

**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.

  
Signature of Presiding Judge or Court Executive

5-15-2012  
Date

Superior Court - Santa Clara

Court

FY 2011-12 Q3

Fiscal Year and Ending Quarter

**QUARTERLY FINANCIAL STATEMENT FOOTNOTES**

Superior Court – Santa Clara  
Court

FY 2011-12 Q3  
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 2011-12 Q3  
 Fiscal Year and Ending Quarter

	Total Authorized Court Positions (FTEs) <sup>1</sup> (OPTIONAL)	Positions (FTEs) Filled			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Court Employee Positions (FTEs)	906.58	770.50	761.13	763.06	

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

Santa Clara Superior Court  
 Trial Court Operations Fund  
 Balance Sheet  
 (Unaudited)

	For the month ended Mar							2010/11	
	Fiscal Year 2011/12								
	Governmental Funds					Proprietary Funds	Fiduciary Funds		Total Funds (Info. Purposes Only)
General	Special Revenue		Capital Project	Debt Service					
	Non-Grant	Grant							
<b>ASSETS</b>									
Operations	\$ (316,532)	\$ 428,563	\$ (2,333,031)	\$ 1,751,915			\$ 43,339	\$ (425,746)	\$ (2,873,190)
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ 567,704	\$ 567,704	\$ 1,026,446
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ 12,850,443	\$ 12,850,443	\$ 22,355,457
Credit Card									
Cash on Hand	\$ 16,160						\$ 0	\$ 16,160	\$ 16,185
Cash with County	\$ 7,000,000						\$ 0	\$ 7,000,000	\$ 7,000,000
Cash Outside of the AOC							\$ 0	\$ 0	\$ 0
<b>Total Cash</b>	<b>\$ 6,699,628</b>	<b>\$ 428,563</b>	<b>\$ (2,333,031)</b>	<b>\$ 1,751,915</b>			<b>\$ 13,461,486</b>	<b>\$ 20,008,562</b>	<b>\$ 27,524,898</b>
Short Term Investment									
Investment in Financial Institution	\$ 17,344,500						\$ 8,109,795	\$ 25,454,296	\$ 25,595,973
<b>Total Investments</b>	<b>\$ 17,344,500</b>						<b>\$ 8,109,795</b>	<b>\$ 25,454,296</b>	<b>\$ 25,595,973</b>
Accrued Revenue	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Receivable - General	\$ 303,909	\$ 24,250	\$ 1,898,222					\$ 2,226,382	\$ 170,552
Dishonored Checks									
Due From Employee									
Civil Jury Fees									
Trust									\$ 0
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 9,451
Due From Other Governments	\$ 0	\$ 0	\$ 403				\$ 0	\$ 403	\$ 22,857
Due From Other Courts	\$ 0	\$ 0					\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0	\$ 19,907
Trust Due To/From							\$ 0	\$ 0	
Distribution Due To/From							\$ 0	\$ 0	
Civil Filing Fee Due To/From							\$ 0	\$ 0	
General Due To/From	\$ 6,115							\$ 6,115	
<b>Total Receivables</b>	<b>\$ 310,024</b>	<b>\$ 24,250</b>	<b>\$ 1,898,625</b>				<b>\$ 0</b>	<b>\$ 2,232,899</b>	<b>\$ 222,768</b>
Prepaid Expenses - General	\$ 65,468							\$ 65,468	\$ 84,952
Salary and Travel Advances									
Counties									
<b>Total Prepaid Expenses</b>	<b>\$ 65,468</b>							<b>\$ 65,468</b>	<b>\$ 84,952</b>
Other Assets									
<b>Total Other Assets</b>									
