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Memorandum

TO: BATA Oversight Committee

DATE: January 2, 2013

FR: Executive Director

W. I. 1254

RE: BATA Financial Statements – November 2012

Please find attached for receipt the BATA financial statements for the month ending November 2012. Major highlights of the monthly statement include:

- (1) **Revenues:** Toll revenue for the current month is slightly higher than was anticipated in the budget. Also, BATA has received \$19.1 million in subsidy payments from the U.S. government to offset the interest expense for the Build America Bonds.
- (2) **Caltrans Revenue:** Caltrans paid \$165 million for its annual payment for the State Payment Acceleration Notes (SPANS) in October and these funds were transferred to the Bay Area Infrastructure Financing Authority.
- (3) **Transfers to MTC:** The annual 1% administration fee was transferred to MTC in the amount of \$6,516,583.
- (4) **FasTrak[®]** usage for the month was 60% of total paid traffic.

If you have any questions about this report, please contact Brian Mayhew at (510) 817-5730.

A blue ink signature of Steve Heminger, consisting of a stylized, cursive script.

Steve Heminger

BATA Operating Budget

AS of November 2012

	1	2	3	4	5	6
	FY 2012-13 Budget	Actual YTD	Current Budget Balance	% of Budget (col 2/1)	% of Budget year Expired	Encumbrances
REVENUE:						
1. RM 1 Toll Revenues	530,415,155	226,629,543	303,785,612	42.7%	41.6%	-
2. RM 2 Toll Revenues	115,170,000	49,430,178	65,739,822	42.9%	41.6%	-
3. Caltrans Revenue	165,000,000	165,000,000	-	100.0%	41.6%	-
4. Other revenue	10,000,000	6,072,620	3,927,380	60.7%	41.6%	-
5. Interest Income	6,073,160	1,546,785	4,526,375	25.5%	41.6%	-
6. GGB&HTD, SFO ETC Reimbursement	5,344,000	1,244,553	4,099,447	23.3%	41.6%	-
7. Alameda CMA Reimbursement	150,000	69,358	80,642	46.2%	41.6%	-
8. VTA 237 Express Lane Reimb.	82,800	51,605	31,195	62.3%	41.6%	-
9. Rebate for Build America Bonds	76,561,538	19,140,384	57,421,154	25.0%	41.6%	-
Total Revenue	908,796,653	469,185,027	439,611,626	51.6%	41.6%	-
EXPENSE:						
Caltrans Operations and Maintenance:						
1. Toll Collection & Operations Services	21,150,000	8,906,596	12,243,404	42.1%	41.6%	-
2. Toll & Bridge Facility Maint	7,900,000	2,998,556	4,901,444	38.0%	41.6%	-
3. Caltrans Coordination	321,000	67,742	253,258	21.1%	41.6%	-
4. Caltrans ETC Operations	8,000	1,240	6,760	15.5%	41.6%	-
Caltrans O & M Subtotal	29,379,000	11,974,135	17,404,865	40.8%	41.6%	-
ETC Operations and Maintenance:						
5. ETC - CSC Operations	19,107,000	4,864,460	14,242,540	25.5%	41.6%	14,242,540
6. ETC - ATCAS Maintenance, IT equip	4,849,000	745,725	4,103,275	15.4%	41.6%	951,016
7. Banking Costs	11,040,000	3,129,504	7,910,496	28.3%	41.6%	7,908,660
8. ETC - Collection Exp./DMV Exp.	1,250,000	464,765	785,235	37.2%	41.6%	805,799
BATA O & M Subtotal	36,246,000	9,204,454	27,041,546	25.4%	41.6%	23,908,016
BATA Toll Bridge Administration:						
9. Staff Costs - including salaries	8,708,870	3,140,044	5,568,826	36.1%	41.6%	831,736
10. RM 1/RM2 Audit/Accounting/Other	1,389,700	259,560	1,130,140	18.7%	41.6%	86,469
11. Misc. Toll Admin Operating Expenses	1,000,000	408,835	591,165	40.9%	41.6%	184,065
12. Professional Fees	2,505,000	686,304	1,818,696	27.4%	41.6%	1,250,225
13. Other	1,000,000	-	1,000,000	0.0%	41.6%	-
Toll Bridge Admin Subtotal	14,603,570	4,494,743	10,108,827	30.8%	41.6%	2,352,496
Other/Transfers:						
14. Transfers to BAIFA	165,000,000	165,000,000	-	100.0%	41.6%	-
15. Transfers to MTC	6,516,583	6,516,583	-	100.0%	41.6%	-
16. Transfers to BAHA	357,486	-	357,486	0.0%	41.6%	-
17. Transfer from Legal Reserve	-	47,550	(47,550)	0.0%	41.6%	225,099
18. Transbay Transit Terminal Maint by TJP	4,088,691	168,592	3,920,099	4.1%	41.6%	2,179,339
19. Depreciation and Amortization	2,000,000	474,079	1,525,921	23.7%	41.6%	-
20. RM2/Clipper Marketing	3,000,000	665,441	2,334,559	22.2%	41.6%	460,300
21. RM2 Operating	43,764,600	13,373,858	30,390,742	30.6%	41.6%	23,759,432
Transfers	224,727,360	186,246,103	38,481,257	82.9%	41.6%	26,624,169
Debt Service:						
22. Interest and principal payments	495,523,354	107,095,095	388,428,259	21.6%	41.6%	-
23. Financing Costs	18,616,920	13,015,071	5,601,849	69.9%	41.6%	14,404,020
Total Debt Service	514,140,274	120,110,165	394,030,109	23.4%	41.6%	14,404,020
Transfer to Capital Fund In (Out):						
24. Transfer to Capital Fund	89,650,449	137,155,427	(47,504,978)	153.0%	41.6%	-
25. Furniture/Equip./Vehicle	50,000	-	50,000	0.0%	41.6%	-
Total Capital Reserve In (Out)	89,700,449	137,155,427	(47,454,978)	152.9%	41.6%	-
Total Expense & Transfers	908,796,653	469,185,027	439,611,626			67,288,701
Net	-	-	-			-

