

QUARTERLY FINANCIAL STATEMENT CERTIFICATION

In accordance with the requirements of the Trial Court Policies and Procedures Manual (FIN 1.02, Section 6.2.2(c); FIN 4.02, Section 6.3.2; and FIN 5.01, Section 6.72(2)) and to the best of my knowledge, I certify that the attached statements fairly present in all material respects the financial condition of the court for the periods presented.

Blair H. Gajowski

Signature of Presiding Judge or Court Executive

12-3-14

Date

Superior Court – Santa Clara

Court

FY 2014-15 1st Quarter

Fiscal Year and Ending Quarter

QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Superior Court – Santa Clara

Court

FY 2014-15 1st Quarter

Fiscal Year and Ending Quarter

FOOTNOTES

1	Constraints displayed in the Balance Sheet statement do not accurately reflect the current constraints on the court's fund balance.
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QUARTERLY FINANCIAL STATEMENT
Filled Court Employee Positions (FTEs)

Superior Court – Santa Clara

Court

FY 2014-15 1st Quarter

Fiscal Year and Ending Quarter

	Total Authorized Court Positions (FTEs) ¹ (OPTIONAL)	Positions (FTEs) Filled			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Court Employee Positions (FTEs)	790.72	690.96			

¹ The Authorized Positions should reflect the amount submitted on the court's Schedule 7A for the reporting fiscal year.

Superior Court of California, County of Santa Clara
 Trial Court Operations Fund
 Balance Sheet
 (Unaudited)