<b>Total Assets</b>	<b>\$ 24,419,621</b>	<b>\$ 452,813</b>	<b>\$ (434,406)</b>	<b>\$ 1,751,915</b>			<b>\$ 21,571,281</b>	<b>\$ 47,761,225</b>	<b>\$ 53,428,591</b>
<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 166,776	\$ 17	\$ 48,254	\$ 0			\$ 629,382	\$ 844,428	\$ 99,127
Due to Other Funds	\$ 0	\$ 0	\$ 0	\$ 0			\$ 6,115	\$ 6,115	\$ 9,451
Due to Other Courts									
Due to State	\$ 0							\$ 0	
TC145 Liability							\$ 2,299,738	\$ 2,299,738	\$ 2,375,301
Due to Other Governments		\$ 0						\$ 0	
AB145 Due to Other Government Agency	\$ 0						\$ 5,804,595	\$ 5,804,595	\$ 8,134,528
Due to Other Public Agencies									
Sales and Use Tax	\$ 233							\$ 233	\$ 2,559
Interest							\$ 1,926	\$ 1,926	\$ 3,471
Miscellaneous Accts. Pay. and Accrued Liab.									
<b>Total Accounts Payable and Accrued Liab.</b>	<b>\$ 167,010</b>	<b>\$ 17</b>	<b>\$ 48,254</b>	<b>\$ 0</b>			<b>\$ 8,741,755</b>	<b>\$ 8,957,035</b>	<b>\$ 10,624,438</b>
Civil							\$ 6,721,584	\$ 6,721,584	\$ 19,231,430
Criminal							\$ 5,969,830	\$ 5,969,830	\$ 2,950,458
Unreconciled - Civil and Criminal									
Trust Held Outside of the AOC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 27,476	\$ 27,476	\$ 57,111
Miscellaneous Trust									
<b>Total Trust Deposits</b>							<b>\$ 12,718,890</b>	<b>\$ 12,718,890</b>	<b>\$ 22,238,999</b>
Accrued Payroll	\$ 405,132							\$ 405,132	\$ 405,132
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
<b>Total Payroll Liabilities</b>	<b>\$ 405,132</b>							<b>\$ 405,132</b>	<b>\$ 405,132</b>
Revenue Collected in Advance	\$ 0		\$ 47,103					\$ 47,103	\$ 87,152
Liabilities For Deposits	\$ 25,205	\$ 2,829					\$ 110,637	\$ 138,671	\$ 132,451
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0							\$ 0	\$ 0
Other Miscellaneous Liabilities									
<b>Total Other Liabilities</b>	<b>\$ 25,205</b>	<b>\$ 2,829</b>	<b>\$ 47,103</b>				<b>\$ 110,637</b>	<b>\$ 185,774</b>	<b>\$ 219,603</b>
<b>Total Liabilities</b>	<b>\$ 597,347</b>	<b>\$ 2,846</b>	<b>\$ 95,357</b>	<b>\$ 0</b>			<b>\$ 21,571,281</b>	<b>\$ 22,266,830</b>	<b>\$ 33,488,172</b>
Fund Balance - Nonspendable	\$ 0	\$ 943,273	\$ 338					\$ 943,611	\$ 3,293,269
Fund Balance - Restricted				\$ 3,000,000				\$ 12,144,630	
Fund Balance - Committed	\$ 9,144,630							\$ 11,597,877	\$ 16,998,539
Fund Balance - Assigned	\$ 11,597,877							\$ 0	\$ 3,916,538
Fund Balance - Unassigned	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Excess (Deficit) of Rev. Over Expenses/Op. Transfers	\$ 3,079,767	\$ (493,305)	\$ (530,101)	\$ (1,248,085)				\$ 808,276	\$ (4,267,926)
<b>Total Fund Balance</b>	<b>\$ 23,822,274</b>	<b>\$ 449,968</b>	<b>\$ (529,763)</b>	<b>\$ 1,751,915</b>				<b>\$ 25,494,395</b>	<b>\$ 19,940,420</b>
<b>Total Liabilities and Fund Balance</b>	<b>\$ 24,419,621</b>	<b>\$ 452,813</b>	<b>\$ (434,406)</b>	<b>\$ 1,751,915</b>			<b>\$ 21,571,281</b>	<b>\$ 47,761,225</b>	<b>\$ 53,428,591</b>



