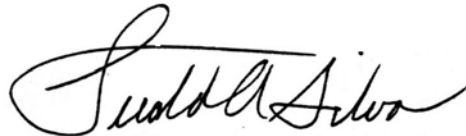
Report 06-01
February 2006

February 8, 2006

Honorable Mayor and Members
   of the City Council
200 East Santa Clara Street
San Jose, CA 95113

Transmitted herewith is a report on *An Audit Of Citywide Grant Oversight.* This report is in accordance with City Charter Section 805. An Executive Summary is presented on the blue pages in the front of this report. The City Administration's response is shown on the yellow pages before the appendices.

This report will be presented to the Making Government Work Better Committee at its February 16, 2006, meeting. If you need any additional information, please let me know. The City Auditor's staff members who participated in the preparation of this report are Eduardo Luna, Gitanjali Mandrekar, Jennifer Callaway and Chris Constantin.

Respectfully submitted,

Gerald A. Silva
City Auditor

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Executive Summary

In accordance with the City Auditor's 2005-06 Audit Workplan, we have completed an audit of Citywide Grant Oversight. We conducted this audit in accordance with generally accepted government auditing standards and limited our work to those areas specified in the Audit Objectives, Scope, and Methodology section of this report.

Finding I   Citywide Grant Administration Needs To Be More Centralized, Coordinated, And Consistently Applied

We found that on a Citywide basis grant administration was decentralized with limited coordination and no Citywide policies and procedures for grant oversight. Each City Department, Office, and the Redevelopment Agency (RDA) - hereafter referred to as City Departments is responsible for monitoring the grants it issues, developing its own monitoring procedures, and evaluating grantee performance. We found that six City Departments rely on grant agreements to monitor grants and have no formal documented policies and procedures. We also found that both Housing and PRNS have documented procedures regarding grant oversight.

In addition, as a result of our review of 20 judgmentally-selected grants, we found that: 1) grant agreements contain inconsistent financial reporting requirements; 2) grant agreements contain inconsistent performance reporting requirements; 3) City staff did not always ensure grantees submitted documentation as required, such as monitoring or progress reports, audited financial statements, or proposed service plans; 4) City staff did not always review performance measures or goals, grantee reports, or conduct site visits; 5) when City staff found flaws with grantee performance, it did not always follow-up with grantees; and 6) grant agreements contain performance provisions which were not well defined. This lack of Citywide coordination hinders City Departments from sharing best practices and discussing successful monitoring strategies. This is exacerbated by the fact that there is no Citywide grant database which tracks the total number of grants the City awards and the recipients of them. In some cases, when grantees receive funding from different City grant

programs, there is no City Department coordination or information sharing regarding grantee reporting and performance. In our opinion, in order to improve grant oversight, the City Administration needs to develop consistency in grant management by implementing grant management best practices. Specifically, the City should develop a grant database to improve information sharing among City Departments and establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide appropriate policies and procedures; 2) establish specific training requirements for staff involved in grants management and monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopt appropriate and reasonable grant agreement requirements related to grantee reporting.

RECOMMENDATIONS

We recommend that the City Departments:

Recommendation #1
Develop a procedures manual to formally document the City's policies and procedures regarding grant oversight. (Priority 3)

We recommend that the Administration:

Recommendation #2
Develop a Citywide grant database to provide comprehensive grant information, facilitate better grant awarding decisions and grantee monitoring, and help ensure grantee compliance with grant requirements. (Priority 3)

We recommend that the Administration and City Attorney's Office:

Recommendation #3   **Establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide consistent policies and procedures; 2) establish specific training requirements for staff involved in grant management and monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopt consistent and reasonable grant agreement requirements related to grantee reporting. (Priority 3)**

Introduction

In accordance with the City Auditor's 2005-06 Audit Workplan, we have completed an audit of Citywide Grant Oversight. We conducted this audit in accordance with generally accepted government auditing standards and limited our work to those areas specified in the Audit Objectives, Scope, and Methodology section of this report.

The City Auditor's Office thanks the Department of Parks, Recreation and Neighborhood Services (PRNS), Department of Transportation (DOT), Environmental Services Department (ESD), Department of Housing (Housing), Library Department (Library), Redevelopment Agency (RDA), Office of Economic Development (OED), and the Office of Cultural Affairs (OCA), staff for giving their time, information, insight, and cooperation during the audit process.

Background

Based on our survey of all City Departments, Offices, and the RDA (hereafter referred to as City Departments), we found that seven City Departments, Offices, and the RDA award and administer over 33 various grant programs amounting to about $40.5 million. Exhibit 1 summarizes the grants City Departments awarded during 2004-05.

Exhibit 1   Summary Of Citywide Grant Distribution For 2004-2005

Department	Number Of Grant Programs	Number Of Grants	Total Grant Awards
PRNS	6	425	$23,377,091
OED	4	23	$6,320,963
HOUSING	4	22	$2,925,414
RDA	2	52	$2,700,338
OCA	8	108	$2,325,932
LIBRARY	3	4	$1,770,361
ESD	4	19	$661,338
DOT	2	2	$397,000
Grand Total	**33**	**655**	**$40,478,437**

Source: Auditor's Office summary of City Departments self-reporting.

Note: OED's grants include Silicon Valley Workforce Investment Network grants that span more than the 2004-05 funding year.

Of the 655 grant awards, 220 grants (34 percent) were under $10,000, 281 grants (43 percent) were between $10,000 to $50,000, 85 grants (13 percent) were between $50,000 to $100,000 and 69 grants (11 percent) were over $100,000[1]

The above list does not include grants the City issues to individuals to reimburse them for specific construction activities. In 2004-05, the DOT awarded 1,261 sidewalk repair grants totaling about $1.3 million. Additionally, Housing awarded 282 home improvement grants as part of the Housing Rehabilitation Program, totaling about $4 million through their Homeowner Grant Program, Mobilehome Grant Program, and Rental Housing Grant Program.

Grant Descriptions   The City of San Jose awards grant monies for a myriad of purposes. Grants are awarded to community groups, non-profit organizations, and qualified individuals. Below is a description of the grants the City Departments administer.

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[1] Due to rounding, percentages add to 101%.

The Office Of Cultural Affairs (OCA)

The OCA administers four grant programs and four individual grants, including the Operating Grant Program which it awards to a limited number of San Jose arts organizations with ongoing, regular, and consistent arts activities. These grants support general operating and program needs and therefore there are few restrictions on the use of these grants. The purpose of these grants is to help sustain the organizations financially and ensure their continuing ability to provide the community with a steady stream of arts opportunities throughout the year. Conversely, the OCA administers the Project & Program Grant Program to arts and other public benefit organizations to help finance specific arts activities and programs. The OCA also administers a Festival, Parade and Celebration grant (FPC), the 4th of July Fireworks grant, the Music and Arts Campaign grant, and the Emerging Arts Series grant. The FPC grants provide monetary and other City support for community festivals, parades, and celebrations that are held for economic enhancement, cultural enrichment, and/or promotion of the City of San Jose. The OCA offers FPC grants to local non-profit organizations to help support their events and expand access to all City residents to a wide range of cultural experiences.

The OCA also administers the Contract for Arts Services grant which is a general operating grant to provide arts services. Finally, the OCA administers the Organization Development Grant Program which offers technical assistance grants to help arts organizations pursue consultancies or training opportunities that will provide them with increased expertise and capacity to conduct their business or provide their programs more effectively.

Department Of Parks, Recreation And Neighborhood Services (PRNS)

PRNS administers six grants, the largest being the Community Development Block Grant (CDBG) program. The City receives CDBG funding from the United States Department of Housing and Urban Development (HUD). The CDBG grant is intended to assist with providing decent housing and a suitable living environment and to expand economic opportunities. CDBG funding is targeted principally to low-and moderate-income persons and/or activities that will prevent or eliminate slums and blight.

PRNS also administers the Healthy Neighborhoods Venture Fund (HNVF) which resulted from a $250 million national settlement with tobacco companies. In March 2000, the City Council approved a recommendation to use these funds for

investing in "healthy neighborhoods for future generations." The City Council approved HNVF funding priority for two projects, the Homework Centers project and the Children's Health Initiative project, as well as HNVF program administration. The goals of the HNVF grants are:

- "To decrease the use of tobacco products and related health problems associated with tobacco use for San Jose residents, contributing to improved overall health for the City's population;"

- "To improve the academic success of San José students through programs that address unmet health care needs and provide for healthy developmental age-appropriate activities;" and

- "To improve the quality of life for seniors by increasing subsidized programs and services, providing for basic health and nutritional needs, and promoting independent living through social and recreational activities."

In addition to the CDBG and HNVF grant programs, PRNS administers smaller grant programs including the Community Action and Pride grants which are intended for resident-based neighborhood groups proposing projects, services, and activities that foster or enhance safety, reduce blight and crime, and improve quality of life. The City created the San Jose B.E.S.T. (Bringing Everyone's Strengths Together) Program in 1991 as a funding arm for the Mayor's Gang Prevention Task Force. The Task Force committed 70 percent of B.E.S.T. funding for intervention services and the remaining 30 percent towards Prevention and Early intervention services. The San Jose Beautiful grant program provides matching grant support to non-profit organizations, neighborhood associations, schools, and other community organizations who wish to help foster community pride in San Jose through beautification or landscaping.

The Environmental Services Department (ESD)

The ESD administers four grant programs. Youth Watershed Education grants "are designed to promote understanding and stewardship of the Santa Clara Basin Watershed among South Bay youth (in grades K-12) by supporting innovative projects for youth education, curriculum development, adoption and implementation of published watershed-based curricula, and teacher/youth leader training." The ESD provides funding to the Resource Area for Teachers (RAFT) and requires RAFT to report on how many teachers and schools use their services.

The ESD also provides funding to provide support in conducting interpretative watershed environmental education programs. Finally, the ESD supports reuse and recycling programs by funding four local non-profit agencies. These grants essentially reimburse the non-profit for the City franchise fees and disposal facility taxes that are included in the disposal costs it has paid as part of its normal business.

The Housing Department (Housing)

As part of its core service of providing services to homeless and at-risk populations, Housing administers the following four grant programs with the purpose of coordinating services and providing funds towards ending homelessness[2]:

1. Emergency Shelter Grant;

2. Housing Opportunities for People with HIV/AIDS (HOPWA);

3. Housing Opportunities for People with HIV/AIDS (HOPWA) Special Project of National Significance (SPNS); and

4. Housing Trust Fund.

According to Housing, the primary function of the grant programs is to fund the homeless service delivery agencies and ensure that the service goals and funding regulation compliance are being met. As part of the Housing Rehabilitation Program, Housing provides 282 home improvement grants which allow qualified applicants to make repairs to their homes or rental property.

The Library Department (Library)

The Library administers three grant programs –Smart Start Early Education, Books Aloud Inc., and San Jose Public Library Foundation. The mission of Smart Start Early Education is to expand quality care and education spaces and build the capacity of early childhood development professionals and schools to improve education opportunities for young children. Books Aloud, Inc., is a non-profit organization whose mission is to "improve the quality of life for people unable to benefit directly from the printed page by providing a service to stimulate minds, stir emotions and foster independence through

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[2] Housing also administers the Mayor's Homeless Families and Children Grant Program, funded through the General Fund. In 2004-2005 there were no awards made, however, funds were expended from prior years' awards.

[its] 'Reading by Listening' program." Finally, the San Jose Public Library Foundation grant supports its mission of providing "advocacy, financial support and innovative leadership to transform San Jose's public libraries into vibrant learning centers."

The Office Of Economic Development (OED)

The OED grants monies to six area Chambers of Commerce to promote the existence of small businesses as well as to provide support for on-going delivery of business services. The OED commits fifty-one and a half percent of contract funds to jobs and enterprise zone hiring tax credit categories. The OED uses the remaining forty-eight and a half percent of contract funds for workshops, counseling, loan referral, and event sponsorships. The OED also provides funding for the Joint Venture: Silicon Valley and the ZeroOne San Jose International Art and Technology festival. The OED also administers 15 Silicon Valley Workforce Investment Network grants, which the U.S. Department of Labor's Workforce Investment Act funds. The Silicon Valley Workforce Investment Network provides comprehensive workforce development services to increase employment, job retention, and economic development in our local communities.

The Department Of Transportation (DOT)

The DOT oversees two grant programs – street tree planting and downtown area shuttle. The DOT receives funding from the RDA for street tree planting in Strong Neighborhood Initiative (SNI) areas and other economic development projects. The DOT grants the RDA money to Our City Forest to fulfill these purposes. It also provides an operational grant to Our City Forest. Likewise, the DOT grants money to the San Jose Downtown Association to provide operational support for the free Downtown Area Shuttle (DASH).

The Redevelopment Agency (RDA)

The RDA administers two grant programs, the Façade Improvement Program grants and the Christmas in the Park grant. The Façade Improvement Program grants provide assistance to business and property owners within the Neighborhood Business Districts and Downtown San Jose. In addition, the RDA provides funding to support the downtown Christmas in the Park festivities.

Source Of Funds

Funding for the $40.5 million in grants the City administers, comes from various sources, including the Federal Government, the City's General Fund, Tobacco Settlement Funds, and Transient Occupancy Taxes. HUD constitutes the largest grant funding source through Housing grants and CDBG to the City and provides about $12 million (30 percent) of grant funding. HNVF is the second largest source of grant money for the City, comprising $9.8 million (24 percent), of which $2.3 million is for Homework Center grants. Finally, the City's General Fund provides over $4.3 million (11 percent) of the grants the City administers.

PRNS administers and awards the largest segment of City grants. Specifically, PRNS annually disburses about $23.4 million (58 percent) in grants. This includes $10.3 million in Federal HUD funds, $9.8 million in HNVF money and $3.3 million from the General Fund. Exhibit 2 illustrates the amount of grants each City Department disburses.

Exhibit 2   Grants Disbursed By City Departments For 2004-2005
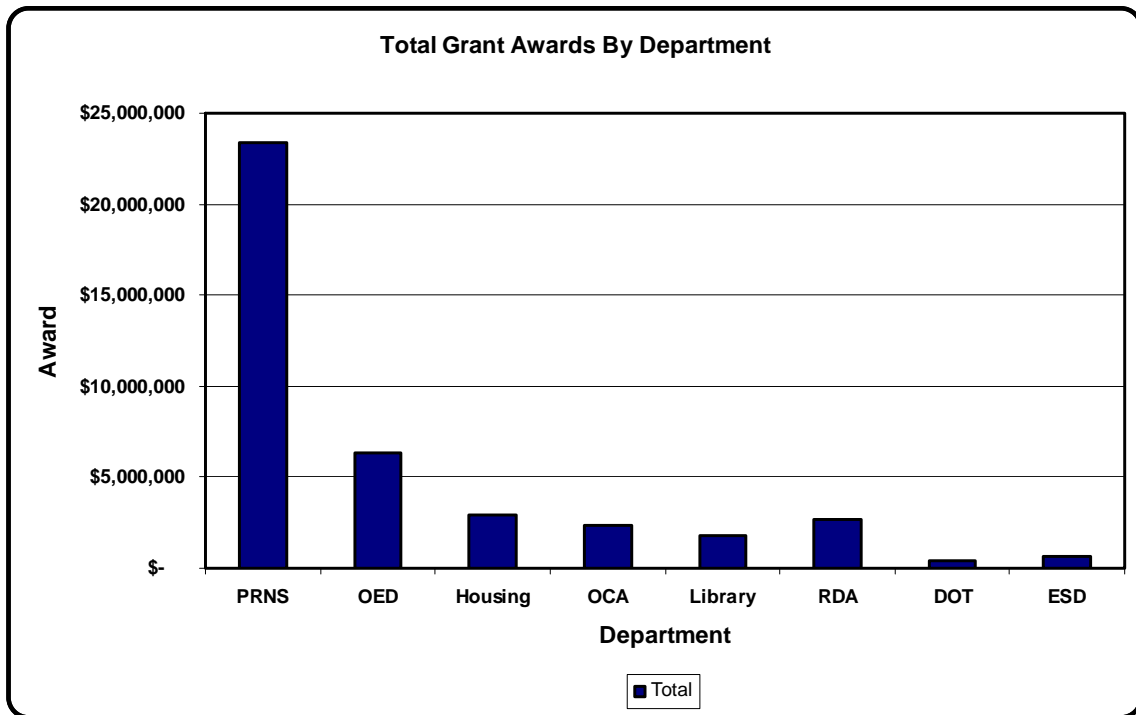
Source: Auditor's Office summary of City Departments' self-reporting.

