

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.

Clara H. Gamrak
Signature of Presiding Judge or Court Executive

12-4-13
Date

Superior Court – Santa Clara
Court

FY 2013-14 First Quarter
Fiscal Year and Ending Quarter

QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Superior Court- Santa Clara
Court

FY 13-14 First 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 13-14 First 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)	800.12	729.21			

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 2013/14									
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	Total Funds (Info. Purposes Only)
	Special Revenue			Capital Project	Debt Service				
	General	Non-Grant	Grant						
ASSETS									
Operations	\$ (4,264,776)	\$ 2,613,041	\$ (861,688)	\$ 1,770,396			\$ 5,996,185	\$ 5,253,158	\$ 9,144,811
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ 556,980	\$ 556,980	\$ 451,023
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ 644,954	\$ 644,954	\$ 258,127
Credit Card									
Cash on Hand	\$ 16,160							\$ 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	\$ 2,751,384	\$ 2,613,041	\$ (861,688)	\$ 1,770,396			\$ 7,198,119	\$ 13,471,252	\$ 16,870,121
Short Term Investment	\$ 19,386,092						\$ 7,159,747	\$ 26,545,839	\$ 29,971,059
Investment in Financial Institution									
Total Investments	\$ 19,386,092						\$ 7,159,747	\$ 26,545,839	\$ 29,971,059
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 0	\$ 24,250	\$ 354,160					\$ 378,410	\$ 302,866
Dishonored Checks									
Due From Employee									
Civil Jury Fees									
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	\$ 16,934	\$ 0	\$ 0					\$ 16,934	\$ 0
Trust Due To/From							\$ 3,915	\$ 3,915	\$ 0
Distribution Due To/From									
Civil Filing Fee Due To/From									
General Due To/From	\$ 3,433	\$ 0						\$ 3,433	\$ 4,928
Total Receivables	\$ 20,367	\$ 24,250	\$ 354,160	\$ 0			\$ 3,915	\$ 402,692	\$ 307,794
Prepaid Expenses - General	\$ 15,120							\$ 15,120	\$ 64,680
Salary and Travel Advances									
Counties									
Total Prepaid Expenses	\$ 15,120							\$ 15,120	\$ 64,680
Assets									
Total Other Assets									
Total Assets	\$ 22,172,962	\$ 2,637,291	\$ (507,528)	\$ 1,770,396			\$ 14,361,782	\$ 40,434,902	\$ 47,213,654
LIABILITIES AND FUND BALANCES									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 20,852	\$ 593	\$ 0	\$ 0			\$ 820,682	\$ 842,126	\$ 843,579
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 7,348	\$ 7,348	\$ 4,928
Due to Other Courts	\$ 0	\$ 0						\$ 0	\$ 0
Due to State	\$ 0		\$ 0	\$ 0				\$ 0	\$ 0
TC145 Liability							\$ 2,294,915	\$ 2,294,915	\$ 2,580,670
Due to Other Governments	\$ 0		\$ 0					\$ 0	\$ 0
AB145 Due to Other Government Agency	\$ 0						\$ 4,849,543	\$ 4,849,543	\$ 8,014,117
Due to Other Public Agencies									
Sales and Use Tax	\$ 445							\$ 445	\$ 1,892
Interest							\$ 865	\$ 865	\$ 1,806
Miscellaneous Accts. Pay. and Accrued Liab.									
Total Accounts Payable and Accrued Liab.	\$ 21,297	\$ 593	\$ 0	\$ 0			\$ 7,973,352	\$ 7,995,242	\$ 11,446,992
Civil							\$ 3,783,618	\$ 3,783,618	\$ 4,259,152
Criminal							\$ 2,535,469	\$ 2,535,469	\$ 4,463,280
Unreconciled - Civil and Criminal									
Trust Held Outside of the AOC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 8,637	\$ 8,637	\$ 16,891
Miscellaneous Trust									
Total Trust Deposits							\$ 6,327,724	\$ 6,327,724	\$ 8,739,323
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	\$ 41,951	\$ 1,870	\$ 63,912					\$ 63,912	\$ 12,570
Liabilities For Deposits							\$ 60,706	\$ 104,527	\$ 163,992
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment	\$ 0							\$ 0	\$ 0
Uncleared Collections									
Other Miscellaneous Liabilities									
Total Other Liabilities	\$ 41,951	\$ 1,870	\$ 63,912				\$ 60,706	\$ 168,440	\$ 176,562
Total Liabilities	\$ 468,380	\$ 2,463	\$ 63,912	\$ 0			\$ 14,361,782	\$ 14,896,537	\$ 20,768,009
Total Fund Balance	\$ 21,704,581	\$ 2,634,828	\$ (571,440)	\$ 1,770,396				\$ 25,538,365	\$ 26,445,645
Total Liabilities and Fund Balance	\$ 22,172,962	\$ 2,637,291	\$ (507,528)	\$ 1,770,396			\$ 14,361,782	\$ 40,434,902	\$ 47,213,654