For the month ended September									
Fiscal Year 2014/15									
	Governmental Funds						Total Funds (Info. Purposes Only)	2013/14 Total Funds (Info. Purposes Only)	
	General	Special Revenue		Capital Project	Debt Service	Proprietary Funds			Fiduciary Funds
		Non-Grant	Grant						
ASSETS									
Operations	\$ (4,041,671)	\$ 2,791,284	\$ (518,496)	\$ 1,750,002			\$ 11,935,769	\$ 11,916,888	\$ 5,253,158
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ (133,271)	\$ (133,271)	\$ 556,980
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ (65,482)	\$ (65,482)	\$ 644,954
Credit Card									
Cash on Hand	\$ 16,160						\$ 0	\$ 16,160	\$ 16,160
Cash with County	\$ 7,000,000							\$ 7,000,000	\$ 7,000,000
Cash Outside of the AOC							\$ 0	\$ 0	\$ 0
Total Cash	\$ 2,974,489	\$ 2,791,284	\$ (518,496)	\$ 1,750,002			\$ 11,737,016	\$ 18,734,295	\$ 13,471,252
Short Term Investment	\$ 19,829,113						\$ 5,968,110	\$ 25,797,223	\$ 26,545,839
Investment in Financial Institution									
Total Investments	\$ 19,829,113						\$ 5,968,110	\$ 25,797,223	\$ 26,545,839
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 0	\$ 24,250	\$ 218,551					\$ 242,801	\$ 378,410
Dishonored Checks									
Due From Employee									
Civil Jury Fees	\$ 0							\$ 0	
Trust									
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 0
Due From Other Governments	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Due From Other Courts	\$ 0	\$ 0					\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 0					\$ 0	\$ 16,934
Trust Due To/From							\$ 187,100	\$ 187,100	\$ 3,915
Distribution Due To/From							\$ 0	\$ 0	
Civil Filing Fee Due To/From									
General Due To/From	\$ 3,329	\$ 0						\$ 3,329	\$ 3,433
Total Receivables	\$ 3,329	\$ 24,250	\$ 218,552	\$ 0			\$ 187,100	\$ 433,231	\$ 402,692
Prepaid Expenses - General	\$ 15,120							\$ 15,120	\$ 15,120
Salary and Travel Advances									
Counties									
Total Prepaid Expenses	\$ 15,120							\$ 15,120	\$ 15,120
Other Assets									
Total Other Assets									
Total Assets	\$ 22,822,051	\$ 2,815,534	\$ (299,944)	\$ 1,750,002			\$ 17,892,226	\$ 44,979,869	\$ 40,434,902
LIABILITIES AND FUND BALANCES									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 73,170	\$ 10,601	\$ 44,690	\$ 0			\$ 224,021	\$ 352,481	\$ 842,126
Due to Other Funds	\$ 187,100	\$ 0	\$ 0				\$ 3,329	\$ 190,429	\$ 7,348
Due to Other Courts	\$ 0							\$ 0	\$ 0
Due to State	\$ 0			\$ 0				\$ 0	\$ 0
TC145 Liability							\$ 1,891,313	\$ 1,891,313	\$ 2,294,915
Due to Other Governments	\$ 0	\$ 60	\$ 0					\$ 60	\$ 0
AB145 Due to Other Government Agency	\$ 0						\$ 4,384,190	\$ 4,384,190	\$ 4,849,543
Due to Other Public Agencies									
Sales and Use Tax	\$ 159							\$ 159	\$ 445
Interest							\$ 1,100	\$ 1,100	\$ 865
Miscellaneous Accts. Pay. and Accrued Liab.									
Total Accounts Payable and Accrued Liab.	\$ 260,429	\$ 10,660	\$ 44,690	\$ 0			\$ 6,503,952	\$ 6,819,731	\$ 7,995,242
Civil							\$ 8,511,523	\$ 8,511,523	\$ 3,783,618
Criminal							\$ 2,786,017	\$ 2,786,017	\$ 2,535,469
Unreconciled - Civil and Criminal									
Trust Held Outside of the AOC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 11,429	\$ 11,429	\$ 8,637
Miscellaneous Trust									
Total Trust Deposits							\$ 11,308,969	\$ 11,308,969	\$ 6,327,724
Accrued Payroll	\$ 405,132							\$ 405,132	\$ 405,132
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
Total Payroll Liabilities	\$ 405,132							\$ 405,132	\$ 405,132
Revenue Collected in Advance			\$ 282,541					\$ 282,541	\$ 63,912
Liabilities For Deposits	\$ 50,848	\$ 1,525					\$ 79,305	\$ 131,678	\$ 104,527
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0							\$ 0	\$ 0
Other Miscellaneous Liabilities									
Total Other Liabilities	\$ 50,848	\$ 1,525	\$ 282,541				\$ 79,305	\$ 414,219	\$ 168,440
Total Liabilities	\$ 716,409	\$ 12,186	\$ 327,230	\$ 0			\$ 17,892,226	\$ 18,948,052	\$ 14,896,537
Total Fund Balance	\$ 22,105,642	\$ 2,803,348	\$ (627,175)	\$ 1,750,002				\$ 26,031,817	\$ 25,538,365
Total Liabilities and Fund Balance	\$ 22,822,051	\$ 2,815,534	\$ (299,944)	\$ 1,750,002			\$ 17,892,226	\$ 44,979,869	\$ 40,434,902

Superior Court of California, County of Santa Clara
 Trial Court Operations Fund
 Statement of Revenues, Expenditures and Changes in Fund Balances
 (Unaudited)

