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## *Memorandum*

TO: BATA Oversight Committee

DATE: November 6, 2013

FR: Executive Director

W. I. 1254

RE: BATA Financial Statements – September 2013

Please find attached for receipt the BATA financial statements for the period ending September 2013. Major highlights of the three months statement include:

- (1) **Revenues:** The closure of the San Francisco-Oakland Bay Bridge during the Labor Day weekend from August 28<sup>th</sup> through the evening of September 2<sup>nd</sup> resulted in an estimated traffic loss of 500,500 vehicles; however, total traffic is up 1.4% over the first three months of FY 2013. Interest income includes an unrealized gain of \$892,463 from revaluation of investments after a review by BATA's auditors.
- (2) **Transfers to MTC:** The annual 1% administration fee was transferred to MTC in the amount of \$6,498,185.
- (3) FasTrak<sup>®</sup> usage for the month was at an all-time high of 63% of total paid traffic.

In addition, the final State payment to BATA of \$300 million representing the last payment by Caltrans for the State Payment Acceleration Notes (SPANs), was received in October and will be included in next month's report.

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

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 Steve Heminger

## BATA Operating Budget

AS of September 2013

	1	2	3	4	5	6
	FY 2013-14 Budget	Actual YTD	Current Budget Balance	% of Budget (col 2/1)	% of Budget year Expired	Encumbrances
<b>REVENUE:</b>						
1. RM 1 Toll Revenues	529,816,181	139,985,774	389,830,407	26.4%	25.0%	-
2. RM 2 Toll Revenues	115,741,820	30,418,481	85,323,339	26.3%	25.0%	-
3. Caltrans Revenue	300,000,000	-	300,000,000	0.0%	25.0%	-
4. Other revenue	10,000,000	4,425,067	5,574,933	44.3%	25.0%	-
5. Interest Income	4,260,525	1,937,444	2,323,081	45.5%	25.0%	-
6. GGB&HTD, SFO ETC Reimbursement	6,947,000	1,164,322	5,782,678	16.8%	25.0%	-
7. Alameda CMA Reimbursement	137,000	40,081	96,919	29.3%	25.0%	-
8. VTA 237 Express Lane Reimb.	116,000	30,202	85,798	26.0%	25.0%	-
9. Rebate for Build America Bonds	76,561,538	17,475,171	59,086,367	22.8%	25.0%	-
<b>Total Revenue</b>	<b>1,043,580,064</b>	<b>195,476,543</b>	<b>848,103,521</b>	<b>18.7%</b>	<b>25.0%</b>	<b>-</b>
<b>EXPENSE:</b>						
<b>Caltrans Operations and Maintenance:</b>						
1. Toll Collection & Operations Services	20,803,000	5,162,985	15,640,015	24.8%	25.0%	-
2. Toll & Bridge Facility Maint	7,900,000	1,728,420	6,171,580	21.9%	25.0%	-
3. Caltrans Coordination	321,000	102,693	218,307	32.0%	25.0%	-
<b>Caltrans O &amp; M Subtotal</b>	<b>29,024,000</b>	<b>6,994,099</b>	<b>22,029,901</b>	<b>24.1%</b>	<b>25.0%</b>	<b>-</b>
<b>ETC Operations and Maintenance:</b>						
4. ETC - CSC Operations	22,175,000	2,296,806	19,878,194	10.4%	25.0%	16,504,642
5. ETC - ATCAS Maintenance, IT equip	4,904,000	165,170	4,738,830	3.4%	25.0%	606,874
6. Banking Costs	10,900,000	894,599	10,005,401	8.2%	25.0%	10,144,521
7. ETC - Collection Exp./DMV Exp.	1,400,000	265,596	1,134,404	19.0%	25.0%	77,330
<b>BATA O &amp; M Subtotal</b>	<b>39,379,000</b>	<b>3,622,171</b>	<b>35,756,829</b>	<b>9.2%</b>	<b>25.0%</b>	<b>27,333,367</b>