Grant Management   Each City Department is responsible for the proper execution, accounting, and reporting of the grants. However, in general, the various City Departments follow similar processes for awarding and administering the grants. In most cases, City Departments award grants after an applicant has filed an application and a selection committee approves the application. The City and the grantees sign a grant agreement and the City requires the grantee to submit periodic reports to the City.

Audit Objectives, Scope, And Methodology   Our audit objectives were to 1) identify grants and responsible City Departments; 2) identify the operational threats facing each City Department in administering grants and the controls these City Departments have in place to prevent, eliminate, or minimize these threats; 3) review selected grants to determine existing conditions; 4) evaluate the grants monitoring and reporting process; and 5) research best practices in grant administration. Specifically, we conducted a Risk Assessment and Vulnerability Assessment of the City entities responsible for administering grants. Based on our Risk and Vulnerability Assessments, we identified the City Departments' lack of adequate and documented internal control procedures. In addition, for the controls that the City Departments reportedly had in place, we judgmentally sampled 20 grants to ensure that City Departments' staff effectively and consistently applied these controls.

In developing our Risk Assessment, we reviewed the potential threats associated with the following: PRNS, Housing, DOT, ESD, Library, OED, OCA, and RDA. The Risk Assessment in Appendix B shows the relationship of the specific threats we identified to the controls the entities reportedly have in place to prevent, eliminate, or mitigate the associated threats. We identified the threats and controls that were common among all City Departments, as "Citywide," and noted the appropriate entity that was specific to an individual threat or control. The controls marked "A" are Actual controls that the entities indicated they had in place, while the controls marked "P" are Potential controls, that we identified based on our audit work.

We also conducted an overall Vulnerability Assessment for the City Departments. A Vulnerability Assessment shows the relationships among 1) a threat's inherent risk; 2) the relative

strength of the City Department's internal controls; and 3) the level of vulnerability for each threat and extent of testing required during our audit.

To accomplish our audit objectives, we used the following methodologies: 1) staff interviews; 2) review of 2004-05 sample grant files; 3) review of City Departments' policies and procedures as related to grant activities; 4) review of CDBG and HNVF policies and guidelines; and 5) review of authoritative sources on best practices in grant administration. The scope of our audit included reviewing grant files and budget information from the 2004-05 award cycles. For our purpose, a grant is defined as a legal instrument through which funds are transferred to support a public purpose. For purposes of our review, the term grant does not include technical assistance which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Also, the term does not include assistance, such as a fellowship or other lump sum awards, for which the entity is not required to provide an accounting to the City.

We judgmentally selected and reviewed the following 20 grants the City awarded in 2004-05 to determine compliance with grant provisions. We did not audit individual grantee performance.

Exhibit 3   Sample Of Grants Reviewed

	Department	Grant Program	Grantee	Grant Amount
1	DOT	Our City Forest	Our City Forest[3]	$197,000
2	ESD	Reuse and Recycle	Goodwill Industries of Santa Clara County	$369,000
3	ESD	Youth Watershed Education Grants	Union Middle School	$5,000
4	HOUSING	Emergency Shelter Grant	Emergency Housing Consortium	$75,515
5	HOUSING	HOPWA	The Health Trust	$748,000
6	HOUSING	Housing Trust Fund	Housing Services Partnership[4]	$972,165
7	LIBRARY	Smart Start Early Education	San Jose Day Nursery	$856,000
8	OCA	Operating Grants	San Jose Museum of Art	$218,498
9	OCA	Project and Program Grants	Center for Literary Arts	$16,200
10	OCA	Festival, Parade and Celebration Grants	San Jose Jazz Society	$37,880
11	OCA	Festival, Parade and Celebration Grants	Christmas in the Park	$23,396
12	OCA	Contract for Arts Services	San Jose Stage Company	$74,560
13	OED	Chamber of Commerce	Hispanic Chamber of Commerce	$87,300
14	PRNS	B.E.S.T.	California Youth Outreach	$405,000
15	PRNS	CDBG	Economic and Social Opportunities, Inc.	$560,000
16	PRNS	HNVF	Franklin McKinley Education Foundation	$28,000
17	PRNS	HNVF	Santa Clara Family Health Plan	$2,100,000
18	PRNS	CDBG	RDA: Greater Gardner Street	$550,000
19	RDA	Façade Improvement Program	Façade Improvement Grant – McLaughlin	$275,210
20	RDA	Façade Improvement Program	Façade Improvement Grant - Union	$95,000

We used the following criteria to select the 20 grants[5]:

1. We sampled the largest grant for every 10 grants the City Department awarded;

2. If there was more than one grant with the same grant award amount, we selected every other grant; and

3. If there was only one grant for the program, we reviewed only grants of over $100,000.

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[3] The DOT manages two grant agreements 1) a $152,000 operating grant agreement and 2) a $45,000 tree planting grant the RDA gives to OCF.

[4] Housing Services Partnership is comprised of three operating grants with 1) Sacred Heart Community Service; 2) InnVision-The Way Home; and 3) Emergency Housing Consortium.

[5] These 20 grants were comprised of 23 grant agreements.

We excluded certain grant programs from our sample of eligible grants for review. We did not include the sidewalk repair totals because they are essentially reimbursements from the City that did not meet our definition of grants. We did not review the DASH shuttle contract because the City has partnered with the Santa Clara Valley Transportation Authority and the San Jose Downtown Association to fund this service. We also did not include the Housing Rehabilitation Program which provided 282 home improvement grants to individuals to fund $4 million in home improvements. An audit of the latter program is on the City Auditor's 2005-06 workplan. Generally, the 2004-05 grants identified in this report were self-reported by City Departments and may not reflect all grants issued in 2004-05.

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Finding I   Citywide Grant Administration Needs To Be More Centralized, Coordinated, And Consistently Applied

We found that on a Citywide basis grant administration was decentralized with limited coordination and no Citywide policies and procedures for grant oversight. Each City Department, Office, and the Redevelopment Agency (RDA) - hereafter referred to as City Departments is responsible for monitoring the grants it issues, developing its own monitoring procedures, and evaluating grantee performance. We found that six City Departments rely on grant agreements to monitor grants and have no formal documented policies and procedures. We also found that both Housing and PRNS have documented procedures regarding grant oversight.

In addition, as a result of our review of 20 judgmentally-selected grants, we found that: 1) grant agreements contain inconsistent financial reporting requirements; 2) grant agreements contain inconsistent performance reporting requirements; 3) City staff did not always ensure grantees submitted documentation as required, such as monitoring or progress reports, audited financial statements, or proposed service plans; 4) City staff did not always review performance measures or goals, grantee reports, or conduct site visits; 5) when City staff found flaws with grantee performance, it did not always follow-up with grantees; and 6) grant agreements contain performance provisions which were not well defined. This lack of Citywide coordination hinders City Departments from sharing best practices and discussing successful monitoring strategies. This is exacerbated by the fact that there is no Citywide grant database which tracks the total number of grants the City awards and the recipients of them. In some cases, when grantees receive funding from different City grant programs, there is no City Department coordination or information sharing regarding grantee reporting and performance. In our opinion, in order to improve grant oversight, the City Administration needs to develop consistency in grant management by implementing grant management best practices. Specifically, the City should develop a grant database to improve information sharing among City Departments and establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide appropriate policies and procedures; 2) establish specific training requirements for staff involved in grants management and

monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopt appropriate and reasonable grant agreement requirements related to grantee reporting.

The City Lacks Adequate And Documented Citywide Policies And Procedures For Grant Administration, Oversight, Or Grantee Reporting Requirements

During the course of our Risk Assessment we identified six threats or exposures associated with City Department oversight of grants. Of these six threats or exposures, we found that six of the responsible City entities had no written procedures in place, other than the grant agreements, to address the threats.

We identified the City Departments' lack of adequate and documented internal control procedures through our Risk Assessment process. The complete Risk Assessment we conducted to identify the entities' threats and controls can be found at Appendix B. The rationale for conducting a Risk Assessment is that auditors can limit testing and focus on those areas most vulnerable to noncompliance and abuse. We assigned an "A" to those entities' controls that we perceived to be actual and existing. We assigned a "P" to those controls that we perceived to be either not formalized or potential controls. Those specific threats without an "A" or "P" indicate a complete absence or lack of any procedure to prevent, eliminate, or mitigate the associated threat.

As illustrated by our Risk Assessment at Appendix B, we identified six threats or exposures associated with the City Departments responsible for administering grants. We found that of the six threats or exposures we identified, only Housing and PRNS had some written policies and procedures in place to mitigate potential threats. In contrast, the remaining City Departments had no written policies and procedures and simply relied on grant agreements to mitigate any potential threats.

In addition to the Risk Assessment, we also conducted a Vulnerability Assessment (Appendix C). A Vulnerability Assessment shows the relationship among: 1) a threat's inherent risk; 2) the relative strength of the City Department internal controls; and 3) the City Department's level of vulnerability for each threat and the extent of audit testing required. As the Vulnerability Assessment illustrates, we found

that the City Departments had 12 weak controls in place, 14 adequate controls in place, and only nine strong controls in place. Of the nine strong controls, Housing had five of them.

We recommend that the City Departments:

> **Recommendation #1**
>
> **Develop a procedures manual to formally document the City's policies and procedures regarding grant oversight. (Priority 3)**

For the 20 grants we judgmentally selected for testing, we also found that:

- Grant agreements contain inconsistent financial reporting requirements;

- Grant agreements contain inconsistent performance reporting requirements;

- City staff did not always ensure grantees submitted required documentation, such as monitoring or progress reports, audited financial statements, or proposed service plans;

- City staff did not always review performance measures or goals, grantee reports, or conduct site visits;

- City Departments found flaws with grantee performance, but did not always follow-up with grantees; and

- Some grant agreements' performance provisions were not well defined.

As a result of a decentralized grant monitoring approach, we found that the City Departments have limited assurance that the grantees are: 1) achieving program objectives and properly expending grant funds; and 2) complying with grant agreement requirements.

Grant Agreements Contain Inconsistent Financial Reporting Requirements

We found that only seven of the 23 grant agreements that we reviewed required grantees to submit annual audited statements. However, we found that there is no Citywide policy on financial audit requirements for grantees. PRNS and Housing have department-specific policies that establish grantee audited financial statement requirements. However, the remaining City Departments do not. As part of grant agreements, both PRNS

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and Housing require grantees to submit annual audited financial statements. However, we found that Housing's grant agreements' financial audit provisions referenced compliance with a revised audit provision that no longer applied—Office of Management and Budget (OMB) Circular A-102. Conversely, Housing's internal procedures require the grantees' audits to perform an analysis as required by OMB Circular A-133. Circular A-133 contains specific audit requirements if the entity expends $500,000 or more in federal funds. These include:

- The auditor shall determine whether the auditee has complied with laws, regulations, and the provisions of contracts or grant agreements that may have a direct and material effect on each of its major programs;

- The audit shall be conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS);

- The auditor shall determine whether the financial statements of the auditee are presented fairly in all material respects in conformity with generally accepted accounting principles; and

- In addition to the GAGAS requirements, the auditor shall perform procedures to obtain an understanding of internal control over Federal programs sufficient to plan the audit to support a low-assessed level of control risk for major programs.

Within PRNS, the three major grant programs, Healthy Neighborhoods Venture Fund (HNVF), Community Development Block Grant (CDBG), and Bringing Everyone's Strengths Together (B.E.S.T.), have different audit policies due to different funding source requirements. Both the CDBG and HNVF require grantees to submit an OMB Circular A-133 compliant audit only when they receive federal funds that are $500,000 or more. Otherwise, CDBG and HNVF grantees are required to submit financial audits with required schedules and reports. However, while B.E.S.T. requires audited financial statements, it does not elaborate on specific schedules or reports which should be submitted.

The OCA requires audited financial statements from operating grant applicants with budgets over $500,000. They also require grantees applying for an operating grant to submit a copy of their most recently-audited financial statements as part of the application process; they do not require grant applicants for Project And Program grants, and Festival, Parade And Celebration grants to submit audited financial statements. Similarly, the Library, the ESD, the DOT, the RDA, and the OED do not have specific audit policy requirements for grantees.

Grant Agreements Contain Varied Performance Reporting Requirements

For the 23 grant agreements we reviewed, the City had four different monitoring report requirements - monthly, quarterly, mid-year, and/or year-end. A performance reporting requirement is a periodic report submitted to the City outlining the grantee's goals achieved during the period. A critical step to ensure grantees meet grant objectives is confirming that stated services were performed. The following highlights the grant agreements' monitoring report requirements:

Exhibit 4   Summary Of Grant Agreements' Monitoring Report Requirements

	Department	Grantee	Mid-Year Progress/ Monitoring Report Required?	Final Progress/ Monitoring Report Required?
1	DOT	Our City Forest (2 grant agreements)	Yes	Yes
			No	No
2	ESD	Goodwill Industries of Santa Clara County	Yes[6]	No
3	ESD	Union Middle School	No	Yes
4	HOUSING	Emergency Housing Consortium	No[7]	No
5	HOUSING	The Health Trust	No	No
6	HOUSING	Housing Services Partnership (3 grant agreements)	Yes	Yes
			Yes	Yes
			Yes	Yes
7	LIBRARY	San Jose Day Nursery[8]	No	No
8	OCA	San Jose Museum of Art	Yes	Yes
9	OCA	Center for Literary Arts	Yes	Yes
10	OCA	San Jose Jazz Society	No	Yes
11	OCA	Christmas in the Park	No	Yes
12	OCA	San Jose Stage Company	No	Yes
13	OED	Hispanic Chamber of Commerce	Yes	No
14	PRNS	California Youth Outreach	Yes	Yes
15	PRNS	Economic and Social Opportunities, Inc.	Yes	Yes
16	PRNS	Franklin McKinley Education Foundation	No	Yes
17	PRNS	Santa Clara Family Health Plan	Yes	Yes
18	PRNS	RDA: Greater Gardner Street	Yes	Yes
19	RDA	Façade Improvement Grant - McLaughlin	No	No
20	RDA	Façade Improvement Grant - Union	No	No

Source: Auditor analysis of grant files.

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[6] Grantee is required to submit monthly reimbursement reports.

[7] The HUD contract includes reporting requirements that are not referenced in the grant agreements. According to Housing, monitoring reports were submitted.

[8] The RDA provides funding for construction and renovation of the San José Day Nursery in order to operate the Nursery as a Smart Start Center for 15 years. RDA provides payment based on invoices submitted for construction and renovation work completed. The Library is responsible for ensuring the San José Day Nursery operates as a Smart Start Center. Construction and renovation is not completed at the time of our fieldwork.

As shown above, the range of City reporting requirements varied from 12 grants that required both quarterly/mid-year and year-end reports to six grants that did not require any monitoring reports.

City Staff Did Not Always Ensure Grantees Submitted Required Documentation, Such As Monitoring Or Progress Reports, Audited Financial Statements, Or Proposed Service Plans

We also found that City staff did not always ensure that grantees submitted required documentation, such as monitoring and progress reports, audited financial statements, or proposed service plans. For example, a PRNS grant agreement required the grantee to document that proper background checks (including fingerprints) and negative TB skin tests were conducted for program employees and volunteers. When we reviewed the case file, we did not find any evidence that the grantee submitted the required verification letter. Consequently, PRNS did not have assurance that the grantee conducted the required background checks and TB tests. The grant agreement also required the grantee to submit two financial reports and one performance report to PRNS based on a specific timeframe. At the time of our review and follow-up, we found no evidence that the grantee provided any of the reports.