RM1 Project Budget

As of November 2012 (\$000) - Life to Date

Program	Total Budget	Allocated Budget	Total Expenses	Encumbrance	Balance Remaining
New Bridge - Benicia:					
BATA Budget	1,224,800	1,200,950	1,170,586	30,364	23,850
Non BATA Budget*	47,700	47,700	38,299	9,401	-
Subtotal for New Bridge - Benicia	1,272,500	1,248,650	1,208,885	39,765	23,850
Main Span - Carquinez	517,656	515,688	513,718	1,970	1,968
Richmond Parkway	5,897	5,897	5,226	671	-
Richmond Trestle Fender Replacement: **					
BATA Budget	37,593	34,800	50,193 **	(15,393)	2,793
Non BATA Budget*	59,660	59,660	61,642	(1,982)	-
Subtotal for Richmond Trestle Fender Rep.	97,253	94,460	111,835	(17,375)	2793
Richmond Deck Rehab.	20,000	19,653	19,653	-	347
Widen Trestle	209,956	211,202	209,753	1,449	(1,246)
I-880/SR-92 Interchange Recnst.					
BATA Budget	235,400	232,165	229,280	2,885	3,235
Non BATA Budget*	9,600	9,600	-	9,600	-
Subtotal for I-880/SR-92 Interchange Recnst	245,000	241,765	229,280	12,485	3,235
Bayfront Expressway Widening	33,418	33,418	33,418	0	0
University/101 Interchange	3,800	3,800	3,700	100	-
TOTAL FOR RM1 PROGRAM	2,405,481	2,374,533	2,335,468	39,065	30,947

* Non BATA Funded Costs

** EA 0438UY has \$16.9 million in expenses that is part of the Richmond Bridge Retrofit Program in the Seismic Budget
Shaded projects are completed

A) Moved \$395 from SR-92 Replacement Planting to Rehab Caltrans Reserve.