<b>BATA Toll Bridge Administration:</b>						
8. Staff Costs - including salaries	8,947,644	2,075,192	6,872,452	23.2%	25.0%	1,027,346
9. RM 1/RM2 Audit/Accounting/Other	2,085,000	167,232	1,917,768	8.0%	25.0%	187,488
10. Misc. Toll Admin Operating Expenses	1,025,000	2,970	1,022,030	0.3%	25.0%	41,366
11. Professional Fees	2,300,000	126,778	2,173,222	5.5%	25.0%	1,123,000
12. Other	1,000,000	-	1,000,000	0.0%	25.0%	-
<b>Toll Bridge Admin Subtotal</b>	<b>15,357,644</b>	<b>2,372,171</b>	<b>12,985,473</b>	<b>15.4%</b>	<b>25.0%</b>	<b>2,379,200</b>
<b>Other/Transfers:</b>						
13. Transfers to BAIFA	300,000,000	-	300,000,000	0.0%	25.0%	-
14. Transfers to MTC	6,498,185	6,498,185	-	100.0%	25.0%	-
15. Transfer from Legal Reserve	-	-	-	-100.0%	25.0%	329,274
16. Transbay Transit Terminal Maint by TJP	4,231,795	114,017	4,117,778	2.7%	25.0%	4,117,778
17. Depreciation and Amortization	2,100,000	890,090	1,209,910	42.4%	25.0%	-
18. RM2/Clipper Marketing	1,900,000	40,437	1,859,563	2.1%	25.0%	-
19. RM2 Operating	43,981,892	10,842,755	33,139,137	24.7%	25.0%	29,813,528
<b>Transfers</b>	<b>358,711,872</b>	<b>18,385,484</b>	<b>340,326,388</b>	<b>5.1%</b>	<b>25.0%</b>	<b>34,260,579</b>
<b>Debt Service:</b>						
20. Interest and principal payments	548,618,303	21,256,953	527,361,350	3.9%	25.0%	-
21. Financing Costs	14,931,279	46,048	14,885,232	0.3%	25.0%	8,343,689
<b>Total Debt Service</b>	<b>563,549,582</b>	<b>21,303,000</b>	<b>542,246,582</b>	<b>3.8%</b>	<b>25.0%</b>	<b>8,343,689</b>
<b>Transfer to Capital Fund In (Out):</b>						
22. Transfer to Capital Fund	37,407,966	-	(105,391,650)	381.7%	16.6%	-
23. Furniture/Equip./Vehicle	150,000	-	150,000	0.0%	16.6%	-
<b>Total Capital Reserve In (Out)</b>	<b>37,557,966</b>	<b>-</b>	<b>(105,241,650)</b>	<b>0.0%</b>	<b>16.6%</b>	<b>-</b>
<b>Total Expense &amp; Transfers</b>	<b>1,043,580,064</b>	<b>52,676,927</b>	<b>848,103,521</b>			<b>72,316,836</b>
<b>Net</b>	<b>-</b>	<b>142,799,616</b>	<b>-</b>			

**PURCHASE ORDERS EXECUTED BY EXECUTIVE DIRECTOR****\$2,500-\$100,000****As of September'13**

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Noah Berger		\$15,000
	<i>Photography Account for Fiscal Year 13-14</i>	
Karl Nielsen		\$10,000
	<i>Photography Account for Fiscal Year 13-14</i>	
EC America Inc.		\$13,237
	<i>Computer Software/License Renewal/Maintenance</i>	
AT & T		\$57,720
	<i>Mobile Phone Service</i>	
Xerox Corporation		\$32,500
	<i>Print Services</i>	
Great Frame Up Systems Inc.		\$5,645
	<i>Framing of Photographs at Bay Bridge Opening Celebration</i>	
International Programming & System Inc.		\$92,238
	<i>ATCAS Software Developer</i>	
California Lithographers DBA		\$5,808
	<i>Signs for East Span Opening</i>	
Color Folio		\$3,000
	<i>Printing</i>	
Visions Plus		\$3,000
	<i>Filming of Bay Bridge Opening</i>	
Hartmann Studios Inc.		\$83,251
	<i>Food for the Bay Bridge Opening</i>	
Xerox Corporation		\$7,500
	<i>Copier Lease</i>	
Oakland Pride		\$10,000
	<i>KTVU, KGO, and Facebook Advertisement for Bay Bridge Closure</i>	
Extensis Products Group		\$6,655
	<i>Computer Software</i>	
The Lunchstop		\$18,530
	<i>Catering for Bay Bridge Closure</i>	
Hawkins Traffic Safety Supply		\$15,533
	<i>HOV Sign Overlays</i>	

