

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.

David H. Johnson

Signature of Presiding Judge or Court Executive

1-28-14

Date

Superior Court – Santa Clara
Court

FY 2013-14 2nd Quarter
Fiscal Year and Ending Quarter

QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Superior Court- Santa Clara
Court

FY 13-14 2nd 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 2nd 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	726.85		

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 December							2012/13 Total Funds (Info. Purposes Only)	2012/13 Total Funds (Info. Purposes Only)
	Fiscal Year 2013/14								
	Governmental Funds					Proprietary Funds	Fiduciary Funds		
General	Special Revenue		Capital Project	Debt Service					
	Non-Grant	Grant							
ASSETS									
Operations	\$ (3,481,867)	\$ 2,447,953	\$ (729,614)	\$ 1,772,181			\$ 6,748,694	\$ 6,757,347	\$ 9,033,274
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ 268,113	\$ 268,113	\$ 278,555
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ (218,889)	\$ (218,889)	\$ (224,417)
Credit Card									
Cash on Hand	\$ 16,160							\$ 16,160	\$ 16,160
Cash with County	\$ 3,678,931							\$ 3,678,931	\$ 3,641,782
Cash Outside of the AOC							\$ 0	\$ 0	\$ 0
Total Cash	\$ 213,224	\$ 2,447,953	\$ (729,614)	\$ 1,772,181			\$ 6,797,918	\$ 10,501,662	\$ 12,745,355
Short Term Investment									
Investment in Financial Institution	\$ 18,584,477						\$ 6,511,488	\$ 25,095,965	\$ 24,430,515
Total Investments	\$ 18,584,477						\$ 6,511,488	\$ 25,095,965	\$ 24,430,515
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 0	\$ 0	\$ 362,344					\$ 362,344	\$ 124,565
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	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Trust Due To/From							\$ 556	\$ 556	\$ 0
Distribution Due To/From									
Civil Filing Fee Due To/From									
General Due To/From	\$ 2,285	\$ 0						\$ 2,285	\$ 6,376
Total Receivables	\$ 2,285	\$ 0	\$ 362,344	\$ 0			\$ 556	\$ 365,185	\$ 130,940
Prepaid Expenses - General	\$ 15,120							\$ 15,120	\$ 40,180
Salary and Travel Advances									
Counties									
Total Prepaid Expenses	\$ 15,120							\$ 15,120	\$ 40,180
Assets									
Total Other Assets									
Total Assets	\$ 18,815,106	\$ 2,447,953	\$ (367,270)	\$ 1,772,181			\$ 13,309,962	\$ 35,977,932	\$ 37,346,990
LIABILITIES AND FUND BALANCES									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 40,635	\$ 9	\$ 0	\$ 0			\$ 0	\$ 40,644	\$ 22,756
Due to Other Funds	\$ 556	\$ 0	\$ 0				\$ 2,286	\$ 2,841	\$ 6,376
Due to Other Courts	\$ 0	\$ 0						\$ 0	\$ 0
Due to State	\$ 0		\$ 0	\$ 0				\$ 0	\$ 0
TC145 Liability							\$ 1,848,679	\$ 1,848,679	\$ 1,866,989
Due to Other Governments	\$ 0		\$ 0					\$ 0	\$ 0
AB145 Due to Other Government Agency	\$ 0						\$ 5,230,400	\$ 5,230,400	\$ 4,801,590
Due to Other Public Agencies									
Sales and Use Tax	\$ 397							\$ 397	\$ 448
Interest							\$ 845	\$ 845	\$ 1,917
Miscellaneous Accts. Pay. and Accrued Liab.									
Total Accounts Payable and Accrued Liab.	\$ 41,588	\$ 9	\$ 0	\$ 0			\$ 7,082,209	\$ 7,123,806	\$ 6,700,076
Civil							\$ 3,983,332	\$ 3,983,332	\$ 4,508,654
Criminal							\$ 2,169,434	\$ 2,169,434	\$ 4,909,383
Unreconciled - Civil and Criminal									
Trust Held Outside of the AOC									
Trust Interest Payable							\$ 0	\$ 0	\$ 0
Miscellaneous Trust							\$ 9,506	\$ 9,506	\$ 17,844
Total Trust Deposits							\$ 6,162,272	\$ 6,162,272	\$ 9,435,882
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			\$ 29,965					\$ 29,965	\$ 309
Liabilities For Deposits	\$ 37,938	\$ 1,703					\$ 65,481	\$ 105,122	\$ 181,850
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0							\$ 0	\$ 0
Other Miscellaneous Liabilities									
Total Other Liabilities	\$ 37,938	\$ 1,703	\$ 29,965				\$ 65,481	\$ 135,087	\$ 182,159
Total Liabilities	\$ 484,657	\$ 1,712	\$ 29,965	\$ 0			\$ 13,309,962	\$ 13,826,296	\$ 16,723,249
Total Fund Balance	\$ 18,330,448	\$ 2,446,242	\$ (397,235)	\$ 1,772,181				\$ 22,151,636	\$ 20,623,741
Total Liabilities and Fund Balance	\$ 18,815,106	\$ 2,447,953	\$ (367,270)	\$ 1,772,181			\$ 13,309,962	\$ 35,977,932	\$ 37,346,990