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 2013/14											
	Governmental Funds						Total Funds (Info. Purposes Only)	Current Budget (Annual)	2012/13		
	General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds			Fiduciary Funds	Total Funds (Info. Purposes Only)	Final Budget (Annual)
		Non-Grant	Grant								
REVENUES											
State Financing Sources											
Trial Court Trust Fund	\$ 31,903,257	\$ 53,610					\$ 31,956,867	\$ 78,975,485	\$ 16,197,903	\$ 70,963,416	
Improvement and Modernization Fund								\$ 795,605	\$ 0	\$ 796,542	
Judges' Compensation (45.25)	\$ 187,626						\$ 187,626	\$ 750,500	\$ 187,626	\$ 750,500	
Court Interpreter (45.45)	\$ 488,472	\$ 0					\$ 488,472	\$ 3,300,000	\$ 724,436	\$ 3,000,000	
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 138,655						\$ 138,655	\$ 861,693	\$ 143,041	\$ 825,357	
Other Miscellaneous								\$ 2,309,467		\$ 1,810,282	
	\$ 32,718,010	\$ 53,610					\$ 32,771,620	\$ 86,992,750	\$ 17,253,006	\$ 78,146,097	
Grants											
AB 1058 Commissioner/Facilitator			\$ 105,119				\$ 105,119	\$ 2,606,208		\$ 2,606,199	
Other AOC Grants			\$ 31,058				\$ 31,058	\$ 127,813	\$ 2,127	\$ 126,634	
Non-AOC Grants	\$ 1		\$ 13,146				\$ 13,147	\$ 1,291,307	\$ 14,291	\$ 2,101,623	
	\$ 1		\$ 149,322				\$ 149,323	\$ 4,025,328	\$ 16,418	\$ 4,834,456	
Other Financing Sources											
Interest Income	\$ 9,156	\$ 12		\$ 12			\$ 9,179	\$ 112,000	\$ 14,583	\$ 75,000	
Investment Income											
Donations		\$ 35,013					\$ 35,013	\$ 18,000	\$ 4,885	\$ 14,000	
Local Fees	\$ 248,895						\$ 248,895	\$ 1,950,300	\$ 331,819	\$ 1,603,500	
Non-Fee Revenues											
Enhanced Collections		\$ 106,162					\$ 106,162	\$ 695,000	\$ 111,135	\$ 723,000	
Escheatment	\$ 125,894						\$ 125,894		\$ 0	\$ 0	
Prior Year Revenue									\$ (5,733)		
County Program - Restricted		\$ 23,104					\$ 23,104	\$ 330,132	\$ 2,524	\$ 331,220	
Reimbursement Other	\$ 313,773	\$ 4,426					\$ 318,199	\$ 2,484,638	\$ 359,979	\$ 1,820,173	
Sale of Fixed Assets											
Other Miscellaneous	\$ 273,396						\$ 273,396	\$ 1,613,603	\$ 270,936	\$ 1,613,253	
	\$ 971,114	\$ 168,717		\$ 12			\$ 1,139,843	\$ 7,203,673	\$ 1,090,128	\$ 6,180,146	
Total Revenues	\$ 33,659,125	\$ 222,327	\$ 149,322	\$ 12			\$ 34,060,786	\$ 98,221,761	\$ 18,359,652	\$ 89,160,699	
EXPENDITURES											
Personal Services											
Salaries - Permanent	\$ 10,406,364	\$ 130,043	\$ 259,011				\$ 10,795,418	\$ 50,041,155	\$ 11,265,143	\$ 57,013,818	
Travel	\$ 152,367	\$ 3,145	\$ 16,148				\$ 171,660	\$ 471,271	\$ 193,697	\$ 483,907	
Contractual	\$ 4,474						\$ 4,474	\$ 25,000	\$ 5,415	\$ 48,000	
Supplies	\$ 7,909,088	\$ 323,759	\$ 252,148				\$ 8,484,996	\$ 39,089,590	\$ 7,645,454	\$ 38,774,753	