The OED provided two reimbursement grants of $87,300 to a grantee in 2004-05. The purpose of the grants was to provide economic development services to small business through workshops, counseling, job opportunities, and tax credits. The OED reimbursed the costs of certain activities and provided incentive payments for other eligible activities. According to OED, every invoice for payment was submitted to the Finance Department with complete and original documents. During our review of invoices and supporting documentation in the Finance Department, we did not find all of the required documents, such as evaluations that are needed to support the grantees' claims for payment per the grant agreements.

Another example included an OCA grant agreement that required that the grantee submit to the City, no later than June 1 each year during the term of the agreement, a written, detailed plan of proposed services for the coming year. Additionally, within 30 days of the end of each fiscal year of the grant agreement, the grantee is supposed to submit an annual written report that includes the following: 1) performance measure analysis of grantee's performance of the services required; 2) grantee's year-end organizational financial report that includes an accounting of the expenditure of the funding provided by the City; and 3) the grantee must annually provide to the City a

copy of their complete audited financial report. When we reviewed the case file on August 2005, the OCA's grant file did not include any documented evidence that the grantee submitted the required reports, including a proposed performance plan, written report, and audited financial report. The grantee submitted some of the required documents in September 2005.

City Staff Did Not Always Review Performance Measures Or Goals, Grantee Reports, Or Conduct Site Visits

We also found that City staff did not appropriately review grantee performance. Grant agreements typically contain provisions that establish specific grantee performance requirements. A critical step to ensure grantees meet grant objectives is confirming that stated services were provided by conducting site visits or reviewing performance reports. For the 23 grant agreements we reviewed, we found that only 17 grants required the grantees to submit regular performance reports. For four of the 17 grants, the grantees did not submit the required reports by the due date. In one case, a grantee submitted the required report 222 days late. We also found that in at least one instance City staff did not adequately document that they reviewed the submitted grantee report.

We found that the City could improve upon its monitoring of grantee performance, including submitted performance reports. For example, one DOT grantee submitted performance information regarding work output and funding obtained. However, during our file review, we found that the grant file contained no evidence that the DOT had reviewed or verified the validity of the work output or funding information. DOT staff indicated that they are willing to comply with Citywide policies and procedures regarding monitoring grantee performance.

We also found that PRNS staff did not conduct the required site visit to its grantee to verify performance information. The HNVF program policy requires staff to make periodic site visits to validate the information in the performance reports. According to the grant agreement, the grantee is supposed to provide health insurance coverage to a minimum of 1,744 unduplicated persons. We did not see any evidence that PRNS staff actually verified that the participants the grantee reported were not double-counted. Participant information is generally verified during the monitoring visit that PRNS staff persons are required to make. According to staff, time constraints have

delayed the site visits and staff intended to make a visit in October 2005 — three months after the City had paid $2.1 million to the grantee.[9]

When City Staff Found Flaws With Grantee Performance, It Did Not Always Follow-Up With Grantees

We also found that PRNS staff identified performance problems with the 2004-05 $560,000 CDBG grant awarded to a grantee. However, PRNS staff did not follow-up with the grantee in a timely manner to resolve the performance problems staff identified during a monitoring visit. Specifically, the PRNS Grants Unit staff conducted a site monitoring visit in May 2005 and identified several performance issues that could affect the grantee's ability to provide the agreed-upon housing inspection and rehabilitation services. As a result of the site visit, PRNS staff drafted but did not send a Corrective Action Plan outlining specific steps for the grantee to implement to remedy the performance problems. We alerted PRNS management on October 24, 2005 that the Corrective Action Plan had not been issued to the grantee. Consequently, PRNS management sent the grantee the Corrective Action Plan on November 9, 2005 which the grantee signed and returned on November 16, 2005. According to PRNS staff, the grantee did not comply with the November 28th due date for two audit-related issues in the Corrective Action Plan. PRNS staff has not yet determined if the grantee complied with a November 28th due date in the Plan regarding missing in-take information. Since November 2005, PRNS staff has made two follow-up requests for response.

During the site visit, PRNS staff obtained the June 30, 2004 financial audit of the grantee, which identified three reportable conditions:

1. The agency had a deficit fund balance of $479,266;

2. Significant expenses in excess of revenues were noted on many contracts and grants; and

3. The agency had a negative cash balance of $130,000.

The audit report also revealed that the grantee's deficit could affect their ability to continue operations, and expressed a qualified opinion on compliance for the major federal awards.

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[9] According to PRNS staff, "the reports required from this agency were completely redone, causing a very lengthy contract negotiation period. The contract was not executed until March of 2005. The first reports from the agency were not received until the end of March, during which time staff was working on funding recommendations for the following year, which did not allow time for a site visit."

PRNS also found that some in-take forms were missing client signatures and verification of client income information, the grantee had requested reimbursement for work not paid, and the financial audit was not submitted within 150 days of the end of the grantee's fiscal year.

Some Grant Agreements' Performance Provisions Were Not Well Defined

We found that some of the grant agreements' performance provisions could be better defined. One grant agreement had an ambiguous definition regarding certain performance activities. For example, the contract provided for a $75 per person reimbursement for business-related workshops, yet the contract listed no minimum requirements for the length of training. The contract further required the grantee to require participants to complete evaluations, but the contract did not define criteria for how evaluations were to be used to gauge customer satisfaction.

Another grant agreement had poorly defined performance components. We found the agreement did not clearly require the grantee to meet any specific performance goals and simply stated broad performance goals. The grant's program performance component establishes that one of the most important goals for the grantee was to secure funding from sources other than the City of San Jose and provide education materials in several languages, community workshops, and outreach events. The grant agreement did not specify the amount of funding required nor did it specify the number of events to hold. The grant agreement had, as an attachment, a grantee workplan that did specify these details, however, the grant agreement did not specifically reference this workplan in its performance requirements. In our opinion, the lack of specificity hampers the Department's ability to effectively communicate its expectations to the grantee and to subsequently assess grantee performance.

The City Administration Needs To Develop Consistency In Grant Management

We found that on a Citywide basis there is limited to no coordination on $40.5 million in grants awarded in 2004-05. Each City Department is responsible for establishing performance requirements, monitoring the grants they issue, developing their own monitoring procedures, and evaluating grantee performance. As a result of the decentralized manner in which grant oversight is conducted, we found that grant agreements' reporting and compliance requirements were often inconsistent with the grant award amounts and were different among City Departments.

For example, a $28,000 HNVF Homework Center grant required the grantee to submit: 1) bi-annual financial reports, 2) one performance report, and 3) provide evidence listing each employee and volunteer providing services which certifies that the school has conducted a proper background check (including fingerprints) on such person or persons and each of the named persons is legally permitted to perform the services of the agreement. In addition, a PRNS consultant reviewed the grantee services.

In comparison, a $218,498 OCA operating grant does not require the grantee to submit audited financial statements. The grantee is required to submit regular progress and final program reports and to separately account for and keep a separate record of City grant expenditures. OCA staff reviewed the final report, but did not conduct site visits, or review how the grantee spent the City grant funds.

Citywide There Is No Central Database To Track Total Number Of Grants The City Awards

In 2004-05, the City administered 655 grants valued at about $40.5 million[10]. Each City Department maintains separate information of all grants awarded. The City does not maintain a Citywide database of all grants awarded on an annual basis.

City administration of grants is decentralized and information on grant awards and grantee performance is desegregated among City Departments. Individual City Departments are generally responsible for establishing grant award criteria and monitoring grantees for compliance with grant agreements and requirements. Further, some grantees receive multiple grants from one or more City Departments. According to PRNS staff, in 2004 the "grants unit assembled a listing of the Citywide grant recipients as a one-time special project request." However, based on our review of this listing, it was not complete.

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[10] See Appendix D for a complete listing of these grants.

*Some Grantees
Receive Multiple
City Grants*

City Departments sometimes award multiple grants to the same grantee. We found that 59 grantees[11] received two or more City grants during 2004-05. These 59 grantees received 168 of the 655 grants the City awarded in 2004-05 (26 percent) and about $11 million of the $40.5 million the City awarded (27 percent). Further, of the 59 grantees receiving multiple grants from the City, 20 grantees received three or more grants. For example:

- The San José Jazz Society received five grants for almost $300,000. Of these five grants, four came from the Office of Cultural Affairs' (OCA) grant programs – Festival, Parade and Celebration grant, Operating grant, and Organizational Development, and one came from PRNS' HNVF.

- The San José Downtown Association received about $250,000 from seven grants from the OCA and one grant from the DOT.

In addition, 29 grantees received grants from two City Departments. Additionally, some of these grantees received multiple grants from the same City Department or from the same grant program. For example:

- The Bill Wilson Center received about $162,000 from three grants from PRNS and Housing. The two PRNS grants were from the HNVF and San José B.E.S.T., while the Housing grant was an Emergency Shelter grant.

- The Mexican American Community Services Agency received about $630,000 from eight grants from PRNS – four from the HNVF, three from the CDBG, and one from San José B.E.S.T.

According to City officials, City Departments do not typically coordinate grants with the other City entities who are issuing grants to the same grantees. As a result, the City cannot identify the number and amount of grants awarded to the same grantee to systematically coordinate monitoring efforts. Implementing a Citywide grants database will allow the Administration to identify total grants awarded, grant recipients with multiple grants, and coordinate grant oversight.

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[11] It is possible that there are additional multiple grantees that were not properly labeled in the database.

According to the grant best practices the United States Comptroller General's Domestic Working Group Grant Accountability Project promulgated, "consolidating information systems can enable agencies to better manage grants by providing information on all grants." Consolidated information systems offer the City the ability to track program trends in use of funds, performance monitoring, tracking grants with similar goals, and keeping track of problems and compliance with contract requirements.

In our opinion, the establishment and maintenance of a comprehensive centralized grant database would give the City additional information and facilitate better grant awarding decisions and grantee monitoring to help ensure compliance with grant requirements.

We recommend that the Administration:

Recommendation #2

Develop a Citywide grant database to provide comprehensive grant information, facilitate better grant awarding decisions and grantee monitoring, and help ensure grantee compliance with grant requirements. (Priority 3)

A Grant Management Working Group Can Help Provide Oversight Consistency

As reported earlier, the Administration does not coordinate monitoring goals, encourage the sharing of best practices, or establish uniform guidelines regarding grant oversight. As a result, grant oversight is performed inconsistently among City Departments. In our opinion, an approach to strengthen and improve grant oversight is for the Administration to establish a Grant Management Working Group. Under the direction of the City Manager's Office, the Grant Management Working Group (Working Group) would consist of representatives from City Departments with grant management responsibilities and would be responsible for developing Citywide guidance on grant oversight. In our opinion, the Working Group would be responsible for: 1) identifying and adopting grant oversight best practices; 2) adopting appropriate grant agreement requirements; and 3) establishing oversight guidelines to ensure consistent monitoring. In our opinion, the Working Group should meet on a quarterly or other periodic basis.

A key role of the Working Group should be to identify and adopt grant oversight best practices. We identified two authoritative sources for best practices in grant management. The United States Comptroller General's Domestic Working Group Grant Accountability Project and the Council on Foundations have both issued guidance regarding grant management and oversight.

The United States Comptroller General's Domestic Working Group Grant Accountability Project issued a report that identified the challenges to grant accountability and promising practices that can help improve grant accountability. The report identifies the lessons learned that agencies should consider throughout the grant process to ensure that funds are properly used and achieve desired results. The report focuses on five key areas[12] as shown in Exhibit 5 below.

Exhibit 5   **Promising Practices To Improve Grant Accountability**

Area Of Opportunity	Promising Practices
1. Internal Control Systems	• Preparing policies and procedures before issuing grants; • Consolidating information systems to assist in managing grants; • Providing grant management training to staff and grantees; and • Coordinating programs with similar goals and purposes.
2. Performance Measures	• Linking activities with program goals; and • Working with grantees to develop performance measures.
3. The Pre-Award Process	• Assessing applicant capability to account for funds; • Competing grants to facilitate accountability; • Preparing work plans to provide framework for grant accountability; and • Including clear terms and conditions in grant award documents.
4. Managing Performance	• Monitoring the financial status of grants; • Ensuring results through performance monitoring; • Using audits to provide valuable information about grantees; and • Monitoring subrecipients as a critical element of grant success.
5. Assessing and Using Results	• Providing evidence of program success and • Identifying ways to improve program performance.

Source: United States Comptroller General's Domestic Working Group Grant Accountability Project.

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[12] The Grant Accountability Project's List of Specific Promising Practices is found in Appendix E.

Grants Monitoring
Best Practices

Besides reviewing and adopting the above best practices, the Working Group should also incorporate the Council on Foundations Best Practices in Grants Management.[13] These practices include implementing appropriate policies and procedures for: 1) processing grant payments; 2) grantee reporting requirements; 3) monitoring grant requirements; 4) grant evaluation requirements; and 5) documenting grant modifications, grant closing, and grant project files.

Establish Oversight
Guidelines To
Ensure Consistent
And Appropriate
Monitoring

Finally, the Working Group needs to work with the City Departments to establish oversight guidelines. Specifically, the Working Group should establish oversight guidelines that include:

- Establishing Citywide appropriate policies and procedures. As reported, documentation requirements vary across City Departments. Some grant programs require expense receipts, whereas other City Departments do not require grantees to submit evidence of expenditures. For example, a $5,000 ESD Youth Watershed Education grant required grantees to submit receipts with invoices, whereas, OCA Festival, Parade and Celebration grantees are not required to submit any receipts;

- Establishing specific training requirements for staff involved in grants management and monitoring. We found that Housing and PRNS have formal grant management training requirements for staff, but the other City Departments do not. The Working Group can establish a framework for ensuring employees have the skills to manage grants, such as understanding financial statements;

- Establishing criteria when audited financial statements are obtained and reviewed. The Working Group should establish an appropriate grant amount for requiring audited financial statements;

- Establishing risk-based criteria for determining when more detailed audits, reviews, or monitoring are required. This should include identifying financial and performance results that would trigger more detailed reviews. For example, the B.E.S.T. Program interim evaluation report identified performance problems with

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[13] See Appendix F for a summary of the Best Practices.

specific grantees. As a result, PRNS B.E.S.T. staff issued corrective action plans, which ultimately resulted in canceling a grant for non-performance. Other City Departments could adopt a similar practice; and

- Adopting consistent and reasonable grant agreement requirements related to grantee reporting. The City should develop and adopt policies which outline the performance report requirements for audits as well as supporting documentation which grantees should submit with such reports. Furthermore, the City should develop a policy regarding the frequency with which City staff should conduct monitoring visits. Such policies should be reasonable given the size of the grant and other regulations governing the grant. The Working Group should work with City Departments and the City Attorney's Office to develop appropriate and reasonable grant agreement requirements.

We recommend that the Administration and City Attorney's Office:

Recommendation #3

Establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide consistent policies and procedures; 2) establish specific training requirements for staff involved in grant management and monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopt consistent and reasonable grant agreement requirements related to grantee reporting. (Priority 3)

CONCLUSION

We found that on a Citywide basis grant administration was decentralized with limited coordination and no Citywide policies and procedures for grant oversight. Each City Department is responsible for monitoring the grants it issues, developing its own monitoring procedures, and evaluating grantee performance. We found that the City Departments rely on grant agreements to monitor grants and have no formal,

documented policies and procedures. We also found that both Housing and PRNS have some documented procedures regarding grant oversight.