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 December									
	Fiscal Year 2013/14							2012/13		
	Governmental Funds							Total Funds (Info. Purposes Only)	Current Budget (Annual)	Total Funds (Info. Purposes Only)
General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds	Fiduciary Funds				
	Non-Grant	Grant								
REVENUES										
State Financing Sources										
Trial Court Trust Fund	\$ 49,026,491	\$ 214,058					\$ 49,240,549	\$ 78,975,485	\$ 33,914,735	\$ 70,963,416
Improvement and Modernization Fund								\$ 795,605	\$ 0	\$ 796,542
Judges' Compensation (45.25)	\$ 375,251						\$ 375,251	\$ 750,500	\$ 375,251	\$ 750,500
Court Interpreter (45.45)	\$ 1,505,900	\$ 0					\$ 1,505,900	\$ 3,300,000	\$ 1,479,724	\$ 3,000,000
Civil Coordination Reimbursement (45.55)										
MOU Reimbursements (45.10 and General)	\$ 474,773						\$ 474,773	\$ 861,693	\$ 464,538	\$ 825,357
Other Miscellaneous	\$ 2,309,467						\$ 2,309,467	\$ 2,309,467	\$ 1,810,282	\$ 1,810,282
	\$ 53,691,882	\$ 214,058					\$ 53,905,940	\$ 86,992,750	\$ 38,044,530	\$ 78,146,097
Grants										
AB 1058 Commissioner/Facilitator			\$ 879,588				\$ 879,588	\$ 2,606,208	\$ (960)	\$ 2,606,199
Other AOC Grants			\$ 45,464				\$ 45,464	\$ 127,813	\$ 2,737	\$ 126,634
Non-AOC Grants	\$ 1		\$ 332,045				\$ 332,046	\$ 1,291,307	\$ 388,085	\$ 2,101,623
	\$ 1		\$ 1,257,096				\$ 1,257,097	\$ 4,025,328	\$ 389,861	\$ 4,834,456
Other Financing Sources										
Interest Income	\$ 24,556	\$ 1,755		\$ 1,797			\$ 28,108	\$ 112,000	\$ 50,731	\$ 75,000
Investment Income										
Donations		\$ 51,655					\$ 51,655	\$ 18,000	\$ 10,303	\$ 14,000
Local Fees	\$ 586,641						\$ 586,641	\$ 1,950,300	\$ 802,187	\$ 1,603,500
Non-Fee Revenues										
Enhanced Collections		\$ 284,646					\$ 284,646	\$ 695,000	\$ 297,942	\$ 723,000
Escheatment	\$ 137,972						\$ 137,972		\$ 6,803	\$ 323,765
Prior Year Revenue										
County Program - Restricted		\$ 84,974					\$ 84,974	\$ 330,132	\$ 105,602	\$ 331,220
Reimbursement Other	\$ 336,090	\$ 371,966	\$ 25,838				\$ 733,894	\$ 2,484,638	\$ 889,348	\$ 1,820,173
Sale of Fixed Assets										
Other Miscellaneous	\$ 726,341						\$ 726,341	\$ 1,613,603	\$ 673,392	\$ 1,613,253
	\$ 1,811,600	\$ 794,995	\$ 25,838	\$ 1,797			\$ 2,634,230	\$ 7,203,673	\$ 3,160,072	\$ 6,180,146
Total Revenues	\$ 55,503,483	\$ 1,009,053	\$ 1,282,934	\$ 1,797			\$ 57,797,268	\$ 98,221,751	\$ 41,594,464	\$ 89,160,699
EXPENDITURES										
Personal Services										
Salaries - Permanent	\$ 23,606,667	\$ 268,482	\$ 591,249				\$ 24,466,398	\$ 50,041,155	\$ 25,435,185	\$ 57,013,818
Temp Help	\$ 373,044	\$ 7,999	\$ 23,839				\$ 404,881	\$ 471,271	\$ 411,810	\$ 483,907