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

For the month ended Mar											
Fiscal Year 2011/12										2010/11	
	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								
<b>REVENUES</b>											
State Financing Sources											
Trial Court Trust Fund	\$ 66,525,465	\$ 119,841					\$ 66,645,306	\$ 93,233,935	\$ 92,277,110	\$ 125,844,205	
Trial Court Improvement Fund	\$ 282,011						\$ 282,011	\$ 332,173	\$ 19,076	\$ 371,662	
Judicial Administration Efficiency & Mod Fund	\$ 262,834						\$ 262,834	\$ 526,387	\$ 234,441	\$ 872,365	
Judges' Compensation (45.25)	\$ 562,878						\$ 562,878	\$ 750,500	\$ 519,912	\$ 750,500	
Court Interpreter (45.45)	\$ 1,883,907						\$ 1,883,907	\$ 3,000,000	\$ 2,210,443	\$ 3,178,213	
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 1,091,286						\$ 1,091,286	\$ 1,320,576	\$ 1,529,262	\$ 2,025,195	
Other Miscellaneous								\$ 1,797,417			
	\$ 70,608,381	\$ 119,841					\$ 70,728,222	\$ 100,960,988	\$ 96,790,243	\$ 133,042,140	
Grants											
AB 1058 Commissioner/Facilitator	\$ 1		\$ 1,869,157				\$ 1,869,158	\$ 2,625,607	\$ 0	\$ 2,625,606	
Other AOC Grants			\$ 197,140				\$ 197,140	\$ 314,538	\$ 48,362	\$ 115,785	
Non-AOC Grants			\$ 817,480				\$ 817,480	\$ 2,458,130	\$ 674,215	\$ 2,236,750	
	\$ 1		\$ 2,883,777				\$ 2,883,778	\$ 5,398,275	\$ 722,577	\$ 4,978,141	
Other Financing Sources											
Interest Income	\$ 94,628	\$ 1,817	\$ 1	\$ 1,915			\$ 98,361	\$ 150,000	\$ 114,367	\$ 150,000	
Investment Income											
Donations		\$ 42,687					\$ 42,687	\$ 20,000	\$ 16,513	\$ 40,000	
Local Fees	\$ 939,725						\$ 939,725	\$ 1,406,000	\$ 994,199	\$ 1,764,000	
Non-Fee Revenues											
Enhanced Collections		\$ 489,841					\$ 489,841	\$ 700,000	\$ 432,929	\$ 490,000	
Escheatment	\$ 20,033						\$ 20,033	\$ 1,000,000			
Prior Year Revenue	\$ 46,214		\$ (1)				\$ 46,213		\$ 711,373		
County Program - Restricted	\$ 0	\$ 188,187					\$ 188,187	\$ 346,143	\$ 151,047	\$ 369,498	
Reimbursement Other	\$ 224,920	\$ 701,307					\$ 926,227	\$ 1,945,880	\$ 842,163	\$ 1,773,707	
Sale of Fixed Assets											
Other Miscellaneous	\$ 1,608,132	\$ 0					\$ 1,608,132	\$ 2,168,253	\$ 1,649,913	\$ 1,608,253	
	\$ 2,933,652	\$ 1,423,838	\$ 0	\$ 1,915			\$ 4,359,406	\$ 7,736,276	\$ 4,912,503	\$ 6,195,458	
<b>Total Revenues</b>	<b>\$ 73,542,034</b>	<b>\$ 1,543,679</b>	<b>\$ 2,883,777</b>	<b>\$ 1,915</b>			<b>\$ 77,971,406</b>	<b>\$ 114,095,539</b>	<b>\$ 102,425,324</b>	<b>\$ 144,215,739</b>	
<b>EX. PENDITURES</b>											
Personal Services											
Salaries - Permanent	\$ 37,933,732	\$ 455,985	\$ 769,921				\$ 39,159,639	\$ 59,222,889	\$ 39,174,239	\$ 59,929,752	
Temp Help	\$ 514,296	\$ 20,922	\$ 169,620				\$ 704,838	\$ 1,216,731	\$ 900,095	\$ 1,077,649	
Overtime	\$ 56,683						\$ 56,683	\$ 50,000	\$ 43,578	\$ 50,000	
Staff Benefits	\$ 23,310,437	\$ 1,231,423	\$ 708,515				\$ 25,250,376	\$ 43,623,078	\$ 24,801,057	\$ 41,748,888	