## Regional Measure 2 Operating Budget

As of September 2013 (\$000)

Project	Project Title	Total Budget	Allocation	Actual	Encumbrance	Balance Remaining
1	Richmond Bridge Express Bus	\$2,196	2,196	-	2,196	-
2	Napa Vine Service	390	390	50	340	-
3	Express Bus North - serving SFOBB, Dumbarton, San Mateo bridges	3,013	3,013	491	2,522	-
4	Express Bus South - serving Carquinez and Benicia Bridges	6,472	6,472	1,964	4,508	-
5	Dumbarton Bus	2,667	2,467	822	1,645	200
6	WETA Ferry Operations	15,300	15,214	5,071	10,143	86
7	Owl Service - BART Corridor	1,827	1,827	445	1,382	-
8	MUNI Metro 3rd St	2,500	2,500	-	2,500	-
9	AC Enhanced Bus Service	3,000	3,000	1,000	2,000	-
10	Clipper Operations	890	578	-	578	312
11	Water Emergency Transportation Authority Regional Planning	3,000	3,000	1,000	2,000	-
	Subtotal for Operating Assistance Program	41,255	40,657	10,843	29,814	598
N/A	Clipper Marketing	1,700	-	40	-	1,660
N/A	RM2 Marketing	200	-	-	-	200
	Total for Clipper and RM2 Marketing	1,900	-	40	-	1,860
	Total	\$43,155	\$40,657	\$10,883	\$29,814	\$2,458

**Regional Measure 2 Project Budget**  
**As of September 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	9,005	995	-
4	Dumbarton Commuter Rail Service *	44,000	9,307	8,145	1,162	34,693
5	Vallejo Ferry Intermodal Station	28,000	17,959	13,856	4,103	10,041
6	Solano County Express Bus Intermodal Facilities	20,000	12,800	6,246	6,554	7,200
7	Solano County Corridor Improvements near I-80 / I-680 Interchange	100,000	100,000	74,885	25,115	-
8	I-80 EB HOV Lane Extension from Route 4 to Carquinez Bridge	37,175	37,175	37,175	-	-
9	Richmond Parkway Park & Ride	16,000	850	754	96	15,150
10	SMART Extension to Larkspur **	36,500	36,500	17,190	19,310	-
11	Greenbrae Interchange Improvement**	63,500	23,710	17,134	6,576	39,790
12	Direct HOV lane connector from I-680 to the Pleasant Hill BART	15,000	7,742	2,907	4,835	7,258
13	Rail Extension to East Contra Costa/E-BART	96,000	95,100	70,354	24,746	900
14	Capitol Corridor Improvements in Interstate-80/Interstate 680 Corridor	25,000	8,465	5,583	2,882	16,535
15	Central Contra Costa Bay Area Rapid Transit (BART) Crossover	25,000	25,000	24,989	11	-
16	Benicia-Martinez Bridge: New Span	50,000	50,000	50,000	-	-
17	Remaining Regional Express Bus North - Competitive Program Projects	20,000	8,059	5,871	2,188	11,941
18	Clipper	22,000	21,980	19,120	2,860	20
19	Real-time transit information	20,000	18,178	14,330	3,848	1,822
20	Safe Routes to Transit	22,500	16,049	9,903	6,146	6,451
21	BART Tube Seismic Retrofit	33,801	33,801	33,801	-	-
22	Transbay Terminal/Downtown Extension	150,000	149,474	143,099	6,375	526
23	Oakland Airport Connector	115,199	115,199	112,096	3,103	-
24	AC Transit Enhanced Bus - Phase 1 (International Blvd/Telegraph Ave)	65,000	26,657	21,035	5,622	38,343
25	Commuter Ferry Service for Alameda/Oakland/Harbor Bay	12,000	-	-	-	12,000
26	Commuter Ferry Service for Berkeley/Albany	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	8,181	1,819	-
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	41,571	8,895	14,534
33	Regional Rail Master Plan	6,500	6,441	5,959	482	59
34	Integrated Fare Structure Program	1,500	1,500	900	600	-
35	Transit Commute Benefits Promotion	5,000	5,000	2,327	2,673	-
36	Caldecott Tunnel Improvements	50,500	45,075	15,800	29,275	5,425
37	BART's Fixed Guideway Rehab	24,000	24,000	15,402	8,598	-
38	Regional Express Lane Network ***	4,825	4,825	-	4,825	-
39	Modifications in I-80 and San Pablo ***	8,000	7,417	-	7,417	583
<b>Total</b>		<b>\$1,515,000</b>	<b>\$1,256,873</b>	<b>\$981,121</b>	<b>\$275,752</b>	<b>\$258,127</b>