Overtime	\$ 18,435						\$ 18,435	\$ 25,000	\$ 10,741	\$ 48,000
Staff Benefits	\$ 16,529,307	\$ 1,010,405	\$ 495,225				\$ 18,034,937	\$ 39,089,590	\$ 16,974,919	\$ 38,774,753
	\$ 40,527,453	\$ 1,286,887	\$ 1,110,312				\$ 42,924,651	\$ 89,627,016	\$ 42,832,655	\$ 96,320,478
Operating Expenses and Equipment										
General Expense	\$ 658,962	\$ 24,275	\$ 10,124				\$ 693,360	\$ 1,582,231	\$ 666,897	\$ 1,706,065
Printing	\$ 63,118	\$ 63					\$ 63,182	\$ 185,000	\$ 114,952	\$ 191,200
Telecommunications	\$ 378,972						\$ 378,972	\$ 745,000	\$ 437,108	\$ 800,280
P	\$ 227,591						\$ 227,591	\$ 430,000	\$ 219,068	\$ 467,000
Ir	\$ 42,593						\$ 42,593	\$ 42,000	\$ 36,846	\$ 40,000
In-State Travel	\$ 54,877	\$ 1,106	\$ 1,710				\$ 57,693	\$ 120,150	\$ 60,236	\$ 101,501
Out-of-State Travel	\$ 2,231		\$ 4,923				\$ 7,154	\$ 15,000	\$ 1,684	\$ 18,668
Training	\$ 45,277		\$ 2,252				\$ 47,529	\$ 98,000	\$ 47,451	\$ 105,217
Security Services								\$ 308,712		\$ 301,656
Facility Operations	\$ 568,872						\$ 568,872	\$ 1,277,204	\$ 461,893	\$ 1,134,778
Utilities	\$ 76,604						\$ 76,604	\$ 163,000	\$ 77,772	\$ 160,000
Contracted Services	\$ 1,876,370	\$ 160,418	\$ 357,322				\$ 2,394,110	\$ 5,897,501	\$ 2,964,177	\$ 6,711,369
Consulting and Professional Services	\$ 636,027						\$ 636,027	\$ 1,597,904	\$ 516,454	\$ 1,906,413
Information Technology	\$ 233,827						\$ 233,827	\$ 425,000	\$ 377,194	\$ 678,939
Major Equipment	\$ 6,729						\$ 6,729		\$ 27,618	\$ 7,101
Other Items of Expense	\$ 23,974						\$ 23,974	\$ 69,000	\$ 26,736	\$ 69,500
	\$ 4,896,025	\$ 185,862	\$ 376,331				\$ 5,458,217	\$ 12,955,702	\$ 6,036,088	\$ 14,599,687
Special Items of Expense										
Grand Jury		\$ 3,655					\$ 3,655	\$ 5,500	\$ 3,034	\$ 4,000
Jury Costs	\$ 324,618	\$ 36,653					\$ 361,271	\$ 798,500	\$ 389,037	\$ 713,770
Judgements, Settlements and Claims										
Debt Service										
Other										
Capital Costs				\$ 0			\$ 0	\$ 3,500,000	\$ 0	\$ 2,500,000
Internal Cost Recovery	\$ (193,526)		\$ 193,526				\$ 0	\$ 0	\$ 0	\$ 0
Prior Year Expense Adjustment										
	\$ 131,093	\$ 40,308	\$ 193,526	\$ 0			\$ 364,926	\$ 4,304,000	\$ 392,071	\$ 3,217,770
Total Expenditures	\$ 45,564,570	\$ 1,513,056	\$ 1,680,168	\$ 0			\$ 48,747,795	\$ 106,886,718	\$ 49,260,813	\$ 114,137,935
Excess (Deficit) of Revenues Over Expenditures	\$ 9,948,913	\$ (504,003)	\$ (397,235)	\$ 1,797			\$ 9,049,473	\$ (8,664,967)	\$ (7,666,350)	\$ (24,977,236)
Operating Transfers In (Out)								\$ 0	\$ 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)	\$ 18,330,448	\$ 2,446,242	\$ (397,235)	\$ 1,772,181			\$ 22,151,636	\$ 4,437,196	\$ 20,623,741	\$ 3,312,855