	\$ 18,472,292	\$ 456,948	\$ 527,307				\$ 19,456,547	\$ 89,627,016	\$ 19,109,709	\$ 96,320,478	
Operating Expenses and Equipment											
General Expense	\$ 282,430	\$ 5,896	\$ 2,935				\$ 291,260	\$ 1,582,231	\$ 273,394	\$ 1,706,065	
Printing	\$ 11,426	\$ 63					\$ 11,490	\$ 185,000	\$ 59,769	\$ 191,200	
Telecommunications	\$ 196,234						\$ 196,234	\$ 745,000	\$ 241,577	\$ 800,280	
Postage	\$ 72,168						\$ 72,168	\$ 430,000	\$ 85,745	\$ 467,000	
Insurance	\$ 2,836						\$ 2,836	\$ 42,000	\$ 2,627	\$ 40,000	
In-State Travel	\$ 22,035	\$ (20)	\$ 383				\$ 22,399	\$ 120,150	\$ 12,608	\$ 101,501	
Out-of-State Travel	\$ 1,234		\$ 4,758				\$ 5,991	\$ 15,000	\$ 1,082	\$ 18,668	
Training	\$ 27,883		\$ 640				\$ 28,523	\$ 98,000	\$ 23,807	\$ 105,217	
Security Services								\$ 308,712		\$ 301,656	
Facility Operations	\$ 247,401						\$ 247,401	\$ 1,277,204	\$ 238,273	\$ 1,134,778	
Utilities	\$ 35,151						\$ 35,151	\$ 163,000	\$ 34,300	\$ 160,000	
Contracted Services	\$ 774,322	\$ 53,953	\$ 84,276				\$ 912,551	\$ 5,897,501	\$ 830,219	\$ 6,711,369	
Consulting and Professional Services	\$ 123,351						\$ 123,351	\$ 1,597,904	\$ 293,443	\$ 1,906,413	
Information Technology	\$ 68,165						\$ 68,165	\$ 425,000	\$ 73,302	\$ 878,939	
Major Equipment	\$ 6,729						\$ 6,729		\$ 7,101	\$ 7,101	
Other Items of Expense	\$ 10,614						\$ 10,614	\$ 69,000	\$ 9,680	\$ 69,500	
	\$ 1,881,979	\$ 59,893	\$ 92,992				\$ 2,034,864	\$ 12,955,702	\$ 2,186,925	\$ 14,599,687	
Special Items of Expense											
Grand Jury		\$ 2,954					\$ 2,954	\$ 5,500	\$ 2,745	\$ 4,000	
Jury Costs	\$ 112,270	\$ 17,949					\$ 130,219	\$ 798,500	\$ 154,619	\$ 713,770	
Judgements, Settlements and Claims											
Debt Service											
Other											
Capital Costs				\$ 0			\$ 0	\$ 3,500,000	\$ (1,250,000)	\$ 2,500,000	
Internal Cost Recovery	\$ (100,463)		\$ 100,463				\$ 0	\$ 0	\$ 0	\$ 0	
Prior Year Expense Adjustment											
	\$ 11,807	\$ 20,903	\$ 100,463	\$ 0			\$ 133,173	\$ 4,304,000	\$ (1,092,636)	\$ 3,217,770	
Total Expenditures	\$ 20,366,078	\$ 537,743	\$ 720,762	\$ 0			\$ 21,624,584	\$ 106,886,716	\$ 20,203,998	\$ 114,137,935	
Excess (Deficit) of Revenues Over Expenditures	\$ 13,323,046	\$ (315,416)	\$ (571,440)	\$ 12			\$ 12,436,202	\$ (8,664,967)	\$ (1,844,446)	\$ (24,977,236)	
Operating Transfers In (Out)								\$ 0		\$ 0	
Fund Balance (Deficit)											
Beginning Balance (Deficit)	\$ 8,381,535	\$ 2,950,244	\$ 0	\$ 1,770,384			\$ 13,102,163	\$ 13,102,163	\$ 28,290,091	\$ 28,290,091	
Ending Balance (Deficit)	\$ 21,704,581	\$ 2,634,828	\$ (571,440)	\$ 1,770,396			\$ 25,538,365	\$ 4,437,196	\$ 26,445,645	\$ 3,312,855	