In addition, as a result of our review of the grant agreements, we found that: (1) grant agreements contain inconsistent financial reporting requirements; 2) grant agreements contain inconsistent performance reporting requirements; 3) City staff did not always ensure grantees submitted documentation as required, such as monitoring or progress reports, audited financial statements, or proposed service plans; 4) City staff did not always review performance measures or goals, grantee reports, or conduct site visits; 5) when City staff found flaws with grantee performance, it did not always follow-up with grantees; and 6) grant agreements contain performance provisions which were not well defined. We also found that each City Department is responsible for monitoring the grants it issues, developing its own monitoring procedures, and evaluating grantee performance. This lack of Citywide coordination hinders City Departments from sharing best practices and discussing successful monitoring strategies. This is exacerbated by the fact that there is no Citywide grant database which tracks the total number of grants the City awards and the recipients of them. In some cases, when grantees receive funding from different City grant programs, there is no City Departmental coordination or information sharing regarding grantee reporting and performance. In our opinion, in order to improve grant oversight, the City Administration needs to develop consistency in grant management by implementing grant management best practices. Specifically, the City should develop a grant database to improve information sharing among City Departments and establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide appropriate policies and procedures; 2) establish specific training requirements for staff involved in grant management and monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopting appropriate and reasonable grant agreement requirements related to grantee reporting.

RECOMMENDATIONS

We recommend that the City Departments:

Recommendation #1   **Develop a procedures manual to formally document the City's policies and procedures regarding grant oversight. (Priority 3)**

We recommend that the Administration:

Recommendation #2   **Develop a Citywide grant database to provide comprehensive grant information, facilitate better grant awarding decisions and grantee monitoring, and help ensure grantee compliance with grant requirements. (Priority 3)**

We recommend that the Administration and City Attorney's Office:

Recommendation #3   **Establish a City Manager's Office Grant Oversight Working Group to: 1) establish Citywide consistent policies and procedures; 2) establish specific training requirements for staff involved in grant management and monitoring; 3) establish criteria when audited financial statements are obtained and reviewed; 4) establish risk-based criteria for determining when more detailed audits, reviews, or monitoring are required; and 5) adopt consistent and reasonable grant agreement requirements related to grantee reporting. (Priority 3)**

Memorandum

TO: **Gerald Silva**
      City Auditor

FROM: **Kay Winer**
          Harry Mavrogenes

SUBJECT: **SEE BELOW**

DATE: February 6, 2006

SUBJECT The Administration's Response to *An Audit of Citywide Grant Oversight.*

BACKGROUND

The Departments of Parks, Recreation, and Neighborhood Services (PRNS), Transportation (DOT), Environmental Services (ESD), Housing, Library, Office of Economic Development (OED), Office of Cultural Affairs (OCA) and the Redevelopment Agency (Agency) have reviewed the report on *An Audit of Citywide Grant Oversight* and are generally in agreement with the findings of the audit and concur with the three recommendations made by the City Auditor's Office. All recommendations are operational or administrative process recommendations (Priority 3). Implementation of corrective action timeframe for Priority 3 recommendations is 60 days to one year. Specific responses to the recommendations are listed below.

Recommendation 1: *Develop a procedures manual to formally document City policies and procedures regarding grant oversight.*

The City and the Redevelopment Agency concur with this recommendation. Under the direction and leadership of the City Manager's Office, a grants management working group will be established, composed of representatives with grant management responsibilities from City departments, offices and the Redevelopment Agency. The group will define citywide goals and objectives for the City's Grants Programs; and create citywide guiding principals using existing department manuals (e.g., PRNS and Housing) as the bases to standardize reporting and monitoring requirements based on grant type and funding amounts.

The Administration and the Redevelopment Agency recognize that grants are diverse and some have specific monitoring and reporting requirements that will not be met entirely through a standard reporting and monitoring process. The citywide guiding principles will provide City departments, offices, and the Agency with the capability to supplement the standard policies and procedures to meet any specific reporting or monitoring requirements that may be unique to a particular grant. However, the working group will ensure that these policies and procedures are consistent with the citywide guiding principals, goals, and objectives.

Citywide training will be developed and conducted for staff responsible for grant distribution and monitoring.

Recommendation 2: *Develop a citywide grants database to provide comprehensive grant information, facilitate better grant awarding decisions and grantee monitoring, and help ensure grantee compliance with grant requirements.*

The City and the Redevelopment Agency concur with this recommendation. The City is currently pursuing different options for developing and implementing a citywide grant database to capture basic reporting data to provide at a quick glance current City funding and grantees' compliance status information. Possible options for a citywide database include, but are not limited to, expanding on existing databases (e.g., Capital Improvement Project Database), implementing an "off the shelf" product, or partnering with departments to create a new database. The City and Redevelopment Agency will also explore mechanisms for including fields to capture more specific information and monitoring requirements unique to individual grant programs (e.g., CDBG); as well as provide information on the different community service areas needs being met through the grants being issued (e.g. health care, basic human needs, etc.).

The City will evaluate all viable options for timeliness, cost effectiveness, and City needs. Citywide training will be conducted for staff with grant management responsibilities.

Recommendation 3: *Establish a City Manager's Office Grant Oversight Working Group to (1) establish citywide consistent policies and procedures; (2) establish specific training requirements for staff involved in grants management and monitoring; (3) establish criteria when audited financial statements are obtained and reviewed; (4) establish risk-based criteria for determining when more detailed audits, reviews or monitoring are required; and (5) adopt consistent and reasonable grant agreement requirements related to grantee reporting.*

The City and the Redevelopment Agency concur with this recommendation. This recommendation is also consistent with the Mayor's referral for a central grants unit.
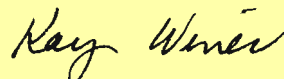
Under the direction and leadership of the City Manager's Office, a grant management working group will be established composed of representatives with grant management responsibilities from the City departments, offices and the RDA. The group will be tasked with the following: develop and implement grant oversight guidelines; establish minimum grant administration requirements based on grant type and funding amount; and develop grant oversight best practices. In addition, the group will be responsible for citywide training.

The group will meet on a monthly basis for the first year and annually thereafter.

The City and the Redevelopment Agency appreciate the work performed by the City Auditor's Office.

HARRY MAVROGENES
Executive Director

KAY WINER
Deputy City Manager

APPENDIX A

DEFINITIONS OF PRIORITY 1, 2, AND 3
AUDIT RECOMMENDATIONS

The City of San Jose's City Administration Manual (CAM) defines the classification scheme applicable to audit recommendations and the appropriate corrective actions as follows:

Priority Class[1]	Description	Implementation Category	Implementation Action[3]
1	Fraud or serious violations are being committed, significant fiscal or equivalent non-fiscal losses are occurring.[2]	Priority	Immediate
2	A potential for incurring significant fiscal or equivalent fiscal or equivalent non-fiscal losses exists.[2]	Priority	Within 60 days
3	Operation or administrative process will be improved.	General	60 days to one year

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[1] The City Auditor is responsible for assigning audit recommendation priority class numbers. A recommendation which clearly fits the description for more than one priority class shall be assigned the higher number. **(CAM 196.4)**

[2] For an audit recommendation to be considered related to a significant fiscal loss, it will usually be necessary for an actual loss of $25,000 or more to be involved or for a potential loss (including unrealized revenue increases) of $50,000 to be involved. Equivalent non-fiscal losses would include, but not be limited to, omission or commission of acts by or on behalf of the City which would be likely to expose the City to adverse criticism in the eyes of its citizens.
(CAM 196.4)

[3] The implementation time frame indicated for each priority class is intended as a guideline for establishing implementation target dates. While prioritizing recommendations is the responsibility of the City Auditor, determining implementation dates is the responsibility of the City Administration.
(CAM 196.4)

CONTROLS		C-1	C-2	C-3	C-4	C-5	C-6	C-7	C-8	C-9	C-10	C-11	C-12	C-13	C-14	C-15	C-16	C-17	C-18	C-19	C-20	C-21
		Department does not release money to the grantee unless the grant performance criteria is met	The monies are released only after service has been provided	Grant agreements specify grant objectives and reporting requirements. The Attorney's Office reviews all documents.	A staff person verifies performance measures provided by the grantees and traces it back to documentation provided by grantee	Grantees are required to report expenditures including a line by line accounting for each expense	Staff reviews all the expenditure reports the grantee submits	Staff will occasionally do site visits to verify grant monies are being appropriately spent	Monies are not all given out at the same time. There is a tiered distribution of the money. This allows staff to ensure that if money is being inappropriately spent then they can stop the grant	Grant objectives are reviewed during the application process. However, if staff feels that grant objectives are not being achieved then they work with the grantee to achieve the objectives	Grantees receiving over $500,000 in grants are required to submit audited financial statements	Grantees are required to provide matching grants	Monitoring Progress Report. This report tracks the grantees' progress, whether they have met grant objectives, problems encountered and the agreed upon changes to meet objectives.	Department presents a Corrective Action Plan that states the actions to be taken to address non-compliance if technical assistance does not resolve the issue. Department also requires quarterly reports with narrations and performance measures. Staff performs desk audits to review documentation provided by grantees on a quarterly basis.	Staff reviews for accuracy performance results presented by grantee	Staff withholds 5% of grant award until they confirm full compliance with grant agreement	Department maintains and frequently updates procedures manual.	Staff person does frequent site visits to ensure that monies are being appropriately spent. This is documented in a binder	All site visits, and reviews of the grantee are filed electronically. These can be easily accessed by the supervisor.	All invoices are reviewed and documented.	Staff uses database which has a fiscal input field. This has to match with the actual documentation.	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.
Threat	Department	Office of Economic Development	Citywide	Citywide	Citywide	Citywide	Citywide	Citywide	Citywide	Citywide	Office of Cultural Affairs	Citywide	PRNS	PRNS	PRNS	PRNS	Housing	Housing	Housing	Housing	Housing	Housing
T-1	Grant recipients misuse grant funds.	A	A			A	A	A	A		A	A	P	A				P		A/P	A/P	
T-2	Grant recipients fail to achieve stated grant objectives				A	A	A						P	A								A/P
T-3	Grant recipients fail to comply with grant agreement provisions and/or City requirements.								A	A			P	A		A/P						A/P
T-4	Grant recipients misrepresent performance measures and/or program outcomes.			A						A			P		A							A/P
T-5	Grant agreements do not identify grant objectives and reporting requirements.				A																	A/P
T-6	Grantee reports are not reviewed, and site visits and/or audits not performed of grantees							A										A/P	A/P			A/P

Note: A denotes actual control. P denotes proposed control. A/P denotes actual control for Department listed and proposed control for all other departments.

The threats and controls that were common among all City Departments have been listed as "Citywide" and we noted the appropriate department that had a unique control for a specific threat. The controls marked "A" are actual controls that the entities indicated they had in place, while the controls marked "P" are controls that we perceived to be either not formalized, potential controls, or existed but were not being used. When read hoizontally, if any square associated with a given threat is blank, the listed control is not applicable.

THREATS, CONTROLS, AND VULNERABILITY ASSESSMENT

Threat/Control			Department Specific Control	Threat's Inherent Risk	Internal Control Rating	**Vulnerability Assessment**	Subobjective /	Audit steps
T-1		**Grant recipients misuse grant funds.**		High				
	C-1	Department does not release money to the grantee unless the grant performance criteria is met	OED		WEAK	**HIGH**		
	C-2	The monies are released only after service has been provided	CITYWIDE		STRONG	**LOW-MODERATE**		
	C-5	Grantees are required to report expenditures including a line by line accounting for each expense	CITYWIDE		WEAK	**HIGH**		
	C-6	Staff reviews all the expenditure reports the grantee submits	CITYWIDE		WEAK	**HIGH**		
	C-7	Staff will occasionally do site visits to verify grant monies are being appropriately spent	CITYWIDE		ADEQUATE	**MODERATE-HIGH**		
	C-8	Monies are not all given out at the same time. There is a tiered distribution of the money. This allows staff to ensure that if money is being inappropriately spent then they can stop the grant	CITYWIDE		ADEQUATE	**MODERATE-HIGH**		
	C-10	Grantees receiving over $500,000 in grants are required to submit audited financial statements	OCA		STRONG	**LOW-MODERATE**		
	C-11	Grantees are required to provide matching grants	CITYWIDE		ADEQUATE	**MODERATE-HIGH**		
	C-12	Monitoring Progress Report. This report tracks the grantees' progress, whether they have met grant objectives, problems encountered and the agreed upon changes to meet objectives.	PRNS		WEAK	**HIGH**		
	C-13	Department presents a Corrective Action Plan that states the actions to be taken to address non-compliance if technical assistance does not resolve the issue. Department also requires quarterly reports with narrations and performance measures. Staff performs desk audits to review documentation provided by grantees on a quarterly basis.	PRNS		ADEQUATE	**MODERATE-HIGH**		
	C-16	Department maintains and frequently updates procedures manual.	HOUSING		STRONG	**LOW-MODERATE**		
	C-19	All invoices are reviewed and documented.	HOUSING		STRONG	**LOW-MODERATE**		
	C-20	Staff uses database which has a fiscal input field. This has to match with the actual documentation.	HOUSING		STRONG	**LOW-MODERATE**		
T-2		**Grant recipients fail to achieve stated grant objectives**		High				
	C-4	Grant agreements specify grant objectives and reporting requirements. The Attorney's Office reviews all documents.	CITYWIDE		STRONG	**LOW-MODERATE**		
	C-5	Grantees are required to report expenditures including a line by line accounting for each expense	CITYWIDE		WEAK	**HIGH**		
	C-6	Staff reviews all the expenditure reports the grantee submits	CITYWIDE		WEAK	**HIGH**		
	C-12	Monitoring Progress Report. This report tracks the grantees' progress, whether they have met grant objectives, problems encountered and the agreed upon changes to meet objectives.	PRNS		WEAK	**HIGH**		

THREATS, CONTROLS, AND VULNERABILITY ASSESSMENT

Threat/Control			Department Specific Control	Threat's Inherent Risk	Internal Control Rating	**Vulnerability Assessment**	Subobjective /	Audit steps
	C-21	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.	HOUSING		ADEQUATE	**MODERATE-HIGH**		
T-3		**Grant recipients fail to comply with grant agreement provisions and/or City requirements.**		High				
	C-6	Staff reviews all the expenditure reports the grantee submits	CITYWIDE		WEAK	**HIGH**		
	C-9	Grant objectives are reviewed during the application process. However, if staff feels that grant objectives are not being achieved then they work with the grantee to achieve the objectives	CITYWIDE		ADEQUATE	**MODERATE-HIGH**		
	C-12	Monitoring Progress Report. This report tracks the grantees progress, whether they have met grant objectives, problems encountered and the agreed upon changes to meet objectives.	PRNS		ADEQUATE	**MODERATE-HIGH**		
	C-13	Department presents a Corrective Action Plan that states the actions to be taken to address non-compliance if technical assistance does not resolve the issue. Department also requires quarterly reports with narrations and performance measures. Staff performs desk audits to review documentation provide by grantees on a quarterly basis.	PRNS		ADEQUATE	**MODERATE-HIGH**		
	C-15	Staff withholds 5% of grant award UNTIL they confirm full compliance with grant agreement	PRNS		WEAK	**HIGH**		
	C-21	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.	HOUSING		STRONG	**LOW-MODERATE**		
T-4		**Grant recipients misrepresent performance measures and/or program outcomes.**		Moderate				
	C-3	A staff person verifies performance measures provided by the grantees and traces it back to documentation provided by grantee	CITYWIDE		STRONG	**LOW**		
	C-9	Grant objectives are reviewed during the application process. However, if staff feels that grant objectives are not being achieved then they work with the grantee to achieve the objectives	CITYWIDE		ADEQUATE	**MODERATE**		
	C-12	Monitoring Progress Report. This report tracks the grantees' progress, whether they have met grant objectives, problems encountered and the agreed upon changes to meet objectives.	PRNS		WEAK	**MODERATE-HIGH**		
	C-14	Staff reviews for accuracy performance results presented by grantee	PRNS		WEAK	**MODERATE-HIGH**		
	C-21	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.	HOUSING		ADEQUATE	**MODERATE**		
T-5		**Grant agreements do not identify grant objectives and reporting requirements.**		Moderate				
	C-4	Grant agreements specify grant objectives and reporting requirements. The Attorney's Office reviews all documents.			WEAK			
	C-21	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.	HOUSING		ADEQUATE	**MODERATE**		

THREATS, CONTROLS, AND VULNERABILITY ASSESSMENT

Threat/Control			Department Specific Control	Threat's Inherent Risk	Internal Control Rating	Vulnerability Assessment	Subobjective /	Audit steps
T-6		**Grantee reports are not reviewed, and site visits and/or audits not performed of grantees**		High				
	C-7	Staff will occasionally do site visits to verify grant monies are being appropriately spent	CITYWIDE		ADEQUATE	MODERATE-HIGH		
	C-17	Staff person does frequent site visits to ensure that monies are being appropriately spent. This is documented in a binder	HOUSING		STRONG	LOW-MODERATE		
	C-18	All site visits, and reviews of the grantee are filed electronically. These can be easily accessed by the supervisor.	HOUSING		ADEQUATE	MODERATE-HIGH		
	C-21	Database has field to document performance for the quarter. Also has a section for proposed activities. This makes it easier to compare. This report is reviewed by the manager on a regular basis.	HOUSING		ADEQUATE	MODERATE-HIGH		

The vulnerability assessment shows the relationships among 1) threat's inherent risk; 2) the relative strength of the City department, office, or RDA's internal controls; and 3) the level of vulnerability for each threat and the extent of testing required during our audit. Based on our preliminary review we deemed a control weak if it was inadequate, non-existent or required further testing.

Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
DOT	DASH Shuttle	San Jose Downtown Assn.	1	$ 200,000
DOT	Our City Forest	Our City Forest	1	$ 197,000
ESD	Recycle and Reuse	Goodwill Industries of Santa Clara County	1	$ 369,000
ESD	Recycle and Reuse	Hope Services	1	$ 10,000
ESD	Recycle and Reuse	Salvation Army	1	$ 123,500
ESD	Recycle and Reuse	St. Vincent de Paul Society	1	$ 13,000
ESD	Resource Area For Teachers	Resource Area for Teachers	1	$ 43,900
ESD	Watershed Environmental Education	San Francisco Bay National Wildlife Society	1	$ 58,400
ESD	Youth Watershed Education Grants	America's River Communities, Inc. - Watershed Education for Urban Families	1	$ 2,200
ESD	Youth Watershed Education Grants	Baldwin School - Awesome Aquatic Adventures	1	$ 3,000
ESD	Youth Watershed Education Grants	Del Mar High School - Monitoring the Abiotic & Biotic Health of our Creek	1	$ 2,625
ESD	Youth Watershed Education Grants	Guadalupe River Park & Gardens - Curriculum Development & Teacher In-Service	1	$ 2,000
ESD	Youth Watershed Education Grants	Gunderson High School - Studying Environmental Impacts along the Guadalupe	1	$ 5,000
ESD	Youth Watershed Education Grants	Marine Science Institute - Discovering Our Bay	1	$ 5,000
ESD	Youth Watershed Education Grants	Meadows School - Wild About Water	1	$ 1,740
ESD	Youth Watershed Education Grants	National Lao-American Community & Economic Development Inc. - Alviso Field Trip	1	$ 800
ESD	Youth Watershed Education Grants	Pioneer High School - Clean Stream/Clean Bay - A Student Watershed Research Group	1	$ 5,000
ESD	Youth Watershed Education Grants	Union Middle School - Following The Path Of Our Watershed	1	$ 5,000
ESD	Youth Watershed Education Grants	Washington School - The Mountains to the Bay: Following the Path of Our Watershed	1	$ 1,673
ESD	Youth Watershed Education Grants	Watershed Project - Kids in Creeks	1	$ 5,000
ESD	Youth Watershed Education Grants	Youth Science Institute - Watershed Education	1	$ 4,500
Housing	Emergency Shelter Grant (ESG)	Asian Americans for Community Involvement	1	$ 13,522
Housing	Emergency Shelter Grant (ESG)	Bill Wilson Center	1	$ 22,000
Housing	Emergency Shelter Grant (ESG)	City of San Jose	1	$ 15,000
Housing	Emergency Shelter Grant (ESG)	Community Technology Alliance	1	$ 36,300
Housing	Emergency Shelter Grant (ESG)	Concern for the Poor	1	$ 49,830
Housing	Emergency Shelter Grant (ESG)	Emergency Housing Consortium	1	$ 75,515
Housing	Emergency Shelter Grant (ESG)	Homeless Care Force	1	$ 25,000
Housing	Emergency Shelter Grant (ESG)	Innvision Commercial Street	1	$ 25,314
Housing	Emergency Shelter Grant (ESG)	Innvision Georgia Travis	1	$ 38,500
Housing	Emergency Shelter Grant (ESG)	Innvision Montgomery	1	$ 39,292
Housing	Emergency Shelter Grant (ESG)	Next Door	1	$ 25,314
Housing	Emergency Shelter Grant (ESG)	Sacred Heart	1	$ 64,075
Housing	Emergency Shelter Grant (ESG)	Unity Care	1	$ 25,094
Housing	Housing Opportunities for People with HIV/Aids (HOPWA)	The Health Trust	1	$ 748,000
Housing	Housing Opportunities for People with HIV/Aids (HOPWA)	San Benito	1	$ 20,000
Housing	Housing Opportunities for People with HIV/Aids (HOPWA) Special Project of National Significance (SPNS)	Health Connections	1	$ 430,000
Housing	Housing Trust Fund	Concern for the Poor	1	$ 10,493
Housing	Housing Trust Fund	Housing Services Partnership	1	$ 972,165
Housing	Housing Trust Fund	Martha's Kitchen	1	$ 45,000
Housing	Housing Trust Fund	Sacred Heart Community Services	1	$ 25,000
Housing	Housing Trust Fund	Santa Clara County Housing Authority	1	$ 200,000
Housing	Housing Trust Fund	Unity Care Group	1	$ 20,000
Library	Books Aloud	Books Aloud	1	$ 42,361
Library	San Jose Public Library Foundation	San Jose Public Library Foundation	1	$ 200,000
Library	Smart Start - Early Education	Almaden Elementary (Smart Start - Early Education)	1	$ 672,000
Library	Smart Start - Early Education	San Jose Day Nursery (Smart Start - Early Education)	1	$ 856,000
OCA	4th of July Fireworks grant	4th of July Fireworks grant	1	$ 24,262
OCA	Contract for Arts Services	San Jose Stage Company	1	$ 74,560
OCA	Festival, Parade & Celebration Grants	African American Community Ser - Juneteenth Festival	1	$ 3,310
OCA	Festival, Parade & Celebration Grants	Almaden Valley Women's Club - Almaden Valley Art and Wine Festival	1	$ 7,722
OCA	Festival, Parade & Celebration Grants	American GI Forum - Cinco de Mayo Parade and Festival	1	$ 3,310
OCA	Festival, Parade & Celebration Grants	Berryessa Music Boosters - Berryessa Art and Wine Festival	1	$ 4,689
OCA	Festival, Parade & Celebration Grants	Campus Community Association - Bark in the Park	1	$ 6,619
OCA	Festival, Parade & Celebration Grants	Chinese Historic and Cultural Pr. - Chinese Summer Festival	1	$ 5,061
OCA	Festival, Parade & Celebration Grants	Christmas in the Park	1	$ 23,396
OCA	Festival, Parade & Celebration Grants	Cinequest, Inc. - San José Film Festival	1	$ 24,930
OCA	Festival, Parade & Celebration Grants	Community Family Services -San José Children's Faire	1	$ 4,964
OCA	Festival, Parade & Celebration Grants	Emergency Housing Consortium - San José America Festival	1	$ 28,912
OCA	Festival, Parade & Celebration Grants	Five Wounds School - Five Wounds Festival	1	$ 2,206
OCA	Festival, Parade & Celebration Grants	Friends of Guadalupe River Park - Pumpkins in the Park	1	$ 9,980
OCA	Festival, Parade & Celebration Grants	Friends of Guadalupe River Park - Spring in Guadalupe Gardens	1	$ 5,600
OCA	Festival, Parade & Celebration Grants	Immigrant Resettlement - Vietnamese Tet Festival	1	$ 6,343
OCA	Festival, Parade & Celebration Grants	Indian Health Center - San José Pow Wow	1	$ 3,310
OCA	Festival, Parade & Celebration Grants	Mexican Heritage Corporation - Africa in the Americas	1	$ 3,861
OCA	Festival, Parade & Celebration Grants	Mexican Heritage Corporation - Dia de Los Muertos	1	$ 3,034
OCA	Festival, Parade & Celebration Grants	Mexican Heritage Corporation - Dia de Portugal	1	$ 4,413
OCA	Festival, Parade & Celebration Grants	Mexican Heritage Corporation - San José International Mariachi Festival	1	$ 13,238
OCA	Festival, Parade & Celebration Grants	Nikkei Matsuri Festival	1	$ 5,792
OCA	Festival, Parade & Celebration Grants	Prusch Farm Park & Cul. Found. - Multicultural Harvest Festival	1	$ 3,310
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Brew Ha Ha	1	$ 3,861
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Cinema San Pedro	1	$ 2,206
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Downtown Ice	1	$ 13,743
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Gypsy Outdoor Cinema	1	$ 2,206
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Music in the Other Park	1	$ 6,619
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - Music in the Park	1	$ 16,777
OCA	Festival, Parade & Celebration Grants	San Jose Downtown Assn. - SoFA Music After Dark	1	$ 4,964
OCA	Festival, Parade & Celebration Grants	San Jose Jazz Society - Sunday Jazz Series	1	$ 5,516
OCA	Festival, Parade & Celebration Grants	San Jose Jazz Society San José Jazz Festival	1	$ 37,880
OCA	Festival, Parade & Celebration Grants	SJ Multicultural Artists Guild - Il Festival Floricanto Ketzalcoat	1	$ 4,689
OCA	Festival, Parade & Celebration Grants	South Bay Guitar Society - Guitar Solo & Ensemble Festival	1	$ 1,000
OCA	Festival, Parade & Celebration Grants	St. Patrick's School - Unity Festival	1	$ 1,103
OCA	Festival, Parade & Celebration Grants	Tapestry Arts - Tapestry Arts Festival	1	$ 18,983
OCA	Festival, Parade & Celebration Grants	United Veteran's Council - Memorial Day Ceremony	1	$ 1,000
OCA	Festival, Parade & Celebration Grants	United Veteran's Council - Veterans' Day Parade	1	$ 15,288
OCA	Festival, Parade & Celebration Grants	W. San Carlos Neigh. & Bus. As. - Luther Burbank Jamboree	1	$ 2,758
OCA	Festival, Parade & Celebration Grants	Willow Glen Bus. & Prof. Assn. - Dancin' on the Avenue	1	$ 4,689
OCA	Festival, Parade & Celebration Grants	Youth Science Institute - Wildlife Festival	1	$ 3,310
OCA	Music & Arts Campaign Grant	Music & Arts Campaign Grant	1	$ 5,000
OCA	Operating Grants (Arts)	Abhinaya Dance Company of San Jose	1	$ 18,629
OCA	Operating Grants (Arts)	American Musical Theatre of San Jose	1	$ 147,673

Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
OCA	Operating Grants (Arts)	Chinese Performing Artists of America, San Jose	1	$ 14,587
OCA	Operating Grants (Arts)	Cinequest, Inc.	1	$ 47,790
OCA	Operating Grants (Arts)	City Lights Performance Group	1	$ 15,346
OCA	Operating Grants (Arts)	Contemporary Asian Theater Scene	1	$ 7,034
OCA	Operating Grants (Arts)	Kaisahan of San Jose Dance Company	1	$ 14,330
OCA	Operating Grants (Arts)	Los Lupenos de San Jose	1	$ 15,797
OCA	Operating Grants (Arts)	Mexican Heritage Corporation	1	$ 60,389
OCA	Operating Grants (Arts)	Movimiento de Arte y Cultura Latino Americana	1	$ 29,568
OCA	Operating Grants (Arts)	Northside Theatre Council of San Jose	1	$ 13,653
OCA	Operating Grants (Arts)	Opera San Jose, Inc.	1	$ 128,798
OCA	Operating Grants (Arts)	San Jose Chamber Orchestra	1	$ 13,450
OCA	Operating Grants (Arts)	San Jose Children's Discovery Museum	1	$ 77,066
OCA	Operating Grants (Arts)	San Jose Children's Musical Theater	1	$ 73,381
OCA	Operating Grants (Arts)	San Jose Cleveland Ballet	1	$ 149,441
OCA	Operating Grants (Arts)	San Jose Institute of Contemporary Art	1	$ 32,571
OCA	Operating Grants (Arts)	San Jose Jazz Society	1	$ 62,239
OCA	Operating Grants (Arts)	San Jose Multicultural Artists Guild	1	$ 13,956
OCA	Operating Grants (Arts)	San Jose Museum of Art Association	1	$ 218,498
OCA	Operating Grants (Arts)	San Jose Museum of Quilts and Textiles	1	$ 31,909
OCA	Operating Grants (Arts)	San Jose Repertory Theatre	1	$ 200,273
OCA	Operating Grants (Arts)	San Jose Stage Company	1	$ 38,350
OCA	Operating Grants (Arts)	San Jose Symphonic Choir	1	$ 9,396
OCA	Operating Grants (Arts)	San Jose Taiko Group, Inc.	1	$ 24,821
OCA	Operating Grants (Arts)	Teatro Vision de San Jose	1	$ 33,089
OCA	Operating Grants (Arts)	The Flamenco Society of Northern California in San Jose	1	$ 5,634
OCA	Operating Grants (Arts)	Young Audiences, Inc. of San Jose & Silicon Valley	1	$ 30,009
OCA	Organization Development Grants	American Musical Theatre of San Jose	1	$ 7,000
OCA	Organization Development Grants	City Lights Theater Company	1	$ 4,707
OCA	Organization Development Grants	Dimension Performing Arts	1	$ 5,000
OCA	Organization Development Grants	Evergreen Balvihar	1	$ 1,942
OCA	Organization Development Grants	Gilbert & Sullivan Society of San Jose	1	$ 5,085
OCA	Organization Development Grants	San Jose Jazz Society	1	$ 5,000
OCA	Organization Development Grants	San Jose Museum of Quilts and Textiles	1	$ 7,000
OCA	Organization Development Grants	San Jose Repertory Theatre	1	$ 7,000
OCA	Organization Development Grants	sjDANCEco	1	$ 2,266
OCA	Performing Arts Series grant	Performing Arts Series grant	1	$ 45,350
OCA	Project & Program Grants (Arts)	Arab Film Festival	1	$ 5,250
OCA	Project & Program Grants (Arts)	Associated Students of SJSU, Inc.	1	$ 11,323
OCA	Project & Program Grants (Arts)	Association for Viet Arts	1	$ 7,350
OCA	Project & Program Grants (Arts)	Aztlan Academy - San Jose, Inc.	1	$ 12,600
OCA	Project & Program Grants (Arts)	Ballet Afsaneh Art and Culture Society	1	$ 2,800
OCA	Project & Program Grants (Arts)	Bay Area Glass Institute, Inc.	1	$ 6,300
OCA	Project & Program Grants (Arts)	Center for Literary Arts	1	$ 16,200
OCA	Project & Program Grants (Arts)	Dimension Performing Arts	1	$ 11,726
OCA	Project & Program Grants (Arts)	Firebird Youth Chinese Orchestra	1	$ 13,968
OCA	Project & Program Grants (Arts)	KTEH TV Foundation	1	$ 13,968
OCA	Project & Program Grants (Arts)	Margaret Wingrove Dancers	1	$ 9,800
OCA	Project & Program Grants (Arts)	Rainbow Women's Chorus	1	$ 2,765
OCA	Project & Program Grants (Arts)	Russian Music Competition, Inc.	1	$ 13,968
OCA	Project & Program Grants (Arts)	San Jose Center for Poetry and Literature	1	$ 5,704
OCA	Project & Program Grants (Arts)	San Jose Chamber Music Society	1	$ 13,968
OCA	Project & Program Grants (Arts)	San Jose Dance Theatre	1	$ 10,500
OCA	Project & Program Grants (Arts)	San Jose Jewish Film Festival	1	$ 10,500
OCA	Project & Program Grants (Arts)	San Jose Youth Symphony	1	$ 13,968
OCA	Project & Program Grants (Arts)	Santa Clara Valley Performing Arts Association	1	$ 13,192
OCA	Project & Program Grants (Arts)	Shri Krupa Dance Foundation	1	$ 10,500
OCA	Project & Program Grants (Arts)	sjDANCEco	1	$ 2,500
OCA	Project & Program Grants (Arts)	South Bay Guitar Society	1	$ 10,321
OCA	Project & Program Grants (Arts)	Steinway Society The Bay Area	1	$ 13,192
OCA	Project & Program Grants (Arts)	Tapestry Arts San Jose, Inc.	1	$ 12,600
OCA	Project & Program Grants (Arts)	The Gilbert & Sullivan Society of San Jose	1	$ 13,968
OCA	Project & Program Grants (Arts)	The Winchester Orchestra of San Jose	1	$ 9,312
OCA	Project & Program Grants (Arts)	Valley Medical Center Foundation	1	$ 2,832
OCA	Project & Program Grants (Arts)	Works/San Jose	1	$ 12,416
OED	Chamber of Commerce	Black Chamber of Commerce	1	$ 34,247
OED	Chamber of Commerce	Filipino Chamber of Commerce	1	$ 34,247
OED	Chamber of Commerce	Hispanic Chamber of Commerce	1	$ 87,300
OED	Chamber of Commerce	Japanese Chamber of Commerce	1	$ 34,247
OED	Chamber of Commerce	Portuguese Chamber of Commerce	1	$ 17,124
OED	Chamber of Commerce	Vietnamese Chamber of Commerce	1	$ 34,247
OED	Joint Venture: Silicon Valley	Joint Venture: Silicon Valley	1	$ 41,163
OED	Silicon Valley Workforce Investment Network	City of Sunnyvale-Nova	1	$ 383,000
OED	Silicon Valley Workforce Investment Network	County of Merced	1	$ 257,500
OED	Silicon Valley Workforce Investment Network	Gilroy Economic Dev.	1	$ 90,000
OED	Silicon Valley Workforce Investment Network	Henkels & McCoy	1	$ 350,000
OED	Silicon Valley Workforce Investment Network	Henkels & McCoy	1	$ 107,361
OED	Silicon Valley Workforce Investment Network	Institute for Business Performance	1	$ 2,501,988
OED	Silicon Valley Workforce Investment Network	Junior Achievement	1	$ 58,614
OED	Silicon Valley Workforce Investment Network	San José Conservation Corps	1	$ 147,000
OED	Silicon Valley Workforce Investment Network	San José/Evergreen Valley College	1	$ 350,000
OED	Silicon Valley Workforce Investment Network	Second Start	1	$ 470,000
OED	Silicon Valley Workforce Investment Network	Second Start	1	$ 430,000
OED	Silicon Valley Workforce Investment Network	Second Start	1	$ 350,000