	\$ 61,815,149	\$ 1,708,330	\$ 1,648,057				\$ 65,171,535	\$ 104,112,698	\$ 64,918,969	\$ 102,806,289	
Operating Expenses and Equipment											
General Expense	\$ 1,210,198	\$ 29,221	\$ 26,016				\$ 1,265,435	\$ 2,271,124	\$ 1,258,603	\$ 2,210,499	
Printing	\$ 150,731	\$ 3,544	\$ 38				\$ 154,314	\$ 200,000	\$ 144,360	\$ 190,000	
Telecommunications	\$ 548,219						\$ 548,219	\$ 850,000	\$ 665,466	\$ 900,000	
Postage	\$ 381,798						\$ 381,798	\$ 460,000	\$ 281,604	\$ 530,000	
Insurance	\$ 38,246						\$ 38,246	\$ 40,000	\$ 37,788	\$ 40,000	
In-State Travel	\$ 54,833	\$ 1,412	\$ 2,997				\$ 59,242	\$ 186,001	\$ 69,537	\$ 185,001	
Out-of-State Travel	\$ 3,977		\$ 6,773				\$ 10,750		\$ 5,689		
Training	\$ 73,448	\$ 0	\$ 1,715				\$ 75,163	\$ 175,000	\$ 70,999	\$ 175,000	
Security Services			\$ 226,242				\$ 226,242	\$ 295,376	\$ 20,780,836	\$ 29,152,191	
Facility Operations	\$ 573,270						\$ 573,270	\$ 1,169,236	\$ 829,652	\$ 1,424,650	
Utilities	\$ 109,317						\$ 109,317	\$ 160,000	\$ 105,165	\$ 160,000	
Contracted Services	\$ 2,987,829	\$ 232,720	\$ 1,203,736				\$ 4,424,284	\$ 7,369,459	\$ 5,195,406	\$ 8,032,582	
Consulting and Professional Services	\$ 1,384,211						\$ 1,384,211	\$ 2,100,113	\$ 1,380,896	\$ 1,918,562	
Information Technology	\$ 525,216						\$ 525,216	\$ 430,000	\$ 391,525	\$ 565,000	
Major Equipment	\$ 463,585						\$ 463,585		\$ 23,903		
Other Items of Expense	\$ 27,884						\$ 27,884	\$ 73,000	\$ 29,131	\$ 58,000	
	\$ 8,532,762	\$ 266,898	\$ 1,467,517				\$ 10,267,177	\$ 15,779,309	\$ 31,250,559	\$ 45,541,485	
Special Items of Expense											
Grand Jury		\$ 4,061					\$ 4,061	\$ 11,000	\$ 4,507	\$ 11,000	
Jury Costs	\$ 424,790	\$ 57,696					\$ 482,485	\$ 705,000	\$ 467,039	\$ 710,000	
Judgements, Settlements and Claims									\$ 10,050,000		
Debt Service									\$ 0		
Other	\$ 0						\$ 0		\$ 0		
Capital Costs	\$ 0			\$ 1,250,000			\$ 1,250,000	\$ 2,500,000	\$ 0	\$ 0	
Internal Cost Recovery	\$ (297,254)		\$ 298,373				\$ 1,119	\$ 0	\$ 0	\$ 0	
Prior Year Expense Adjustment	\$ (13,248)						\$ (13,248)		\$ 2,175		
	\$ 114,288	\$ 61,757	\$ 298,373	\$ 1,250,000			\$ 1,724,417	\$ 3,216,000	\$ 10,523,722	\$ 721,000	
<b>Total Expenditures</b>	<b>\$ 70,462,199</b>	<b>\$ 2,036,984</b>	<b>\$ 3,413,947</b>	<b>\$ 1,250,000</b>			<b>\$ 77,163,129</b>	<b>\$ 123,108,007</b>	<b>\$ 106,693,250</b>	<b>\$ 149,068,774</b>	
Excess (Deficit) of Revenues Over Expenditures	\$ 3,079,836	\$ (493,305)	\$ (530,170)	\$ (1,248,085)			\$ 808,276	\$ (9,012,468)	\$ (4,267,926)	\$ (4,853,035)	
Operating Transfers In (Out)	\$ (69)		\$ 69				\$ 0	\$ 0		\$ 0	
Financing (Deficit)											
Beginning Balance (Deficit)	\$ 20,742,507	\$ 943,273	\$ 338	\$ 3,000,000			\$ 24,686,118	\$ 24,686,118	\$ 24,208,346	\$ 24,208,346	
Ending Balance (Deficit)	\$ 23,822,274	\$ 449,968	\$ (529,763)	\$ 1,751,915			\$ 25,494,395	\$ 15,673,650	\$ 19,940,420	\$ 19,355,311	