B) Moved \$550 from Bayfront Expressway Widening to Rehab Caltrans Reserve.

Regional Measure 2 Operating Budget

As of November 2012 (\$000)

Project	Project Title	Total Budget	Allocation	Actual	Encumbrance	Balance Remaining
1	Richmond Bridge Express Bus	\$2,196	-	-	-	\$2,196
2	Napa Vine Service	390	390	98	292	-
3	Express Bus North - serving SFOBB, Dumbarton, San Mateo bridges	3,013	2,005	645	1,360	1,008
4	Express Bus South - serving Carquinez and Benicia Bridges	6,472	6,472	2,578	3,894	-
5	Dumbarton Bus	2,268	2,251	982	1,269	17
6	WETA Ferry Operations	15,300	14,901	5,987	8,914	399
7	Owl Service - BART Corridor	1,827	1,827	556	1,271	-
8	MUNI Metro 3rd St	2,500	2,500	-	2,500	-
9	AC Enhanced Bus Service	3,000	3,000	1,259	1,741	-
10	Clipper Operations	890	788	399	389	102
11	Water Emergency Transportation Authority Regional Planning	3,000	3,000	870	2,130	-
	Subtotal for Operating Assistance Program	40,856	37,134	13,374	23,760	3,722
N/A	Clipper Marketing	1,900	-	665	-	1,235
N/A	RM2 Marketing	600	-	-	460	140
	Total for Clipper and RM2 Marketing	2,500	-	665	460	1,375
	Total	\$43,356	\$37,134	\$14,039	\$24,220	\$5,097

Regional Measure 2 Project Budget
As of November 2012 (\$000) - Life to Date

Program	Project Title	Total Budget	Allocation	Actual	Encumbrance	Balance Remaining
1	BART/MUNI Direct Connection at Embarcadero & Civic Center Stations	\$3,000	-	-	-	\$3,000
2	SF MUNI Metro 3rd Street LRT Extension	30,000	30,000	30,000	-	-
3	MUNI Historic Streetcar Expansion (E-Line)	10,000	10,000	8,846	1,154	-
4	Dumbarton Commuter Rail Service *	44,000	9,307	7,977	1,330	34,693
5	Vallejo Ferry Intermodal Station	28,000	17,959	8,155	9,804	10,041
6	Solano County Express Bus Intermodal Facilities	20,000	11,000	4,798	6,202	9,000
7	Solano County Corridor Improvements near I-80 / I-680 Interchange	100,000	97,622	71,055	26,567	2,378
8	I-80 EB HOV Lane Extension from Route 4 to Carquinez Bridge	50,000	37,247	37,175	72	12,753
9	Richmond Parkway Park & Ride	16,000	850	754	96	15,150
10	SMART Extension to Larkspur **	36,500	36,500	13,251	23,249	-
11	Greenbrae Interchange	63,500	17,850	15,691	2,159	45,650
12	Direct HOV lane connector from I-680 to the Pleasant Hill BART	15,000	5,800	1,607	4,193	9,200
13	Rail Extension to East Contra Costa/E-BART	96,000	94,600	65,639	28,961	1,400
14	Capitol Corridor Improvements in Interstate-80/Interstate 680	25,000	8,465	3,727	4,738	16,535
15	Central Contra Costa Bay Area Rapid Transit (BART) Crossover	25,000	25,000	24,918	82	-
16	Benicia-Martinez Bridge New Span	50,000	50,000	50,000	-	-
17	Remaining Regional Express Bus North - Competitive Program Projects	20,000	7,417	3,723	3,694	12,583
18	Clipper	22,000	21,980	17,414	4,566	20
19	Real-time transit information	20,000	18,178	13,329	4,849	1,822
20	Safe Routes to Transit	22,500	13,966	7,956	6,010	8,534
21	BART Tube Seismic Retrofit	33,801	33,801	33,695	106	-
22	Transbay Terminal/Downtown	150,000	150,000	142,467	7,533	-
23	Oakland Airport Connector	115,199	115,199	55,091	60,108	-
24	AC Transit Enhanced Bus - Phase 1 (International Blvd/Telegraph Ave.)	65,000	25,157	20,933	4,224	39,843
25	Commute Ferry Service for Alameda/Oakland/Harbor Bay	12,000	-	-	-	12,000
26	Commute Ferry Service for Berkeley/Alban	12,000	-	-	-	12,000
27	Commute Ferry Service for South San Francisco	12,000	12,000	11,998	2	-
28	Water Transit Facility Imps., Spare Vessels and Environmental Review	48,000	28,155	25,813	2,342	19,845
29	Regional Express Bus South - Remaining Projects	22,000	21,989	19,533	2,456	11
30	I-880 North Safety Improvements	10,000	8,660	7,831	829	1,340
31	BART Warm Springs Extension *	186,000	186,000	106,069	79,931	-
32	I-580 (Tri Valley) Rapid Transit Corridor Improvements	65,000	50,466	40,659	9,807	14,534
33	Regional Rail Master Plan	6,500	6,465	5,959	506	35
34	Integrated Fare Structure Program	1,500	1,500	900	600	-
35	Transit Commute Benefits Promotion	5,000	4,220	2,295	1,925	780
36	Caldecott Tunnel Improvements	50,500	45,075	15,708	29,367	5,425
37	BART's Fixed Guideway Rehab	24,000	24,000	15,402	8,598	-
Total		\$1,515,000	\$1,226,428	\$890,368	\$336,060	\$288,572