Source: 2004-05 grants and
grant amounts as reported
by City Departments

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Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
OED	Silicon Valley Workforce Investment Network	Second Start	1	$ 150,000
OED	Silicon Valley Workforce Investment Network	SJSU Foundation	1	$ 100,000
OED	Silicon Valley Workforce Investment Network	Women in Community Service	1	$ 192,925
OED	ZeroOne San Jose International Art and Technology Festival	ZeroOne San Jose International Art and Technology Festival	1	$ 100,000
PRNS	Community Action and Pride (CAP)	Community Action and Pride (CAP)	36	$ 800,000
PRNS	Community Development Block Grant (CDBG)	Alma Community Center	1	$ 78,000
PRNS	Community Development Block Grant (CDBG)	Alzheimer's Activity Center	1	$ 31,030
PRNS	Community Development Block Grant (CDBG)	Anti-Graffiti Program	1	$ 529,662
PRNS	Community Development Block Grant (CDBG)	Anti-Litter Program	1	$ 248,030
PRNS	Community Development Block Grant (CDBG)	Asian Law Alliance	1	$ 55,855
PRNS	Community Development Block Grant (CDBG)	Blind & Visually Impaired Client Service Delivery	1	$ 27,927
PRNS	Community Development Block Grant (CDBG)	Case Management for Homeless Families	1	$ 30,410
PRNS	Community Development Block Grant (CDBG)	Cecil White Center	1	$ 48,614
PRNS	Community Development Block Grant (CDBG)	Code Enforcement Program	1	$ 1,771,226
PRNS	Community Development Block Grant (CDBG)	Code Enforcement Program	1	$ 738,011
PRNS	Community Development Block Grant (CDBG)	Code Enforcement Program	1	$ 442,806
PRNS	Community Development Block Grant (CDBG)	Community Inns	1	$ 24,824
PRNS	Community Development Block Grant (CDBG)	Community Support Recreation	1	$ 21,721
PRNS	Community Development Block Grant (CDBG)	Comprehensive Emergency Assistance Program	1	$ 80,969
PRNS	Community Development Block Grant (CDBG)	Comprehensive Services Project	1	$ 25,859
PRNS	Community Development Block Grant (CDBG)	Continuum of Care	1	$ 20,687
PRNS	Community Development Block Grant (CDBG)	Corps Community Project	1	$ 187,061
PRNS	Community Development Block Grant (CDBG)	Day Worker Service Center	1	$ 51,184
PRNS	Community Development Block Grant (CDBG)	Deaf Community Support Program	1	$ 29,040
PRNS	Community Development Block Grant (CDBG)	East San Jose Community Law Center	1	$ 27,927
PRNS	Community Development Block Grant (CDBG)	Economic and Social Opportunity: Housing and Energy Services	1	$ 560,000
PRNS	Community Development Block Grant (CDBG)	Ethiopian Community Center	1	$ 36,103
PRNS	Community Development Block Grant (CDBG)	Fair Housing Investigation & Enforcement Services	1	$ 267,615
PRNS	Community Development Block Grant (CDBG)	Family Self-Sufficiency	1	$ 31,123
PRNS	Community Development Block Grant (CDBG)	H.O.M.E.S.	1	$ 63,095
PRNS	Community Development Block Grant (CDBG)	Housing Program for Persons with Disabilities	1	$ 10,343
PRNS	Community Development Block Grant (CDBG)	Housing Rehabilitation - Citywide and SNI Targeted	1	$ 1,500,064
PRNS	Community Development Block Grant (CDBG)	Housing Repair for Low - Income Seniors/Disabled	1	$ 45,000
PRNS	Community Development Block Grant (CDBG)	Improved Client Services Delivery	1	$ 80,500
PRNS	Community Development Block Grant (CDBG)	Julian Street Inn	1	$ 35,168
PRNS	Community Development Block Grant (CDBG)	Juvenile Drug Treatment Court Mentoring Program	1	$ 40,006
PRNS	Community Development Block Grant (CDBG)	Kidango Linda Vista Children's Center Renovations	1	$ 193,287
PRNS	Community Development Block Grant (CDBG)	Korean American Community Services	1	$ 9,082
PRNS	Community Development Block Grant (CDBG)	Legal Aid Society Fair Housing Counseling	1	$ 118,725
PRNS	Community Development Block Grant (CDBG)	Legal Aid: Housing Counseling Project	1	$ 161,426
PRNS	Community Development Block Grant (CDBG)	Legal Assistance to Elders	1	$ 91,023
PRNS	Community Development Block Grant (CDBG)	Loaves & Fishes Project	1	$ 20,687
PRNS	Community Development Block Grant (CDBG)	Long Term Care Ombudsman Program	1	$ 28,750
PRNS	Community Development Block Grant (CDBG)	MACSA Adult Day Health Care Services	1	$ 31,973
PRNS	Community Development Block Grant (CDBG)	MACSA Youth Center Services	1	$ 147,877
PRNS	Community Development Block Grant (CDBG)	MERLIN San Jose	1	$ 317,241
PRNS	Community Development Block Grant (CDBG)	Minority Senior Service Providers Consortium	1	$ 130,357
PRNS	Community Development Block Grant (CDBG)	Non-Rent Rental Tenancy Protection Program	1	$ 47,793

Source: 2004-05 grants and
grant amounts as reported
by City Departments

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Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
PRNS	Community Development Block Grant (CDBG)	Operation Brown Bag	1	$ 18,618
PRNS	Community Development Block Grant (CDBG)	Project Northside	1	$ 36,202
PRNS	Community Development Block Grant (CDBG)	Project SHARE	1	$ 21,793
PRNS	Community Development Block Grant (CDBG)	Residential Care Ombudsman Program	1	$ 24,824
PRNS	Community Development Block Grant (CDBG)	Runaway & Homeless Youth Shelter	1	$ 41,374
PRNS	Community Development Block Grant (CDBG)	San Jose/Silicon Valley Center for Entrepreneurial Development (CED)	1	$ 93,920
PRNS	Community Development Block Grant (CDBG)	School Advocate Project	1	$ 31,030
PRNS	Community Development Block Grant (CDBG)	Senior Adult Day Care/Respite	1	$ 30,496
PRNS	Community Development Block Grant (CDBG)	Shared Housing Program	1	$ 82,748
PRNS	Community Development Block Grant (CDBG)	Shelter Next Door	1	$ 82,748
PRNS	Community Development Block Grant (CDBG)	Small Business Development Project	1	$ 27,000
PRNS	Community Development Block Grant (CDBG)	Smart Start San Jose Family Child Care	1	$ 208,781
PRNS	Community Development Block Grant (CDBG)	SNI/Special Neighborhood Projects	1	$ 355,699
PRNS	Community Development Block Grant (CDBG)	Transitional Care for Mildly Ill Children	1	$ 34,676
PRNS	Community Development Block Grant (CDBG)	Vietnamese Elderly Services Senior Center	1	$ 62,061
PRNS	Community Development Block Grant (CDBG)	Vietnamese Youth Gang Prevention/Intervention	1	$ 21,982
PRNS	Community Development Block Grant (CDBG)	WATCH	1	$ 34,134
PRNS	Community Development Block Grant (CDBG)	Welch Park Improvements	1	$ 200,000
PRNS	Community Development Block Grant (CDBG)	Young Women's & Men's Empowerment Project	1	$ 69,036
PRNS	Community Development Block Grant (CDBG)	MACSA: Youth Opportunties Unlimited	1	$ 152,049
PRNS	Community Development Block Grant (CDBG)	Yu-Ai Kai- Rehab	1	$ 92,971
PRNS	Community Development Block Grant (CDBG)	YWCA Child Care Program	1	$ 175,062
PRNS	Healthy Neighborhood Venture Fund (HNVF)	American Lung Association of Santa Clara-San Benito Counties - Fostering Tobacco Free Communities	1	$ 126,650
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Asian American Recovery Services, Inc. - Project Crossroads	1	$ 78,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Bill Wilson Marriage and Family Counseling Center - Project Safe Place	1	$ 71,200
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Billy Defrank Lesbian and Gay Community Center - LGBT Senior Services Program	1	$ 71,715
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Campbell Union School District - Winchester Neighborhood Even Start Expansion and Enhancement	1	$ 58,740
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Catholic Charities of Santa Clara County - Older Caregiver Respite and Support Services	1	$ 139,478
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Catholic Charities of Santa Clara County - Support To At-Risk Seniors	1	$ 73,188
PRNS	Healthy Neighborhood Venture Fund (HNVF)	City Year San Jose/Silicon Valley - City Year After-School Enrichment Programs	1	$ 30,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Continuing Development, Inc. - Provider Training, Resource, and Activity Center	1	$ 51,246
PRNS	Healthy Neighborhood Venture Fund (HNVF)	East Bay Counseling and Referral Agency for the Deaf - Healthy Living Project	1	$ 60,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Easter Seals Bay Area - Scholarships for Warm-Water Aquatics Programs	1	$ 51,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Eastern European Service Agency, Inc. - Seniors Hope	1	$ 48,431
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Ethiopian Community Services, Inc. - Senior Services	1	$ 50,250
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Filipino-American Senior Opportunities Development Council - Northside Intergenerational Community Project	1	$ 230,939
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Fresh Lifelines for Youth - Legal Eagles	1	$ 28,581
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Friends Outside in Santa Clara County - Youth Enrichment Project	1	$ 50,063
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Gardner Family Health Network Inc. - Healthy Children Project	1	$ 85,931
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Goodwill Industries of Santa Clara County School-To-Career	1	$ 85,423
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Grail Family Services - Children's BEST for Achievement After School Literacy Program	1	$ 40,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Health Trust - Meals on Wheels	1	$ 40,923
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Indian Health Center of Santa Clara Valley - Community Care for American Indian Elders	1	$ 67,637
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Indian Health Center of Santa Clara Valley - San José Native American Youth Empowerment Program	1	$ 50,063
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Innvision of Santa Clara Valley - Tobacco-Free Health Project	1	$ 40,050
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Junior Achievement of Santa Clara County - Economic Education Workforce Readiness and Economic Education Program	1	$ 50,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Live Oak Adult Day Services - Senior Adult Day Care/Repite	1	$ 40,050

Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Mexican American Community Services Agency - Adult Day Health Care Scholarship Project	1	$ 72,257
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Mexican American Community Services Agency - Street Reach Project	1	$ 84,806
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Mexican Heritage Corporation of San José - Heritage Arts Education/Mariachi Program	1	$ 75,650
PRNS	Healthy Neighborhood Venture Fund (HNVF)	NAACP San Jose Branch - Youth Leadership Academy Program	1	$ 19,630
PRNS	Healthy Neighborhood Venture Fund (HNVF)	National Conference for Community and Justice - Camp Anytown USA, San José Project	1	$ 47,039
PRNS	Healthy Neighborhood Venture Fund (HNVF)	National Council on Alcoholism Santa Clara County - Cessation Readiness Program	1	$ 69,700
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Next Door Solutions to Domestic Violence - Mature Alternatives to Violent Environments Now	1	$ 130,298
PRNS	Healthy Neighborhood Venture Fund (HNVF)	O'Neill Sea Odyssey - San José Community Oceanography Program	1	$ 22,838
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Pathway Society, Inc. - Pathyway to Family Wellness	1	$ 19,401
PRNS	Healthy Neighborhood Venture Fund (HNVF)	PBCE - Local Enforcement of Tobacco Control Regulations	1	$ 81,433
PRNS	Healthy Neighborhood Venture Fund (HNVF)	PRNS - Addressing the Gaps in Aging Services	1	$ 779,499
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Resource Area for Teachers	1	$ 75,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Respite, Research for Alzheimer's Disease - Alzheimer's Activity Center	1	$ 26,700
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Respite, Research for Alzheimer's Disease - Rosa Elena Childcare Center	1	$ 36,713
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Sacred Heart Community Service -Turn the Tide Children's Education Program	1	$ 65,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Children's Musical Theater - Healthy Stages	1	$ 84,524
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Conservation Corps - Youth Corps Program	1	$ 57,770
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Conservation Corps Youthbuild San José	1	$ 89,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Jazz Society - Keep the Music Alive	1	$ 187,500
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Museum of Art - Summer Art Studios & Studio 110 Teen Program	1	$ 59,940
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Public Library - Books for Little Hands	1	$ 172,883
PRNS	Healthy Neighborhood Venture Fund (HNVF)	San Jose Repertory Theatre - Red Ladder Theatre Company Program	1	$ 32,300
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Santa Clara Family Health Plan - Children's Health Initiative	1	$ 2,099,808
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Santa Clara Valley Blind Center, Inc. - Seniors Living With Vision Loss	1	$ 66,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	School Health Clinics of Santa Clara County - Washington Neighborhood Health Clinic	1	$ 39,982
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Self-Help for the Elderly - Minority Senior Service Providers Consortium Wellness Project	1	$ 186,900
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Senior Adults Legal Assistance - Legal Assistance to Elders Expansion Project	1	$ 48,968
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Services for Brain Injury - After School Program for Children with Brain Injury	1	$ 78,160
PRNS	Healthy Neighborhood Venture Fund (HNVF)	SJFD - Senior Safety Education Program	1	$ 77,430
PRNS	Healthy Neighborhood Venture Fund (HNVF)	SJPD - Youth Tobacco Education and Compliance Program	1	$ 54,691
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Stroke Awareness Foundation - Stroke Awaremess Campaign	1	$ 300,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Student Racing Partners - Model Racecar Program	1	$ 42,747
PRNS	Healthy Neighborhood Venture Fund (HNVF)	The Role Model Program - Community Classroom Visit Program	1	$ 37,710
PRNS	Healthy Neighborhood Venture Fund (HNVF)	The Unity Care Group - Foster Care Youth Academic and Leadership Program	1	$ 97,010
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Third Street Community Center - Inspiring Young Minds and Families	1	$ 47,000
PRNS	Healthy Neighborhood Venture Fund (HNVF)	Tooth Mobile - Dental Care for Uninsured and Uninsurable Children of San José	1	$ 140,625
PRNS	Healthy Neighborhood Venture Fund (HNVF)	YMCA of Santa Clara County - In The Know - YWCA Tobacco Awareness Program	1	$ 24,030
PRNS	Healthy Neighborhood Venture Fund (HNVF)	YMCA of Santa Clara County - Tobacco-Free Community	1	$ 16,688
PRNS	Healthy Neighborhood Venture Fund (HNVF)	YMCA of Santa Clara Valley - San José AfterSchool: YMCA Lietz and Farham Elementary	1	$ 53,530
PRNS	Healthy Neighborhood Venture Fund (HNVF)	YMCA of Santa Clara Valley - Schools Partnership Project	1	$ 61,608
PRNS	HNVF - Homework Centers	A Gifted Education, Inc. - Almaden Country School	1	$ 10,000
PRNS	HNVF - Homework Centers	African American Community Services Agency - AACSA	1	$ 1,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Arbuckle Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Cassell Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Cureton Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Dorsa Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Fischer Middle School	1	$ 12,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Goss Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Hubbard Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Joseph George Middle School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Linda Vista Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Lyndale Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - McCollam Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Ocala Middle School	1	$ 12,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Painter Elementary School	1	$ 7,536

