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Memorandum

TO: BATA Oversight Committee

DATE: April 3, 2013

FR: Executive Director

W. I. 1254

RE: BATA Financial Statements – February 2013

Please find attached for receipt the BATA financial statements for the month ending February 2013. Major highlights of the monthly statement include:

- (1) **Revenues:** Toll revenue is slightly higher than was anticipated in the budget. Also, BATA has received \$24.8 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 61% of total paid traffic.

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

 Steve Heminger

BATA Operating Budget

AS of February 2013

	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	352,061,834	178,353,321	66.4%	66.6%	-
2. RM 2 Toll Revenues	115,170,000	77,013,650	38,156,350	66.9%	66.6%	-
3. Caltrans Revenue	165,000,000	165,000,000	-	100.0%	66.6%	-
4. Other revenue	10,000,000	10,328,301	(328,301)	103.3%	66.6%	-
5. Interest Income	6,073,160	2,602,194	3,470,966	42.8%	66.6%	-
6. GGB&HTD, SFO ETC Reimbursement	5,344,000	2,296,641	3,047,359	43.0%	66.6%	-
7. Alameda CMA Reimbursement	150,000	119,900	30,100	79.9%	66.6%	-
8. VTA 237 Express Lane Reimb.	82,800	90,466	(7,666)	109.3%	66.6%	-
9. Rebate for Build America Bonds	76,561,538	24,881,828	51,679,710	32.5%	66.6%	-
Total Revenue	908,796,653	634,394,813	274,401,840	69.8%	66.6%	-
EXPENSE:						
Caltrans Operations and Maintenance:						
1. Toll Collection & Operations Services	21,150,000	12,599,271	8,550,729	59.6%	66.6%	-
2. Toll & Bridge Facility Maint	7,900,000	3,865,557	4,034,443	48.9%	66.6%	-
3. Caltrans Coordination	321,000	99,332	221,668	30.9%	66.6%	-
4. Caltrans ETC Operations	8,000	1,240	6,760	15.5%	66.6%	-
Caltrans O & M Subtotal	29,379,000	16,565,400	12,813,600	56.4%	66.6%	-
ETC Operations and Maintenance:						
5. ETC - CSC Operations	19,107,000	9,468,761	9,638,239	49.6%	66.6%	9,638,239
6. ETC - ATCAS Maintenance, IT equip	4,849,000	1,792,747	3,056,253	37.0%	66.6%	576,990
7. Banking Costs	11,040,000	4,685,729	6,354,271	42.4%	66.6%	7,260,993
8. ETC - Collection Exp./DMV Exp.	1,250,000	827,060	422,940	66.2%	66.6%	680,701
BATA O & M Subtotal	36,246,000	16,774,297	19,471,703	46.3%	66.6%	18,156,924
BATA Toll Bridge Administration:						
9. Staff Costs - including salaries	8,708,870	4,856,262	3,852,608	55.8%	66.6%	654,901
10. RM 1/RM2 Audit/Accounting/Other	1,794,347	304,821	1,489,526	17.0%	66.6%	41,209
11. Misc. Toll Admin Operating Expenses	1,000,000	471,774	528,226	47.2%	66.6%	142,333
12. Professional Fees	2,505,000	1,094,729	1,410,271	43.7%	66.6%	1,187,805
13. Other	1,000,000	-	1,000,000	0.0%	66.6%	-
Toll Bridge Admin Subtotal	15,008,217	6,727,586	8,280,631	44.8%	66.6%	2,026,248
Other/Transfers:						
14. Transfers to BAIFA	165,000,000	165,000,000	-	100.0%	66.6%	-
15. Transfers to MTC	6,516,583	6,516,583	-	100.0%	66.6%	-
16. Transfers to BAHA	48,780,971	357,486	48,423,485	0.7%	66.6%	-
17. Transfer from Legal Reserve	285,574	62,849	222,725	0.0%	66.6%	259,466
18. Transbay Transit Terminal Maint by TJP	4,088,691	1,693,501	2,395,190	41.4%	66.6%	2,698,776
19. Depreciation and Amortization	2,000,000	946,851	1,053,149	47.3%	66.6%	-
20. RM2/Clipper Marketing	3,000,000	979,367	2,020,633	32.6%	66.6%	460,300
21. RM2 Operating	43,764,600	23,415,988	20,348,612	53.5%	66.6%	16,209,830
Transfers	273,436,419	198,972,625	74,463,794	72.8%	66.6%	19,628,372
Debt Service:						
22. Interest and principal payments	495,523,354	133,276,706	362,246,648	26.9%	66.6%	-
23. Financing Costs	18,616,920	7,363,757	11,253,163	39.6%	66.6%	11,097,790
Total Debt Service	514,140,274	140,640,463	373,499,811	27.4%	66.6%	11,097,790
Transfer to Capital Fund In (Out):						
24. Transfer to Capital Fund	40,536,743	254,714,443	(214,177,700)	628.4%	66.6%	-
25. Furniture/Equip./Vehicle	50,000	-	50,000	0.0%	66.6%	-
Total Capital Reserve In (Out)	40,586,743	254,714,443	(214,127,700)	627.6%	66.6%	-
Total Expense & Transfers	908,796,653	634,394,813	274,401,840			50,909,334
Net	-	-	-			-