* Allocated \$91 million from the Dumbarton Commuter Rail Service to the BART to Warm Springs Extension Project, per Resolution #3801 dated 1/28/09.

** Allocated \$1.5 million from the SMART Project to Greenbrae Interchange Improvement Project, per Resolution #3801 dated 9/28/11.

Shaded projects are completed

Seismic Capital Project Budget
As of November (\$000) - Life to Date

Program	Base Budget	Current Budget	Total Expenses*	Encumbrance	Remaining Balance
San Francisco-Oakland Bay Bridge East Span Repl	\$ 5,486,600	\$ 6,287,600	\$ 5,378,110	\$ 909,490	\$ -
San Francisco-Oakland Bay Bridge West Span Retrofit	307,900	305,316	305,316	-	-
San Francisco-Oakland Bay Bridge West Approach Repl	429,000	469,700	449,574	20,126	-
Antioch Bridge Retrofit	-	82,000	71,024	10,976	-
Dumbarton Bridge Retrofit	-	148,700	99,907	48,793	-
Richmond-San Rafael Bridge Retrofit ***	825,000	816,500	794,870 ***	21,630	-
Benicia-Martinez Bridge Retrofit	177,800	177,830	177,817	13	-
Carquinez Bridge Retrofit	114,200	114,206	114,206	-	-
San Mateo-Hayward Bridge Retrofit	163,500	163,412	163,412	-	-
Subtotal for Bay Area Bridges	7,504,000	8,565,264	7,554,236	1,011,028	-
Misc Program Costs	30,000	30,000	26,024	3,976	-
Program Contingency**	989,000	324,706	-	324,706	-
Vincent Thomas Bridge Retrofit (<i>non-BATA, for information only</i>)	58,500	58,510	58,411	99	-
San Diego-Coronado Bridge Retrofit (<i>non BATA, for information only</i>)	103,500	103,520	103,235	285	-
Subtotal for Other Bridges	162,000	162,030	161,646	384	-
Total for Toll Bridge Seismic Retrofit Program	\$ 8,685,000	\$ 9,082,000	\$ 7,741,906	\$1,340,094	\$ -