Source: 2004-05 grants and
grant amounts as reported
by City Departments

D-5

Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Pala Middle School	1	$ 10,000
PRNS	HNVF - Homework Centers	Alum rock Union School District - Rogers Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Ryan Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Sheppard Middle School	1	$ 7,500
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Shields Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Alum Rock Union School District - Slonaker Elementary School	1	$ 7,200
PRNS	HNVF - Homework Centers	Berryessa Union School Distict - Piedmont Middle School	1	$ 10,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Brooktree Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Cherrywood Elementary School	1	$ 14,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Laneview Elementary School	1	$ 13,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Majestic Way Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Morrill Middle School	1	$ 12,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Noble Elementary School	1	$ 13,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Northwood Elementary School	1	$ 15,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Ruskin Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Sierramont Middle School	1	$ 15,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Summerdale Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Toyon Elementary School	1	$ 6,000
PRNS	HNVF - Homework Centers	Berryessa Union School District - Vinci Park Elementary School	1	$ 15,536
PRNS	HNVF - Homework Centers	Boys & Girls Clubs of Silicon Valley - Eastside	1	$ 10,000
PRNS	HNVF - Homework Centers	Boys & Girls Clubs of Silicon Valley - Northside	1	$ 7,500
PRNS	HNVF - Homework Centers	Boys & Girls Clubs of Silicon Valley - Southside	1	$ 10,000
PRNS	HNVF - Homework Centers	Boys & Girls Clubs of Silicon Valley - Village of Four Seasons Unit	1	$ 7,000
PRNS	HNVF - Homework Centers	Cambrian School District - Bagby Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Cambrian School District - Fammatre Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Cambrian School District - Farnham Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	Cambrian School District - Price Middle School	1	$ 17,000
PRNS	HNVF - Homework Centers	Cambrian School District - Sartorette Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Campbell Union High School - Prospect High School	1	$ 10,000
PRNS	HNVF - Homework Centers	Campbell Union High School District - Del Mar High School	1	$ 10,000
PRNS	HNVF - Homework Centers	Campbell Union High School District - Leigh High School	1	$ 10,000
PRNS	HNVF - Homework Centers	Campbell Union High School District - Westmont High School	1	$ 8,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Blackford Elementary School	1	$ 7,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Branham High School	1	$ 7,500
PRNS	HNVF - Homework Centers	Campbell Union School District - Castlemont Elementary	1	$ 7,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Forest Hill Elementary School	1	$ 7,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Lynhaven Elementary School	1	$ 4,500
PRNS	HNVF - Homework Centers	Campbell Union School District - Monroe Middle School	1	$ 16,536
PRNS	HNVF - Homework Centers	Campbell Union School District - Rolling Hills Middle School	1	$ 12,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Rosemary Elementary School	1	$ 13,000
PRNS	HNVF - Homework Centers	Campbell Union School District - Sherman Oaks Elementary School	1	$ 20,000
PRNS	HNVF - Homework Centers	Center for Training and Careers, Inc. - Meyer Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	City of San José - Alma Youth Center	1	$ 200
PRNS	HNVF - Homework Centers	City of San José - Alviso Branch Library	1	$ 10,000
PRNS	HNVF - Homework Centers	City of San José - Berryessa Branch Library	1	$ 12,000
PRNS	HNVF - Homework Centers	City of San José - Biblioteca Latinoamericana	1	$ 10,000
PRNS	HNVF - Homework Centers	City of San José - Calabazas Branch Library	1	$ 12,000
PRNS	HNVF - Homework Centers	City of San José - East Branch Carnegie Library	1	$ 7,500
PRNS	HNVF - Homework Centers	City of San José - Educational Park Branch Library	1	$ 7,500
PRNS	HNVF - Homework Centers	City of San José - Ellington Branch Library	1	$ 7,500
PRNS	HNVF - Homework Centers	City of San José - Hillview Branch Library	1	$ 5,000
PRNS	HNVF - Homework Centers	City of San José - Santa Teresa Branch Library	1	$ 10,000
PRNS	HNVF - Homework Centers	City of San José - West Valley Branch Library	1	$ 10,301
PRNS	HNVF - Homework Centers	City Year of San José - Lowell Elementary	1	$ 9,000
PRNS	HNVF - Homework Centers	Concern For the Poor, Inc. - San José Family Shelter	1	$ 9,500
PRNS	HNVF - Homework Centers	CrossCultural Community Services Center - Cadwallader Elementary School	1	$ 9,000
PRNS	HNVF - Homework Centers	CrossCultural Community Services Center - Holly Oak Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	CrossCultural Community Services Center - Kennedy Elementary School	1	$ 13,000
PRNS	HNVF - Homework Centers	CrossCultural Community Services Center - Santee Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Crosscultural Community Services Center - Smith (K.R.) Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Cupertino Union School District - De Vargas Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Cupertino Union School District - Dilworth Elementary School	1	$ 6,050
PRNS	HNVF - Homework Centers	Cupertino Union School District - Meyerholz Elementary School	1	$ 9,000
PRNS	HNVF - Homework Centers	Cupertino Union School District - Muir Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Cupertino Union School Dsitrict - Miller Middle School	1	$ 10,000
PRNS	HNVF - Homework Centers	East Side Union High School District - Andrew Hill High School	1	$ 10,000
PRNS	HNVF - Homework Centers	East Side Union High School District - Empire Gardens Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	East Side Union High School District - Evergreen High School	1	$ 12,500
PRNS	HNVF - Homework Centers	East Side Union High School District - Independence High School	1	$ 13,000
PRNS	HNVF - Homework Centers	East Side Union High School District - James Lick High School	1	$ 18,500
PRNS	HNVF - Homework Centers	East Side Union High School District - Mt. Pleasant High School	1	$ 10,000
PRNS	HNVF - Homework Centers	East Side Union High School District - Oak Grove High School	1	$ 11,500
PRNS	HNVF - Homework Centers	East Side Union High School District - Piedmont Hills High School	1	$ 8,000
PRNS	HNVF - Homework Centers	East Side Union High School District - Santa Teresa High School	1	$ 11,500
PRNS	HNVF - Homework Centers	East Side Union High School District - Silver Creek High School	1	$ 15,000
PRNS	HNVF - Homework Centers	East Side Union High School District - Yerba Buena High School	1	$ 13,500
PRNS	HNVF - Homework Centers	Eden Housing Inc. - Eden Palms Apartments	1	$ 7,500
PRNS	HNVF - Homework Centers	Eden Housing Inc. - Ohlone Chynoweth Commons	1	$ 10,000
PRNS	HNVF - Homework Centers	Ethiopian Community Services, Inc. - Baker park Apts.	1	$ 9,500
PRNS	HNVF - Homework Centers	Evergreen School District - Carolyn A. Clark Elementary	1	$ 7,800
PRNS	HNVF - Homework Centers	Evergreen School District - Cedar Grove Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Evergreen School District - Chaboya Middle School	1	$ 5,000
PRNS	HNVF - Homework Centers	Evergreen School District - John Montgomery Elementary	1	$ 7,800
PRNS	HNVF - Homework Centers	Evergreen School District - Ley Va Middle School	1	$ 14,000
PRNS	HNVF - Homework Centers	Evergreen School District - Matsumoto Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Evergreen School District - Millbrook Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Evergreen School District - Norwood Creek Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Evergreen School District - O.B. Whaley Elementary School	1	$ 2,000
PRNS	HNVF - Homework Centers	Evergreen School District - Silver Oak Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Evergreen School District - Smith (James) Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Franklin McKinley Educational Foundation - The Fair Exchange	1	$ 28,000
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Dahl Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Franklin Elementary Schoo	1	$ 13,000
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Hellyer Elementary Schoo	1	$ 9,500
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Los Arboles Elementary School	1	$ 8,500
PRNS	HNVF - Homework Centers	Franklin McKinley School District - McKinley Elementary Schoo	1	$ 10,000

Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Meadows Elementary Schoo	1	$ 12,500
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Seven Trees Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Shirakawa Elementary Schoo	1	$ 13,000
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Stonegate Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Sylvandale Middle Schoo	1	$ 12,300
PRNS	HNVF - Homework Centers	Franklin McKinley School District - Windmill Springs Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Fremont Union High School District - Lynbrook High School	1	$ 12,000
PRNS	HNVF - Homework Centers	Grace Lutheran Church of San José - Grace Lutheran Church of San José	1	$ 7,000
PRNS	HNVF - Homework Centers	Housing Authority of County of Santa Clara - Huff Gardens Apartments	1	$ 5,500
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Blossom River Apartments	1	$ 7,486
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Helzer Court Apartments	1	$ 1,500
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Pinmore Gardens Apartments	1	$ 7,500
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Poco Way Apartments	1	$ 5,000
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Villa Garcia Apartments	1	$ 7,185
PRNS	HNVF - Homework Centers	Housing Authority of the County of Santa Clara - Villa San Pedro Apartments	1	$ 7,185
PRNS	HNVF - Homework Centers	Luther Burbank School District - Luther Burbank School	1	$ 11,000
PRNS	HNVF - Homework Centers	Maranatha Outreach Center Inc. - Maranatha Oureach Center	1	$ 18,000
PRNS	HNVF - Homework Centers	Metropolitan Education District - Central County Occupational Center	1	$ 9,000
PRNS	HNVF - Homework Centers	Mexican American Community Services Agency - Chavez Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	Mexican American Community Services Agency - San Antonio Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Moreland School District - Anderson Village Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Moreland School District - Baker Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Moreland School District - Castro Middle School	1	$ 7,500
PRNS	HNVF - Homework Centers	Moreland School District - Country Lane School	1	$ 10,750
PRNS	HNVF - Homework Centers	Moreland School District - Easterbrook Discovery Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Moreland School District - Latimer Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Moreland School District - Payne Elementary School	1	$ 9,750
PRNS	HNVF - Homework Centers	Moreland School District - Rogers Middle School	1	$ 12,000
PRNS	HNVF - Homework Centers	Morgan Hill Unified School District - Martin Murphy Middle Schoo	1	$ 10,000
PRNS	HNVF - Homework Centers	Mt. Pleasant School District - August Boeger Middle School	1	$ 10,000
PRNS	HNVF - Homework Centers	Mt. Pleasant School District - Ida Jew Intermediate	1	$ 12,500
PRNS	HNVF - Homework Centers	Mt. Pleasant School District - Mt. Pleasant Elementary	1	$ 12,000
PRNS	HNVF - Homework Centers	Mt. Pleasant School District - Sanders Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	Mt. Pleasant School District - Valle Vista Magnet School	1	$ 10,436
PRNS	HNVF - Homework Centers	Oak Grove School District - Anderson Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Baldwin Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Bernal Intermediate School	1	$ 11,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Christopher Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Davis Intermediate School	1	$ 11,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Del Roble Elementary School	1	$ 22,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Edenvale Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Frost Elementary School	1	$ 6,300
PRNS	HNVF - Homework Centers	Oak Grove School District - Glider Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Hayes Elementary School	1	$ 8,742
PRNS	HNVF - Homework Centers	Oak Grove School District - Herman Intermediate School	1	$ 10,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Ledesma Elementary School	1	$ 6,700
PRNS	HNVF - Homework Centers	Oak Grove School District - Miner Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	Oak Grove School District - Oak Ridge Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Parkview Elementary School	1	$ 7,236
PRNS	HNVF - Homework Centers	Oak Grove School District - Sakamoto Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Santa Teresa Elementary School	1	$ 8,909
PRNS	HNVF - Homework Centers	Oak Grove School District - Stipe Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	Oak Grove School District - Taylor Elementary	1	$ 7,500
PRNS	HNVF - Homework Centers	Oak Grove School District - The Academy	1	$ 8,000
PRNS	HNVF - Homework Centers	Orchard School Distirct - Orchard School	1	$ 12,000
PRNS	HNVF - Homework Centers	Resources for Families & Communities	1	$ 4,500
PRNS	HNVF - Homework Centers	Roman Catholic Bishop of San José - Five Wounds School	1	$ 5,000
PRNS	HNVF - Homework Centers	Roman Catholic Bishop of San José - Most Holy Trinity School	1	$ 7,500
PRNS	HNVF - Homework Centers	Roman Catholic Bishop of San José - Sacred Heart Educational Center	1	$ 10,000
PRNS	HNVF - Homework Centers	Sacred Heart Community Service	1	$ 10,000
PRNS	HNVF - Homework Centers	San José Unified School District - Allen Elementary	1	$ 5,000
PRNS	HNVF - Homework Centers	San José Unified School District - Almaden Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	San José Unified School District - Anne Darling Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Bachrodt Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Booksin Elementary School	1	$ 9,500
PRNS	HNVF - Homework Centers	San José Unified School District - Burnett Academy School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Canoas Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	San José Unified School District - Carson Elementary School	1	$ 13,000
PRNS	HNVF - Homework Centers	San José Unified School District - Cory Elementary School	1	$ 9,000
PRNS	HNVF - Homework Centers	San José Unified School District - Downtown College Prep School	1	$ 15,536
PRNS	HNVF - Homework Centers	San José Unified School District - Empire Gardens Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Gardner Academy School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Grant Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Graystone Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	San José Unified School District - Gunderson High School	1	$ 22,000
PRNS	HNVF - Homework Centers	San José Unified School District - Hacienda Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	San José Unified School District - Harte Middle School	1	$ 22,000
PRNS	HNVF - Homework Centers	San José Unified School District - Hoover Middle School	1	$ 20,000
PRNS	HNVF - Homework Centers	San José Unified School District - Horace Mann Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Leland High School	1	$ 7,000
PRNS	HNVF - Homework Centers	San José Unified School District - Lincoln High School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Los Alamitos Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	San José Unified School District - Muir Middle School	1	$ 17,000
PRNS	HNVF - Homework Centers	San José Unified School District - Olinder Elementary School	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Pioneer High School	1	$ 22,000
PRNS	HNVF - Homework Centers	San José Unified School District - Randol Elementary School	1	$ 9,000
PRNS	HNVF - Homework Centers	San José Unified School District - Reed Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	San José Unified School District - River Glen Elementary School	1	$ 7,000
PRNS	HNVF - Homework Centers	San José Unified School District - San José High Academy	1	$ 12,000
PRNS	HNVF - Homework Centers	San José Unified School District - Schallenberger Elementary School	1	$ 10,500
PRNS	HNVF - Homework Centers	San José Unified School District - Simonds Elementary School	1	$ 8,000
PRNS	HNVF - Homework Centers	San José Unified School District - Steinbeck Middle School	1	$ 22,000
PRNS	HNVF - Homework Centers	San José Unified School District - Terrell Elementary School	1	$ 7,550
PRNS	HNVF - Homework Centers	San José Unified School District - Trace Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	San José Unified School District - Washington Elementary School	1	$ 11,000
PRNS	HNVF - Homework Centers	San José Unified School District - Williams Elementary School	1	$ 10,000