Regional Measure 2 Operating Budget

As of February 2013 (\$000)

Project	Project Title	Total Budget	Allocation	Actual	Encumbrance	Balance Remaining
1	Richmond Bridge Express Bus	\$2,196	2,196	-	2,196	\$0
2	Napa Vine Service	390	390	209	181	-
3	Express Bus North - serving SFOBB, Dumbarton, San Mateo bridges	3,013	2,301	861	1,440	712
4	Express Bus South - serving Carquinez and Benicia Bridges	6,472	6,472	4,691	1,781	-
5	Dumbarton Bus	2,268	2,251	1,824	427	17
6	WETA Ferry Operations	15,300	14,901	10,839	4,062	399
7	Owl Service - BART Corridor	1,827	1,827	1,079	748	-
8	MUNI Metro 3rd St	2,500	2,500	-	2,500	-
9	AC Enhanced Bus Service	3,000	3,000	2,268	732	-
10	Clipper Operations	890	788	243	545	102
11	Water Emergency Transportation Authority Regional Planning	3,000	3,000	1,402	1,598	-
	Subtotal for Operating Assistance Program	40,856	39,626	23,416	16,210	1,230
N/A	Clipper Marketing	1,900	-	979	-	921
N/A	RM2 Marketing	600	-	-	460	140
	Total for Clipper and RM2 Marketing	2,500	-	979	460	1,061
	Total	\$43,356	\$39,626	\$24,395	\$16,670	\$2,291

Regional Measure 2 Project Budget
As of February 2013 (\$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	12,374	5,585	10,041
6	Solano County Express Bus Intermodal Facilities	20,000	12,800	4,846	7,954	7,200
7	Solano County Corridor Improvements near I-80 / I-680 Interchange	100,000	97,622	71,833	25,789	2,378
8	I-80 EB HOV Lane Extension from Route 4 to Carraizuez 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	95,100	65,639	29,461	900
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	3,743	3,674	12,583
18	Clipper	22,000	21,980	17,640	4,340	20
19	Real-time transit information	20,000	18,178	13,633	4,545	1,822
20	Safe Routes to Transit	22,500	15,000	8,941	6,059	7,500
21	BART Tube Seismic Retrofit	33,801	33,801	33,695	106	-
22	Transbay Terminal/Downtown	150,000	150,000	142,479	7,521	-
23	Oakland Airport Connector	115,199	115,199	78,256	36,943	-
24	AC Transit Enhanced Bus - Phase 1 (International Blvd/Telegraph Ave)	65,000	25,157	20,933	4,224	39,843
25	Commuter Ferry Service for Alameda/Oakland/Harbor Bay	12,000	-	-	-	12,000
26	Commuter Ferry Service for Berkeley/Alban	12,000	-	-	-	12,000
27	Commuter 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	25,903	2,252	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	10,000	7,876	2,124	-
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	40,715	9,751	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 Commuter Benefits Promotion	5,000	4,220	2,296	1,924	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	\$1,231,102	\$920,317	\$310,785	\$283,898