*Includes preAB144 LTD expenses from Caltrans to April 2006 3,709,068
Bata expenses from May 2006 to current 4,032,838
7,741,906

** Contingency Allocation

Contingency per Budget	989,000
Allocation to SFO BB East Span Repl 7/07	(179,220)
Allocation to Benicia-Martinez 7/07	(30)
Allocation to San Mateo-Hayward 7/07	(10)
Allocation to Vincent Thomas 7/07	(10)
Allocation to San Diego-Coronado 7/07	(20)
Unallocate from Carquinez 7/07	70
Allocation to SFO BB West Approach 3/26/08	(24,700)
Allocation to SFO BB East Span Repl 7/08	(36,290)
Unallocate from Richmond SR 7/08	8,500
Allocations to SFOBB West Approach 12/17/08	(17,000)
Allocation to SFOBB East Span Replacement 12/09	(50,600)
Allocation for Antioch Contingency 1/10	72,000
Allocation for Dumbarton Contingency 1/10	118,000
Allocation to SFOBB East Span Replacement 7/10	(138,390)
Unallocate from SFOBB West Approach 7/10	3,000
Unallocate from Antioch Contingency 7/10	(43,000)
Allocate to SFOBB East Span 9/10	(293,080)
Allocate to SFOBB East Span 3/23/11	(106,200)
Allocate to SFOBB East Span 6/27/12	(14,450)
Allocate to SFOBB West Approach 6/27/12	(1,000)
Allocate to Carquinez 6/27/12	(70)
Unallocate from SFOBB East Span 11/28/12	17,230
Unallocate from SFOBB West Span 11/28/12	2,584
Allocate to SFOBB West Approach 11/28/12	(1,000)
Allocate to Carquinez 11/28/12	(6)
Unallocate from San Mateo-Hayward 11/28/12	98
Unallocate Antioch Bridge 11/28/12	19,000
Unallocate Dumbarton Bridge 11/28/12	300
Remaining Balance	324,706

*** EA 0438UY has \$16.9 million in expenses from the RM 1 Richmond Trestle Fender Replacement Program that belongs to the Seismic Richmond Bridge Retrofit Budget