Source: 2004-05 grants and
grant amounts as reported
by City Departments

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Department	Grant Name	Subrecipient Grant Name	Number of Grants	Award Amount (04-05)
PRNS	HNVF - Homework Centers	San José Unified School District - Willow Glen Elementary School	1	$ 7,500
PRNS	HNVF - Homework Centers	San José Unified School District - Willow Glen Middle School	1	$ 16,000
PRNS	HNVF - Homework Centers	San José Unified School District- Castillero Middle School	1	$ 20,000
PRNS	HNVF - Homework Centers	San José Unifired School District - Galarza Elementary School	1	$ 8,500
PRNS	HNVF - Homework Centers	Santa Clara Unified School District - Mayne Elementary School	1	$ 12,500
PRNS	HNVF - Homework Centers	Union School District - Alta Vista Elementary School	1	$ 7,000
PRNS	HNVF - Homework Centers	Union School District - Carlton Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Union School District - Dartmouth Middle School	1	$ 17,000
PRNS	HNVF - Homework Centers	Union School District - Guadalupe Elementary School	1	$ 5,000
PRNS	HNVF - Homework Centers	Union School District - Lietz Elementary School	1	$ 14,500
PRNS	HNVF - Homework Centers	Union School District - Noddin Elementary School	1	$ 10,000
PRNS	HNVF - Homework Centers	Union School District - Oster School	1	$ 7,500
PRNS	HNVF - Homework Centers	Union School District - Union Middle School	1	$ 15,000
PRNS	HNVF - Homework Centers	Vietnamese American Center	1	$ 10,000
PRNS	HNVF - Homework Centers	YMCA of Santa Clara Valley - Willow Glen Homework & Y-Achiever Program	1	$ 24,000
PRNS	San Jose Beautiful	Cory Neighborhood Association	1	$ 550
PRNS	San Jose Beautiful	Del Monte Neighborhood Association	1	$ 3,020
PRNS	San Jose Beautiful	Friends of Backesto Park	1	$ 2,000
PRNS	San Jose Beautiful	Hubbard School	1	$ 1,958
PRNS	San Jose Beautiful	Lake Cuningham Volunteers	1	$ 1,415
PRNS	San Jose Beautiful	MIRA San Jose (Menker Inquilinos Richmond Association)	1	$ 1,972
PRNS	San Jose Beautiful	North 13th Street Business Association	1	$ 1,924
PRNS	San Jose Beautiful	Palm Haven Restoration Committee	1	$ 2,215
PRNS	San Jose Beautiful	Paseo Villa HOA	1	$ 1,619
PRNS	San Jose Beautiful	South University Neighborhood Association	1	$ 2,000
PRNS	San Jose Beautiful	Terrell Elementary School	1	$ 1,818
PRNS	San Jose Beautiful	VEP Community Association	1	$ 2,183
PRNS	San Jose Beautiful	West of 4th Street Neighborhood Group	1	$ 2,005
PRNS	San Jose BEST	Alum Rock Counseling Center Inc	1	$ 85,000
PRNS	San Jose BEST	Bill Wilson Center	1	$ 69,000
PRNS	San Jose BEST	Breakout Prison Outreach D/B/A California Youth Outreach	1	$ 405,000
PRNS	San Jose BEST	Catholic Charities of Santa Clara County	1	$ 120,000
PRNS	San Jose BEST	Center for Training and Careers/Work Net	1	$ 60,000
PRNS	San Jose BEST	Crosscultural Community Services Center	1	$ 267,342
PRNS	San Jose BEST	Family and Children Services (HNVF funded)	1	$ 76,362
PRNS	San Jose BEST	Filipino Youth Coalition	1	$ 90,000
PRNS	San Jose BEST	Fresh Lifelines for Youth	1	$ 102,500
PRNS	San Jose BEST	Friends Outside in Santa Clara County	1	$ 89,000
PRNS	San Jose BEST	Gardner Family Care Corporation	1	$ 76,350
PRNS	San Jose BEST	George Mayne Elementary School	1	$ 70,000
PRNS	San Jose BEST	Girls Scouts of Santa Clara County	1	$ 20,000
PRNS	San Jose BEST	Mexican American Community Services Agency, Inc.	1	$ 120,000
PRNS	San Jose BEST	Next Door Solutions to DV	1	$ 33,650
PRNS	San Jose BEST	Parent Institute for Quality Education (PIQE)	1	$ 40,000
PRNS	San Jose BEST	Pathway Society, Inc.	1	$ 230,000
PRNS	San Jose BEST	Rohi Alternative Community Outreach	1	$ 193,108
PRNS	San Jose BEST	San Jose Conservation Corps	1	$ 48,360
PRNS	San Jose BEST	Social Advocates for Youth	1	$ 70,000
PRNS	San Jose BEST	The Tenacious Group, Inc.	1	$ 25,500
PRNS	San Jose BEST	Ujima Adult and Family Services, Inc.	1	$ 70,000
PRNS	San Jose BEST	Vietnamese Voluntary Foundation (VIVO)	1	$ 38,105
PRNS	San Jose BEST	Volunteer Center of Silicon Valley	1	$ 30,000
RDA	Christmas In the Park 2004	San Jose Cathedral Foundation	1	$ 5,000
RDA	Façade Improvement Program	Individual FIP Grants	51	$ 2,695,338

List Of Specific Promising Practices

INTERNAL CONTROL SYSTEMS	**Preparing policies and procedures before issuing grants**	• Prepare department-wide policies and make available on Internet • Develop manual for managing grants • Prepare policies for developing new grant programs • Prepare policies for reviewing and selecting grants • Prepare policies for competing grants based on merit
	Consolidating information systems to assist in managing grant activities	• Develop centralized information system for multiple programs • Use information system to track grant status • Have grantees submit reports electronically
	Providing grant management training to staff and grantees	• Develop a long-term strategic approach to training • Use a team approach to training • Provide training through workgroups • Provide training courses to grantees
	Coordinating programs with similar goals and purposes	• Develop procedures to avoid duplication • Create one-stop centers to coordinate and centralize programs • Require applicants to disclose similar grants applied for or received
PERFORMANCE MEASURES	**Linking activities with program goals**	• Use logic models to link agency activities with results • Use both outcome and output measures to evaluate performance • Link measures to agency goals
	Working with grantees to develop performance measures	• Jointly develop goals and objectives • Coordinate performance plans across government and service levels • Align Local plans with Federal goals
PRE-AWARD PROCESS	**Assessing applicant capability to account for funds**	• Require a uniform pre-award evaluation of applicant capabilities • Collect information on applicant capability as needed • Conduct pre-award audits • Use scoring system to evaluate technical capability

	Competing grants to facilitate accountability	• Develop criteria for evaluating all competitive grants • Require funding announcements to include ranking criteria • Assemble merit panels to select grantees
	Preparing work plans to provide framework for grant accountability	• Look for viable and efficient applicant work plans • Require applicants to submit a detailed narrative as evidence of proper planning • Require grant applications to include project objectives and impacts
	Including clear terms and conditions in grant award documents	• Emphasize need to comply with grant award requirements • Incorporate statement on funding source • Standardize desired grant terms and conditions
MANAGING PERFORMANCE	**Monitoring the financial status of grants**	• Use an electronic system to monitor grant funds • Perform on-site reviews of financial systems
	Ensuring results through performance monitoring	• Use electronic systems to track deliverables • Monitor achievement of outputs and outcomes • Use multi-disciplinary teams to assess performance
	Using audit to provide valuable information about grantees	• Use audits to identify at-risk grantees • Use audit resolution process to address outstanding grant issues • Summarize audit results for management
	Monitoring subrecipients as a critical element of grant success	• Develop guidance to assist subrecipients • Publish materials detailing subrecipient responsibilities • Coordinate agency efforts to monitor performance
ASSESSING AND USING RESULTS	**Providing evidence of program success**	• Use surveys to determine program results • Inspect projects after completion • Train grantees to self-monitor and encourage accurate reporting
	Identifying ways to improve program performance	• Engage outside experts to assess program performance • Conduct evaluations to identify factors affecting results

Best Practices Checklist

Pre-Selection Activities

___ Department maintains policies, systems and procedures for activities that precede grant approval:

☐ Inform public of Department mission, funding priorities and application guidelines

☐ Receive, review and evaluate requests for funding.

   ___ **Response Timeline:** Maintain response timeline for declining and acknowledging requests.

   ___ **Review Process:** Maintain clear policy and process for screening and reviewing proposals.

   ___ **Communication:** Maintain policies regarding staff interactions with applicants and written communication for communicating the results of the review.

   ___ **Tracking:** Maintain system to track grant requests.

☐ **Proposal Application Checklist:** Maintain a checklist of required information to be submitted by grant applicant.

   ___ **Proposal:** Clear statement of the objective or purpose of the project, the need it will address, the population that will be affected and the approach that will be used.

   ___ **Budget:**

      ○ **Itemized Description:** Details of how grant funds will be used to achieve the purposes laid out in the proposal.
      ○ **Justification:** Narrative description and detailed cost assumptions linking the itemized budget to the tasks laid out in the proposal.
      ○ **Audited Financials:** Audited financial statements for one or more recent years to ascertain the applicant organization's fiscal condition.

Source: Auditor's Summary of Council on Foundations, "Best Practices in Grants Management."

___ **Organization Description:** Description of organization's mission and history and a list of its governing body.

___ **Key Project Personnel:** Background and qualifications of key personnel who will carry out the proposed project.

___ **Matching Funds:** Other resources committed/planned to fully execute project and a proposed strategy for implementing activities if less than requested amounts are received.

___ **Tax Status:** Organization tax status or equivalent documentation.

___ **Support Material:** Items such as news clippings, reports, and memos.

___ **Endorsements:** Verification from 3rd party that they will be participating in funded activity.

☐ **Due Diligence Review:** Grantor performs a due diligence review of applicant to determine the reasonableness of the grant and grantee's ability to perform.

___ **Managerial and Fiscal Capacity:** Maintain system to assess the managerial competence and fiscal accountability of the prospective grantee.

___ **Relevance and Compliance:** Maintain system to determine if grant would be appropriate and sufficient for carrying out the project described and that the proposal is in compliance with terms of the potential grant agreement.

___ **Past Performance:** Review of previous grant performance to ascertain compliance, red flags, and past performance.

___ **Grant Comparisons:** Review current grants awarded to grantee and/or similar grants that may duplicate services or cause overpayment (due to multiple awards) to the grantee.

___ **Outside Reviews:** Evaluate reviews of project performed by outside organizations, if applicable.

☐ **Docket Process:** Maintain an essential abstract of the proposal that will be used for making an informed funding decision.

☐ **Grant Management Files:** Maintain policies and procedures over documents collected at each phase of the audit.

    ___ **Grant File:** Maintain list of documents to maintain in file.

☐ **Grant Notification/Agreement Letter:** Maintain letter/policy to notify the grantee that a grant has been made and set forth the terms under which the grant will operate.

    ___ **Purpose:** The intent of the grant and scope of work.

    ___ **Amount:** Total amount awarded.

    ___ **Duration:** Period of time in which funds are expected to be expended by the grantee.

    ___ **Payment Schedule:** Anticipated payment dates and schedule amounts. Any conditions or contingencies that must be fulfilled prior to payment.

    ___ **Narrative:** State the requirements related to narrative report(s) and when the report(s) will be due.

    ___ **Budget:** Approved budget for the grant.

    ___ **Budget Modifications:** Specify whether or not budget modifications are allowed and detail the process for budget revision approvals.

    ___ **Quality Standard:** Explain any standards of quality requirements that must be maintained in order for the grant to continue or notification process for deficiency, corrective action, and result of non-compliance.

    ___ **Tax Exempt Status:** Requirement for tax-exempt status and need to report any changes to grantor. (If applicable).

    ___ **Recordkeeping:** Define what records at what level of detail the grantee must maintain, the length of time such records must be kept, and whether the grantor has the right to inspect the records.

    ___ **Financial Reporting:** Specify any requirements of financial report(s) and state when the report(s) will be due. Describe the level of detail and format required.

Source: Auditor's Summary of Council on Foundations, "Best Practices in Grants Management."

___ **Grant Number:** Assign a unique identifier to each grant and request that the grantee use the number in all its correspondence with the grantor.

___ **Contact Person:** Identify the staff person responsible for monitoring the grant and to whom grantee reports and inquiries should be directed.

___ **Prohibited Uses of the Grant Funds:** Rules or restrictions on use of grant funds.

___ **Public Acknowledgment:** Policy on whether the grantor support should be acknowledged in publicity, program guides, publications, and other materials regarding or resulting from the grant. Restrictions, disclaimers, format should be discussed.

___ **Unexpended Funds:** Describe options available to the grantee if grant funds are not expended.

___ **Accrued Interest:** Describe how interest on the grant is to be used.

___ **Revocation:** Describe grantor's right to terminate, revoke, rescind or cancel the grant or otherwise request the return of funds if terms are not met.

___ **Future Funding:** State that supplemental or renewal funding is not guaranteed. Describe the process by which continued funding could be sought and any renewal limitations.

___ **Grant Modifications:** Describe procedures for requesting modifications to the grant terms.

Grant Monitoring

☐ **Grant Payment Procedure:** Maintain written procedure to ensure that proper payments are made to the right payee at the right time and to provide a clear audit trail while minimizing the opportunity for malfeasance.

___ **Upcoming Payments List Review:** Maintain list of upcoming payments, verify status of grants (requirements and contingencies met), and obtain outstanding documents.

Source: Auditor's Summary of Council on Foundations, "Best Practices in Grants Management."

___   **Payment Request:** Generate written payment request that confirms the payments to be made and that requirements/contingencies were met**.**

___   **Draft Payment:** Grantor records payments in general ledger system**.**

___   **Send Payments:** Grantor sends payment to authorized official at the grantee organization**.**

___   **Update tracking system:** Maintain records that payment was made and the date the payment was sent to the grantee**.**

☐   **Grantee Reporting Requirements:** Maintain written policy and/or procedure that articulates the reporting requirements for grantees based on a reasonable criteria that may include: type of work supported, outcome of grant, grant amount, approval mechanism, number of grants versus number of staff, and percent support provided by grant.

☐   **Monitoring Grant Reporting:** Maintain written policy/procedure to schedule and track the arrival, routing, and disposition of grantee reports.

    ___   **Upcoming Grant Reports List:** Review status of grants on a list of upcoming grant reports.

    ___   **Report Request:** Provide a reminder to grantees regarding reports pending for submission and reports that are overdue**.**

    ___   **Review Reports:** Review reports to ensure that the reported accomplishments of the grant to date are on schedule and consistent with the purpose and scope of the grant**.** Reports should include any problems and planned resolution for the problems.

    ___   **Acknowledgement:** Provide grantee with letter showing that report was either acceptable or not acceptable. If not acceptable, the grantor should include their expectations for a revision, explanation, or augmentation to the reports.

Source: Auditor's Summary of Council on Foundations, "Best Practices in Grants Management."

☐ **Monitoring Evaluation:** Maintain written policy/procedure for conducting evaluation of grant (may include cursory desk audit, site visit, and/or observation of operations).

___ **Minimal Reports:** At a minimum, grantee should submit one or more narrative progress and financial reports for review and evaluation by grantor staff.

☐ **Grant Modifications:** Maintain written policy/procedure for grant modifications.

☐ **Grant Closing:** Maintain written policy/procedure for closing out grants.

☐ **Project File:** Maintain a list of items to retain in the grant file.

Source: Auditor's Summary of Council on Foundations, "Best Practices in Grants Management."