* 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

RM1 Project Budget

As of February 2013 (\$000) - Life to Date

Program	Total Budget	Allocated Budget	Total Expenses	Encumbrance	Balance Remaining
New Bridge - Benicia:					
BATA Budget	1,219,800	1,200,950	1,170,670	30,280	18,850
Non BATA Budget*	47,700	47,700	38,299	9,401	0
Subtotal for New Bridge - Benicia	1,267,500	1,248,650	1,208,969	39,681	18,850
Main Span - Carquinez	517,156	515,688	513,723	1,965	1,468
Richmond Parkway	5,897	5,897	5,226	671	-
Richmond Trestle Fender Replacement: **					
BATA Budget	54,493	51,700	50,193 **	1,507	2,793
Non BATA Budget*	59,660	59,660	61,642	(1,982)	-
Subtotal for Richmond Trestle Fender Rep.	114,153	111,360	111,835	(475)	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	229,442	229,442	229,442	-	-
Non BATA Budget*	9,600	9,600	-	9,600	-
Subtotal for I-880/SR-92 Interchange Recnst	239,042	239,042	229,442	9,600	-
Bayfront Expressway Widening	33,418	33,418	33,418	-	-
University/101 Interchange	3,800	3,800	3,700	100	-
TOTAL FOR RM1 PROGRAM	2,410,923	2,388,710	2,335,719	52,991	22,212

* Non BATA Funded Costs

Shaded projects are completed

A) Moved \$500K from Main Span-Carquinez to Rehab Caltrans Reserve.

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

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

D) Moved \$5 million from New Benicia Bridge to Caltrans Rehab.

E) Moved \$5.958 million from I-880/SR-92 Landscaping to Caltrans Rehab.

** Moved \$16.9 million to Richmond Trestle Fender Replacement from Seismic Budget.

Seismic Capital Project Budget
As of February 2013 (\$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	\$ 6,293,169	\$ 5,449,398	\$ 843,771	\$ -
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	449,775	19,925	-
Antioch Bridge Retrofit	-	82,000	71,067	10,933	-
Dumbarton Bridge Retrofit	-	148,700	104,708	43,992	-
Richmond-San Rafael Bridge Retrofit ***	808,100	799,600	794,870	4,730	-
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	7,487,100	8,553,933	7,630,569	923,364	-
Misc Program Costs	30,000	30,000	26,024	3,976	-
Program Contingency**	989,000	319,137	-	319,137	-
Vincent Thomas Bridge Retrofit (non-BATA, for information only)	58,500	58,510	58,411	99	-
San Diego-Coronado Bridge Retrofit (non BATA, for information only)	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	\$ 8,668,100	\$ 9,065,100	\$ 7,818,239	\$ 1,246,861	\$ -

*Includes preAB144 LTD expenses from Caltrans to April 2006 3,709,068
Bata expenses from May 2006 to current 4,109,171
7,818,239

** 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
Allocate to SFOBB East Span 2/27/13	(5,569)
Remaining Balance	<u>319,137</u>