\* 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.

\*\*\* Allocated \$4.5 to Regional Express Lane and \$7.4 million to the Modifications in I-80 from the I-80 EB HOV Lane Extension per Resolution #3801 dated 4/24/13.

Shaded projects are completed

Seismic Capital Project Budget

As of September 2013 (00) - 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	\$ 5,663,049	\$ 630,120	\$ -
San Francisco-Oakland Bay Bridge West Span Retrofit	307,900	305,316	305,316	-	-
San Francisco-Oakland Bay Bridge West Approach	429,000	469,700	449,970	19,730	-
Antioch Bridge Retrofit	-	82,000	71,090	10,910	-
Dumbarton Bridge Retrofit	-	148,700	109,662	39,038	-
Richmond-San Rafael Bridge Retrofit ***	808,100	799,600	794,873 ***	4,727	-
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	-	-
<b>Subtotal for Bay Area Bridges</b>	<b>7,487,100</b>	<b>8,553,933</b>	<b>7,849,395</b>	<b>704,538</b>	<b>-</b>
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	-
<b>Subtotal for Other Bridges</b>	<b>162,000</b>	<b>162,030</b>	<b>161,646</b>	<b>384</b>	<b>-</b>
<b>Total for Toll Bridge Seismic Retrofit Program</b>	<b>\$ 8,668,100</b>	<b>\$ 9,065,100</b>	<b>\$ 8,037,065</b>	<b>\$ 1,028,035</b>	<b>\$ -</b>

*Includes preAB144 LTD expenses from Caltrans to April 2006	3,709,068
Bata expenses from May 2006 to current	4,327,997
	<u>8,037,065</u>

\*\* 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 Diago-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 September 2013 (\$000) - Life to Date