For the month ended September											
Fiscal Year 2014/15										2013/14	
	Governmental Funds							Total Funds (Info. Purposes Only)	Current Budget (Annual)	Total Funds (Info. Purposes Only)	Final Budget (Annual)
	General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds	Fiduciary Funds				
		Non-Grant	Grant								
REVENUES											
State Financing Sources											
Trial Court Trust Fund	\$ 37,407,426	\$ 54,241						\$ 37,461,667	\$ 78,015,200	\$ 31,956,867	\$ 78,975,485
Improvement and Modernization Fund									\$ 723,082		\$ 795,605
Judges' Compensation (45.25)	\$ 187,626							\$ 187,626	\$ 710,000	\$ 187,626	\$ 750,500
Court Interpreter (45.45)	\$ 352,842							\$ 352,842	\$ 4,000,000	\$ 488,472	\$ 3,300,000
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 133,986							\$ 133,986	\$ 800,693	\$ 138,655	\$ 861,693
Other Miscellaneous									\$ 2,309,467		\$ 2,309,467
	\$ 38,081,880	\$ 54,241						\$ 38,136,121	\$ 86,558,442	\$ 32,771,620	\$ 86,992,750
Grants											
AB 1058 Commissioner/Facilitator			\$ 188,181					\$ 188,181	\$ 2,606,208	\$ 105,119	\$ 2,606,208
Other AOC Grants			\$ 8,522					\$ 8,522	\$ 475,775	\$ 31,058	\$ 127,813
Non-AOC Grants			\$ 92,509					\$ 92,509	\$ 1,365,465	\$ 13,147	\$ 1,291,307
			\$ 289,212					\$ 289,212	\$ 4,447,448	\$ 149,323	\$ 4,025,328
Other Financing Sources											
Interest Income	\$ 8,312	\$ 4		\$ 2				\$ 8,318	\$ 50,000	\$ 9,179	\$ 112,000
Investment Income											
Donations		\$ 4,342						\$ 4,342	\$ 50,000	\$ 35,013	\$ 18,000
Local Fees	\$ 218,888							\$ 218,888	\$ 1,497,000	\$ 248,895	\$ 1,950,300
Non-Fee Revenues											
Enhanced Collections		\$ 111,401						\$ 111,401	\$ 665,000	\$ 106,162	\$ 695,000
Escheatment	\$ (186,414)							\$ (186,414)	\$ 60,000	\$ 125,894	
Prior Year Revenue											
County Program - Restricted		\$ 27,513						\$ 27,513	\$ 322,502	\$ 23,104	\$ 330,132
Reimbursement Other	\$ 275,187	\$ 0						\$ 275,187	\$ 2,900,589	\$ 318,199	\$ 2,464,638
Sale of Fixed Assets											
Other Miscellaneous	\$ 269,643							\$ 269,643	\$ 1,613,753	\$ 273,396	\$ 1,613,603
	\$ 585,616	\$ 143,260		\$ 2				\$ 728,878	\$ 7,158,844	\$ 1,139,843	\$ 7,203,673
Total Revenues	\$ 38,667,495	\$ 197,501	\$ 289,212	\$ 2				\$ 39,154,210	\$ 98,164,734	\$ 34,060,766	\$ 98,221,751
EXPENDITURES											
Personal Services											
Salaries - Permanent	\$ 9,894,084	\$ 139,307	\$ 307,217					\$ 10,340,609	\$ 40,031,646	\$ 10,795,418	\$ 50,041,155
Temp Help	\$ 91,344	\$ 1,399	\$ 33,395					\$ 126,138	\$ 953,848	\$ 171,660	\$ 471,271
Overtime	\$ 4,593							\$ 4,593	\$ 25,000	\$ 4,474	\$ 25,000
Staff Benefits	\$ 7,009,341	\$ 487,242	\$ 277,349					\$ 7,773,932	\$ 39,999,941	\$ 8,484,996	\$ 39,089,590