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

For the month ended Mar										
Fiscal Year 2011/12									2010/11	
	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)
<b>PROGRAM EXPENDITURES:</b>										
Judges & Courtroom Support	\$ 19,417,345	\$ 1,192,815	\$ 0		\$ 0		\$ 20,610,160	\$ 33,353,898	\$ 21,506,960	\$ 32,895,798
Traffic & Other Infractions	\$ 4,759,391	\$ 97,619					\$ 4,857,010	\$ 8,187,445	\$ 5,262,327	\$ 8,011,623
Other Criminal Cases	\$ 8,113,599	\$ 1,833,397			\$ 0	\$ (1,749)	\$ 9,945,248	\$ 16,503,163	\$ 8,774,637	\$ 15,701,490
Civil	\$ 6,810,737	\$ 252,472					\$ 7,063,210	\$ 11,209,438	\$ 7,156,906	\$ 11,485,728
Family & Children Services	\$ 7,570,268	\$ 991,914			\$ 0		\$ 8,562,182	\$ 14,000,380	\$ 8,687,339	\$ 13,929,079
Probate, Guardianship & Mental Health Services	\$ 2,196,472	\$ (11,036)					\$ 2,185,436	\$ 3,487,978	\$ 2,207,551	\$ 3,447,020
Juvenile Dependency Services	\$ 421,342	\$ 57,182			\$ 1,119		\$ 479,644	\$ 1,068,375	\$ 1,418,958	\$ 1,501,447
Juvenile Delinquency Services	\$ 494,756	\$ 26,315					\$ 521,070	\$ 760,358	\$ 517,620	\$ 807,526
Other Court Operations	\$ 379,611	\$ 8,935					\$ 388,546	\$ 749,979	\$ 355,760	\$ 970,771
Court Interpreters	\$ 2,305,608	\$ 344,704					\$ 2,650,312	\$ 5,416,558	\$ 2,604,479	\$ 5,298,457
Jury Services	\$ 672,310	\$ 83,670	\$ 424,790				\$ 1,180,770	\$ 1,570,822	\$ 1,259,018	\$ 1,674,113
Security		\$ 451,074					\$ 451,074	\$ 345,376	\$ 20,813,176	\$ 29,202,591
Trial Court Operations Program	\$ 53,141,440	\$ 5,329,063	\$ 424,790		\$ 1,119	\$ (1,749)	\$ 58,894,663	\$ 96,653,770	\$ 80,564,731	\$ 124,925,643
Enhanced Collections										
Other Non-Court Operations	\$ 1,152,708	\$ 77,540	\$ 61,757				\$ 1,292,005	\$ 288,860	\$ 318,466	\$ 323,679
Non-Court Operations Program	\$ 1,152,708	\$ 77,540	\$ 61,757				\$ 1,292,005	\$ 288,860	\$ 318,466	\$ 323,679
Executive Office	\$ 2,022,871	\$ 75,054					\$ 2,097,925	\$ 1,700,992	\$ 2,144,974	\$ 2,164,744
Fiscal Services	\$ 1,418,838	\$ 984,344					\$ 2,403,182	\$ 4,317,269	\$ 1,927,322	\$ 3,330,119
Human Resources	\$ 1,452,359	\$ 63,150					\$ 1,515,509	\$ 2,517,916	\$ 1,657,752	\$ 2,526,137
Business & Facilities Services	\$ 2,757,075	\$ 1,753,358		\$ 1,250,000			\$ 5,760,433	\$ 10,820,616	\$ 14,880,262	\$ 9,013,430
Information Technology	\$ 3,226,244	\$ 1,984,668				\$ (11,499)	\$ 5,199,412	\$ 6,808,584	\$ 5,199,743	\$ 6,785,022
Court Administration Program	\$ 10,877,387	\$ 4,860,574		\$ 1,250,000		\$ (11,499)	\$ 16,976,461	\$ 26,165,377	\$ 25,810,052	\$ 23,819,452
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
Total	\$ 65,171,535	\$ 10,267,177	\$ 486,546	\$ 1,250,000	\$ 1,119	\$ (13,248)	\$ 77,163,129	\$ 123,108,007	\$ 106,693,250	\$ 149,068,774