Shaded projects are completed

*** Moved \$16.9 million from Richmond-San Rafael Bridge Retrofit Budget to RM 1.

Rehab Project Budget

As of February 2013 (\$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	21,875	-	2,776
6814	Richmond-San Rafael Bridge - Pier 34 Fender Repair	29,806	7,095	-	22,711
6825	San Francisco-Oakland Bay Bridge Rehab	154,799	34,924	-	119,875
6826	San Mateo-Hayward Bridge Rehab	21,653	15,455	-	6,198
6827	Dumbarton Bridge - Expansion Joint Replacement	8,485	6,849	-	1,636
6828	All Bridges Rehab	43,607	32,925	-	10,682
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	2,093	-	707
8210	New Benicia Bridge	5,000	-	-	5,000
8615	I-880/SR-92 Landscaping	5,958	-	560	5,398
6829	Caltrans Reserve	2,562	38	-	2,524
TOTAL CALTRANS REHAB BUDGET		389,847	210,449	560	178,838
8905	Misc. Bridge Improvements	7,150	3,030	347	3,773
8900	ETC Regional CSC Development	7,858	4,949	1,750	1,159
8902	Future CSC Upgrades/Replacement	8,250	1,393	3,271	3,586
8903	ATCAS Lane Host Upgrades	32,800	17,709	13,181	1,910
8904	Fastrak Sign & Sign Structure Improvements	34,570	29,045	740	4,785
8531	Benicia New Toll Plaza ORT	4,485	4,153	-	332
8901	ETC Transponder Procurement	44,853	36,994	3,879	3,980
8602	Hybrid/ETC Lane Modifications	900	874	-	26
8631	Procure New Callboxes	2,344	2,144	-	200
8907	Toll Plaza Capital Improvements	11,200	4,389	2,422	4,389
8908	Enterprise Computing HW/SW	2,550	1,261	461	828
8909	Gateway Park Planning	11,000	1,410	4,240	5,350
8910	Minor Emergency Reserve	4,761	-	-	4,761
8000-11	SRA/RM1 Program Monitoring	37,045	35,026	1,882	137
8000-05	Capital Program Audit	7,000	5,118	1,125	757
8912	ETC Transponder Tag Swap	3,144	1,929	208	1,007
8913	SFOBB Administration Building	38,700	25,161	547	12,992
8914	Violation Enforcement System Upgrade	8,300	7,783	515	2
8539	SFOBB Eyebarr 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	198	133	-
8924	Antioch Bridge Approach	7,000	799	2,731	3,470
8920	Plaza and Canopy Improvements	10,000	1,893	6,436	1,671
8921	SFOBB Lane 17 & 18 Lane Reconfiguration	5,000	97	83	4,820
8922	Metering Lights Replacement	1,000	-	-	1,000
8923	Bridge Records Recordation and Storage	10,500	4,015	431	6,054
8925	Express Lanes Development	20,000	4,486	4,977	10,537
8926	Bridge Modeling & Investigations	2,000	-	-	2,000
8927	CCTV Installation	850	-	-	850
8928	BATA Program Contingency	1,510	-	-	1,510
8919	Congestion Pricing Study	900	-	-	900
Total BATA REHAB BUDGET		334,001	197,607	50,612	85,782
TOTAL REHAB BUDGET		723,848	408,056	51,172	264,619

Shaded projects are completed

A)Moved \$5 million from RM 1 New Benicia Bridge to Caltrans Rehab.

B)Moved \$5.95 million from RM 1 I-880/SR-92 Interchange Landscaping to Caltrans Rehab.

AB 1171 Project Budget

As of February 2013 (\$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	64,139	16,859	47,280	35,861
Regional Express Lane Network	2,800	2,800	1,740	1,060	-
Transbay Terminal/Downtown Extension:Phase 1	150,000	147,676	46,926	100,750	2,324
Tri-Valley Transit Access Improve. To BART	95,000	10,100	1,201	8,899	84,900
Other Corridor Improvement	1,700	750	-	750	950
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	\$418,432	\$123,507	\$294,925	\$151,568

AB 1171 Program Budget:	\$570,000
Approved Projects:	\$418,432
AB 1171 Program Balance:	<u>\$151,568</u>

PURCHASE ORDERS EXECUTED BY EXECUTIVE DIRECTOR

\$2,500-\$100,000

As of February '13

Tom Paiva		\$3,000
	<i>Photographic Services</i>	
SSP Data		\$80,815
	<i>Computer Hardware & Maintenance</i>	
The Office City		\$5,000
	<i>Account for Office Supplies for Pier 7 Public Information Offices</i>	
First Choice Service		\$3,000
	<i>Account for Coffee and Water</i>	
DLT Solutions Inc.		\$9,916
	<i>Computer Software</i>	
Karl Nielsen		\$3,000
	<i>Account for Photography of Bay Bridge Toll Plaza Retrofit</i>	