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

Fiscal Year 2013/14										2012/13	
For the month ended September										Total Actual Expense	Final Budget (Annual)
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	\$ 278,873			\$ 0		\$ 6,041,117	\$ 29,300,727	\$ 6,157,032	\$ 30,370,773		
Traffic & Other Infractions	\$ 19,470					\$ 1,259,216	\$ 6,118,835	\$ 1,312,309	\$ 6,841,622		
Other Criminal Cases	\$ 190,633					\$ 2,419,804	\$ 12,313,621	\$ 2,627,568	\$ 14,655,730		
Civil	\$ 74,483					\$ 1,987,903	\$ 9,443,210	\$ 1,940,129	\$ 10,264,369		
Family & Children Services	\$ 286,813			\$ 0		\$ 2,523,822	\$ 13,200,885	\$ 2,538,509	\$ 14,185,088		
Probate, Guardianship & Mental Health Services	\$ 664,919					\$ 6,777,992	\$ 3,120,240	\$ 665,158	\$ 3,317,004		
Juvenile Dependency Services	\$ 88,154			\$ 0		\$ 11,597	\$ 540,233	\$ 139,361	\$ 745,497		
Juvenile Delinquency Services	\$ 130,581					\$ 142,552	\$ 731,382	\$ 139,437	\$ 952,830		
Other Court Operations	\$ 120,148					\$ 120,213	\$ 556,956	\$ 112,647	\$ 550,832		
Court Interpreters	\$ 131,554	\$ 112,270				\$ 914,603	\$ 4,223,388	\$ 819,629	\$ 4,116,090		
Jury Services	\$ 783,049					\$ 248,308	\$ 1,303,324	\$ 314,580	\$ 1,441,984		
Security	\$ 129,076					\$ 19,513	\$ 308,712	\$ 12,698	\$ 301,656		
	\$ 15,315,507	\$ 112,270		\$ 0		\$ 16,466,639	\$ 81,161,513	\$ 16,779,057	\$ 87,743,475		
Trial Court Operations Program											
Enhanced Collections											
Other Non-Court Operations	\$ 24,616	\$ 20,903				\$ 299,503	\$ 2,014,976	\$ 472,005	\$ 1,741,394		
	\$ 253,984	\$ 20,903				\$ 299,503	\$ 2,014,976	\$ 472,005	\$ 1,741,394		
Non-Court Operations Program											
Executive Office	\$ 662,769					\$ 697,361	\$ 1,430,208	\$ 661,760	\$ 1,717,603		
Fiscal Services	\$ 1,532,913					\$ 1,777,384	\$ 4,758,441	\$ 801,116	\$ 3,425,433		
Human Resources	\$ 333,901					\$ 350,966	\$ 2,051,494	\$ 403,738	\$ 2,259,331		
Business & Facilities Services	\$ 428,881		\$ 0			\$ 756,773	\$ 9,026,654	\$ (65,171)	\$ 9,852,868		
Information Technology	\$ 928,592					\$ 1,275,958	\$ 6,443,432	\$ 1,251,493	\$ 7,397,831		
	\$ 3,887,056	\$ 971,365	\$ 0			\$ 4,858,442	\$ 23,710,229	\$ 2,952,936	\$ 24,653,066		
Court Administration Program											
Expenditures Not Distributed or Posted to a Program											
Prior Year Adjustments Not Posted to a Program											
Total	\$ 19,456,547	\$ 133,173	\$ 0	\$ 0	\$ 0	\$ 21,624,584	\$ 106,886,718	\$ 20,203,998	\$ 114,137,935		