Shaded projects are completed

Rehab Project Budget

As of November 2012 (\$000) - Life to Date

Program #	Program	Total Budget	Total Expenses	Encumbrance	Balance Remaining
6811	Antioch Bridge - Replace Drainage Grates	364	295	-	69
6812	Benicia-Martinez Bridge Rehab	103	-	-	103
6813	Carquinez Bridge - Replace Timber Fenders	24,651	18,652	-	5,999
6814	Richmond-San Rafael Bridge - Pier 34 Fender Repair	29,806	6,990	-	22,816
6825	San Francisco-Oakland Bay Bridge Rehab	131,271	33,875	-	97,396
6826	San Mateo-Hayward Bridge Rehab	21,653	14,354	-	7,299
6827	Dumbarton Bridge - Expansion Joint Replacement	8,485	6,719	-	1,766
6828	All Bridges Rehab	43,607	31,779	-	11,828
8030	Completed/Defunded/Transferred Projects	89,156	88,855	-	301
8629	Minor Bridge Rehab Projects	903	45	-	858
8033	Minor Toll Plaza Projects	2,800	2,124	-	676
6829	Caltrans Reserve	2,900	-	-	2,900
	TOTAL CALTRANS REHAB BUDGET	355,699	203,688	-	152,011
8905	Misc. Bridge Improvements	7,150	2,971	406	3,773
8900	ETC Regional CSC Development	7,858	4,843	1,655	1,360
8902	Future CSC Upgrades/Replacement	8,250	1,158	1,856	5,236
8903	ATCAS Lane Host Upgrades	32,800	16,167	14,499	2,134
8904	Fastrak Sign & Sign Structure Improvements	34,570	29,038	742	4,790
8531	Benicia New Toll Plaza ORT	4,485	4,153	1	331
8901	ETC Transponder Procurement	44,853	35,981	1,020	7,852
8602	Hybrid/ETC Lane Modifications	900	874	-	26
8631	Procure New Callboxes	2,344	2,144	-	200
8907	Toll Plaza Capital Improvements	11,200	3,722	3,639	3,839
8908	Enterprise Computing HW/SW	2,550	1,129	420	1,001
8909	Gateway Park Planning	11,000	1,379	4,271	5,350
8910	Minor Emergency Reserve	4,761	-	-	4,761
8000-11	SRA/RM1 Program Monitoring	37,045	33,454	2,661	930
8000-05	Capital Program Audit	7,000	5,012	1,231	757
8912	ETC Transponder Tag Swap	3,144	1,929	207	1,008
8913	SFOBB Administration Building	38,700	24,528	785	13,387
8914	Violation Enforcement System Upgrade	8,300	7,743	556	1
8539	SFOBB Eyebars Repair Review	2,950	2,660	254	36
8594	SFOBB West Span Pathway PSR	2,800	551	999	1,250
8916	Bay Crossing Study	2,000	540	-	1,460
8917	IT Security Procedures & Policies	250	-	-	250
8918	Maintenance Complex	331	180	151	-
8924	Antioch Bridge Approach	7,000	444	3,086	3,470
8920	Plaza and Canopy Improvements	10,000	1,052	7,007	1,941
8921	SFOBB Lane 17 & 18 Lane Reconfiguration	5,000	82	163	4,755
8922	Metering Lights Replacement	1,000	-	-	1,000
8923	Bridge Records Recordation and Storage	10,500	4,795	429	5,276
8925	Express Lanes Development	20,000	2,717	6,046	11,237
8926	Bridge Modeling & Investigations	2,000	-	-	2,000
8927	CCTV Installation	850	-	-	850
8928	BATA Program Contingency	1,279	-	-	1,279
8919	Congestion Pricing Study	900	-	-	900
	Total BATA REHAB BUDGET	333,770	189,246	52,084	92,440
	TOTAL REHAB BUDGET	689,469	392,934	52,084	244,450

Shaded projects are completed

AB 1171 Project Budget

As of November 2012 (\$000) - Life to Date

Project Title	Total Budget	Allocation	Actual	Encumbrance	Balance Remaining
Doyle Drive Replacement	80,000	80,000	50,506	29,494	-
BART to Warm Spring Extension	5,000	5,000	-	5,000	-
Fairfield/Vacaville Train Station	9,000	-	-	0	9,000
I80/680 Interchange	100,000	58,343	15,533	42,810	41,657
Regional Express Lane Network	2,800	2,800	1,740	1,060	-
Transbay Terminal/Downtown Extension:Phase 1	150,000	147,676	44,878	102,798	2,324
Tri-Valley Transit Access Improve. To BART	95,000	1,500	1,201	299	93,500
Other Corridor Improvement	1,700	-	-	0	1,700
VTA Mission/Warren/Truck Rail Facility	6,500	6,500		6,500	-
East Contra Costa BART Extension	120,000	101,467	6,275	95,192	18,533
Total	\$570,000	\$403,286	\$120,133	\$283,153	\$166,714

AB 1171 Program Budget:	\$570,000
Approved Projects:	\$403,286
AB 1171 Program Balance:	\$166,714

PURCHASE ORDERS EXECUTED BY EXECUTIVE DIRECTOR

\$2,500-\$100,000

As of Nov '12

Great Frame Up Systems		\$3,000
	<i>Account for Various Framing Projects</i>	
Color Folio		\$5,500
	<i>Bridge Prints for Wall Display</i>	
Gray & Associates CPA's		\$17,400
	<i>Set-up and Implementation of Caseware Government Reporting Program for CAFR</i>	
John Matos Illustration		\$3,000
	<i>Creation of Illustration for use on Clipper Card & Fastrak Transponders</i>	
Transcore		\$2,540
	<i>ATCAS II AVI Testing Tolls</i>	