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

For the month ended December										
Fiscal Year 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	\$ 12,844,879	\$ 709,033			\$ 0		\$ 13,553,912	\$ 29,300,727	\$ 13,853,015	\$ 30,370,773
Traffic & Other Infractions	\$ 2,693,588	\$ 31,046					\$ 2,724,633	\$ 6,118,835	\$ 2,948,520	\$ 6,841,622
Other Criminal Cases	\$ 5,060,000	\$ 892,459					\$ 5,952,459	\$ 12,313,621	\$ 6,386,825	\$ 14,665,730
Civil	\$ 4,219,695	\$ 184,820					\$ 4,404,515	\$ 9,443,210	\$ 4,403,629	\$ 10,264,369
Family & Children Services	\$ 5,061,047	\$ 577,163			\$ 0		\$ 5,638,210	\$ 13,200,885	\$ 5,831,416	\$ 14,185,088
Probate, Guardianship & Mental Health Services	\$ 1,532,420	\$ 33,513			\$ 0		\$ 1,565,934	\$ 3,120,240	\$ 1,533,915	\$ 3,317,004
Juvenile Delinquency Services	\$ 217,897	\$ 55,660					\$ 273,556	\$ 540,233	\$ 343,437	\$ 745,497
Juvenile Dependency Services	\$ 298,668	\$ 107,103					\$ 405,771	\$ 731,382	\$ 358,496	\$ 952,830
Other Court Operations	\$ 276,990	\$ 2,169					\$ 279,159	\$ 556,956	\$ 245,441	\$ 550,832
Court Interpreters	\$ 1,808,088	\$ 290,715					\$ 2,098,804	\$ 4,223,388	\$ 1,897,677	\$ 4,116,090
Jury Services	\$ 300,739	\$ 93,724	\$ 324,618				\$ 719,081	\$ 1,303,324	\$ 783,511	\$ 1,441,984
Security		\$ 52,997					\$ 52,997	\$ 308,712	\$ 16,306	\$ 301,656
Trial Court Operations Program	\$ 34,314,011	\$ 3,030,402	\$ 324,618		\$ 0		\$ 37,669,032	\$ 81,161,513	\$ 38,602,189	\$ 87,743,475
Enhanced Collections										
Other Non-Court Operations	\$ 878,034	\$ 51,226	\$ 40,308				\$ 969,568	\$ 2,014,976	\$ 962,393	\$ 1,741,394
Non-Court Operations Program	\$ 878,034	\$ 51,226	\$ 40,308				\$ 969,568	\$ 2,014,976	\$ 962,393	\$ 1,741,394
Executive Office	\$ 1,414,735	\$ 91,669					\$ 1,506,404	\$ 1,430,208	\$ 1,285,507	\$ 1,717,603
Fiscal Services	\$ 2,440,154	\$ 707,217					\$ 3,147,371	\$ 4,758,441	\$ 1,648,579	\$ 3,425,433
Human Resources	\$ 772,011	\$ 32,874					\$ 804,885	\$ 2,051,494	\$ 867,854	\$ 2,259,331
Business & Facilities Services	\$ 960,622	\$ 694,258		\$ 0			\$ 1,654,880	\$ 9,026,654	\$ 2,672,769	\$ 9,852,868
Information Technology	\$ 2,145,085	\$ 850,570					\$ 2,995,655	\$ 6,443,432	\$ 3,223,523	\$ 7,397,831
Court Administration Program	\$ 7,732,606	\$ 2,376,589		\$ 0			\$ 10,109,195	\$ 23,710,229	\$ 9,696,231	\$ 24,653,066
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
Total	\$ 42,924,651	\$ 5,458,217	\$ 364,926	\$ 0	\$ 0		\$ 48,747,795	\$ 106,886,718	\$ 49,260,813	\$ 114,137,935