	\$ 16,999,361	\$ 627,948	\$ 617,961					\$ 18,245,271	\$ 81,010,435	\$ 19,456,547	\$ 89,627,016
Operating Expenses and Equipment											
General Expense	\$ 209,865	\$ 24,865	\$ 11,116					\$ 245,845	\$ 1,714,093	\$ 291,260	\$ 1,582,231
Printing	\$ 5,599	\$ 104						\$ 5,703	\$ 154,000	\$ 11,490	\$ 185,000
Telecommunications	\$ 199,799							\$ 199,799	\$ 680,000	\$ 196,234	\$ 745,000
Postage	\$ 134,518							\$ 134,518	\$ 422,000	\$ 72,168	\$ 430,000
Insurance	\$ 8,062							\$ 8,062	\$ 47,000	\$ 2,836	\$ 42,000
In-State Travel	\$ 4,998	\$ 3	\$ 1,588					\$ 6,588	\$ 133,200	\$ 22,399	\$ 120,150
Out-of-State Travel	\$ 1,590							\$ 1,590	\$ 10,868	\$ 5,991	\$ 15,000
Training	\$ 22,864		\$ 1,635					\$ 24,499	\$ 113,000	\$ 28,523	\$ 98,000
Security Services			\$ 78,989					\$ 78,989	\$ 315,958		\$ 308,712
Facility Operations	\$ 258,128							\$ 258,128	\$ 1,371,100	\$ 247,401	\$ 1,277,204
Utilities	\$ 36,541							\$ 36,541	\$ 165,000	\$ 35,151	\$ 163,000
Contracted Services	\$ 772,952	\$ 58,048	\$ 99,532					\$ 930,532	\$ 6,458,813	\$ 912,551	\$ 5,897,501
Consulting and Professional Services	\$ 86,614							\$ 86,614	\$ 1,948,527	\$ 123,351	\$ 1,597,904
Information Technology	\$ 147,862	\$ 1,020						\$ 148,882	\$ 2,895,773	\$ 68,165	\$ 425,000
Major Equipment	\$ 10,107							\$ 10,107	\$ 58,000	\$ 6,729	\$ 69,000
Other Items of Expense	\$ 6,286							\$ 6,286	\$ 10,614	\$ 10,614	\$ 10,614
	\$ 1,905,783	\$ 84,040	\$ 192,860					\$ 2,182,682	\$ 16,487,332	\$ 2,034,864	\$ 12,955,702
Special Items of Expense											
Grand Jury		\$ 5,588						\$ 5,588	\$ 5,000	\$ 2,954	\$ 5,500
Jury Costs	\$ 127,044	\$ 18,592						\$ 145,636	\$ 725,000	\$ 130,219	\$ 798,500
Judgements, Settlements and Claims											
Debt Service											
Other											
Capital Costs											
Internal Cost Recovery	\$ (105,566)		\$ 105,566	\$ (1,750,000)				\$ (1,750,000)	\$ 3,500,000	\$ 0	\$ 3,500,000
Prior Year Expense Adjustment								\$ 0	\$ 0	\$ 0	\$ 0
	\$ 21,478	\$ 24,180	\$ 105,566	\$ (1,750,000)				\$ (1,598,776)	\$ 4,230,000	\$ 133,173	\$ 4,304,000
Total Expenditures	\$ 18,926,622	\$ 736,168	\$ 916,387	\$ (1,750,000)				\$ 18,829,177	\$ 101,727,767	\$ 21,624,584	\$ 106,686,718
Excess (Deficit) of Revenues Over Expenditures	\$ 19,740,873	\$ (538,667)	\$ (627,175)	\$ 1,750,002				\$ 20,325,034	\$ (3,563,033)	\$ 12,436,202	\$ (8,664,967)
Operating Transfers In (Out)										\$ 0	\$ 0
Fund Balance (Deficit)											
Beginning Balance (Deficit)	\$ 2,364,769	\$ 3,342,015	\$ 0	\$ 0				\$ 5,706,784	\$ 5,706,784	\$ 13,102,163	\$ 13,102,163
Ending Balance (Deficit)	\$ 22,105,642	\$ 2,803,348	\$ (627,175)	\$ 1,750,002				\$ 26,031,817	\$ 2,143,751	\$ 25,538,365	\$ 4,437,196

Superior Court of California, County of Santa Clara
 Trial Court Operations Fund
 Statement of Program Expenditures
 (Unaudited)

For the month ended September										
	Fiscal Year 2014/15							2013/14		
	Personal Services	Operating Expenses and Equipment	Special Items of Expense	Capital Costs	Internal Cost Recovery	Prior Year Expense Adjustment	Total Actual Expense	Current Budget (Annual)	Total Actual Expense	Final Budget (Annual)
PROGRAM EXPENDITURES:										
Judges & Courtroom Support	\$ 5,487,189	\$ 465,250					\$ 5,952,439	\$ 25,759,700	\$ 6,041,117	\$ 29,300,727
Traffic & Other Infractions	\$ 1,082,934	\$ 20,120	\$ (80)				\$ 1,102,974	\$ 5,444,042	\$ 1,259,216	\$ 6,118,835
Other Criminal Cases	\$ 2,135,674	\$ 165,825					\$ 2,301,499	\$ 11,163,023	\$ 2,419,804	\$ 12,313,621
Civil	\$ 1,887,335	\$ 58,880					\$ 1,946,215	\$ 8,611,160	\$ 1,987,903	\$ 9,443,210
Family & Children Services	\$ 2,190,754	\$ 277,378					\$ 2,468,133	\$ 11,772,306	\$ 2,523,822	\$ 13,200,885
Probate, Guardianship & Mental Health Services	\$ 650,591	\$ 8,174			\$ 0		\$ 658,766	\$ 2,999,808	\$ 677,992	\$ 3,120,240
Juvenile Dependency Services	\$ 122,060	\$ 10,700					\$ 132,760	\$ 487,387	\$ 111,597	\$ 540,233
Juvenile Delinquency Services	\$ 151,637	\$ 11,693					\$ 163,329	\$ 622,348	\$ 142,552	\$ 731,382
Other Court Operations	\$ 84,952	\$ (9)					\$ 84,943	\$ 201,716	\$ 120,213	\$ 556,956
Court Interpreters	\$ 839,286	\$ 130,993					\$ 970,279	\$ 4,142,988	\$ 914,603	\$ 4,223,388
Jury Services	\$ 115,026	\$ 36,528	\$ 127,124				\$ 278,677	\$ 1,098,427	\$ 248,308	\$ 1,303,324
Security		\$ 82,002					\$ 82,002	\$ 315,958	\$ 19,513	\$ 308,712
Trial Court Operations Program	\$ 14,747,437	\$ 1,267,534	\$ 127,044		\$ 0		\$ 16,142,015	\$ 72,618,863	\$ 16,466,639	\$ 81,161,513
Enhanced Collections										
Other Non-Court Operations	\$ 439,232	\$ 23,215	\$ 24,180				\$ 486,627	\$ 2,160,297	\$ 299,503	\$ 2,014,976
Non-Court Operations Program	\$ 439,232	\$ 23,215	\$ 24,180				\$ 486,627	\$ 2,160,297	\$ 299,503	\$ 2,014,976
Executive Office	\$ 681,654	\$ 33,036					\$ 714,690	\$ 1,792,257	\$ 697,361	\$ 1,430,208
Fiscal Services	\$ 737,379	\$ 277,626					\$ 1,015,005	\$ 4,757,110	\$ 1,777,384	\$ 4,758,441
Human Resources	\$ 287,099	\$ 7,713					\$ 294,812	\$ 1,657,288	\$ 350,966	\$ 2,051,494
Business & Facilities Services	\$ 413,788	\$ 295,744					\$ (1,040,468)	\$ 9,159,477	\$ 756,773	\$ 9,026,654
Information Technology	\$ 938,682	\$ 277,814					\$ 1,216,497	\$ 9,582,475	\$ 1,275,958	\$ 6,443,432
Court Administration Program	\$ 3,058,602	\$ 891,933					\$ 2,200,535	\$ 26,948,607	\$ 4,858,442	\$ 23,710,229
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
Total	\$ 18,245,271	\$ 2,182,682	\$ 151,224		\$ (1,750,000)	\$ 0	\$ 18,829,177	\$ 101,727,767	\$ 21,624,584	\$ 106,886,718