Program #	Program	Total Budget	Total Expenses	Encumbrance	Balance Remaining
6811	Antioch Bridge Rehab	295	295	-	-
6812	Benicia-Martinez Bridge Rehab	183	-	-	183
6813	Carquinez Bridge Rehab	25,165	22,545	-	2,620
6814	Richmond-San Rafael Bridge Rehab	75,532	10,323	-	65,209
6825	San Francisco-Oakland Bay Bridge Rehab	165,122	44,783	-	120,339
6826	San Mateo-Hayward Bridge Rehab	67,112	16,105	-	51,007
6827	Dumbarton Bridge Rehab	6,836	6,719	-	117
6828	All Bridges Rehab	40,693	36,407	-	4,286
8030	Completed/Defunded/Transferred Projects	89,156	88,855	-	301
8629	Minor Bridge Rehab Projects	903	45	-	858
8033	Minor Toll Plaza Rehab Projects	1,954	1,954	-	-
8210	New Benicia Bridge *	5,344	53	-	5,291
8615	I-880/SR-92 Landscaping**	6,328	1,985	218	4,125
6829	Caltrans Reserve	5,000	100	-	4,900
	<b>TOTAL CALTRANS REHAB BUDGET</b>	<b>489,623</b>	<b>230,169</b>	<b>218</b>	<b>259,236</b>
8905	Misc. Bridge Improvements	9,712	3,035	342	6,335
8900	ETC Regional CSC Development	8,058	5,642	1,599	817
8902	Future CSC Upgrades/Replacement	12,250	4,633	6,391	1,226
8903	ATCAS Lane Host Upgrades	34,300	24,453	6,937	2,910
8904	Fastrak Sign & Sign Structure Improvements	31,741	29,071	671	1,999
8531	Benicia New Toll Plaza ORT	4,153	4,153	-	-
8901	ETC Transponder Procurement	48,853	39,923	6,265	2,665
8602	Hybrid/ETC Lane Modifications	874	874	-	-
8631	Procure New Callboxes	2,344	2,144	-	200
8907	Toll Plaza Capital Improvements	13,200	5,044	1,758	6,398
8908	Enterprise Computing HW/SW	2,950	1,481	339	1,130
8909	Gateway Park Planning	16,000	2,317	3,624	10,059
8000-16	SRA/RM1 Program Monitoring	38,045	38,001	44	-
8000-05	Capital Program Audit	7,500	5,232	1,586	682
8912	ETC Transponder Tag Swap	3,894	1,929	208	1,757
8913	SFOBB Administration Building	26,217	25,176	520	521
8914	Violation Enforcement System Upgrade	8,300	7,842	458	-
8539	SFOBB Eyebars Repair Review	2,914	2,660	254	-
8594	SFOBB West Span Pathway PSR	2,800	873	677	1,250
8916	Bay Crossing Study	540	540	-	-
8917	IT Security Procedures & Policies	500	-	-	500
8918	Maintenance Complex	331	206	125	-
8924	Antioch Bridge Approach	50,000	3,328	203	46,469
8920	Plaza and Canopy Improvements	10,000	7,764	1,589	647
8921	SFOBB Lane 17 & 18 Lane Reconfiguration	5,000	332	-	4,668
8922	Metering Lights Replacement	1,000	-	-	1,000
8923	Bridge Records Recordation and Storage	5,000	2,854	469	1,677
8926	Bridge Modeling & Investigations	5,000	-	-	5,000
8927	CCTV Installation	850	-	-	850
8930	Richmond-San Rafael Bridge Rehab	3,000	-	-	3,000
8931	BATA Infrastructure Relocation	1,000	-	-	1,000
8932	ETC Loop Rehabilitation	1,500	-	-	1,500
8933	Plan Bay Area TMS	7,000	-	-	7,000
8919	Congestion Pricing Study	900	-	-	900
	<b>Total BATA REHAB BUDGET</b>	<b>365,726</b>	<b>219,507</b>	<b>34,059</b>	<b>112,160</b>
	<b>TOTAL REHAB BUDGET</b>	<b>855,349</b>	<b>449,676</b>	<b>34,277</b>	<b>371,396</b>

Shaded projects are completed

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

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

**AB 1171 Project Budget**

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

<b>Project Title</b>	<b>Total Budget</b>	<b>Allocation</b>	<b>Actual</b>	<b>Encumbrance</b>	<b>Balance Remaining</b>
Doyle Drive Replacement	80,000	80,000	73,773	6,227	-
BART to Warm Spring Extension	5,000	5,000	-	5,000	-
Fairfield/Vacaville Train Station	9,000	-	-	-	9,000
I80/680 Interchange	100,000	64,961	34,509	30,452	35,039
Regional Express Lane Network	2,800	2,800	2,800	-	-
Transbay Terminal/Downtown Extension:Phase 1	150,000	147,676	56,342	91,334	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	16,810	84,657	18,533
<b>Total</b>	<b>\$570,000</b>	<b>\$419,254</b>	<b>\$185,435</b>	<b>\$233,819</b>	<b>\$150,746</b>

AB 1171 Program Budget:	\$570,000
Approved Projects:	\$419,254
AB 1171 Program Balance:	<u>\$150,746</u>

## Express Lanes Projects Budget

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

Project Title	Total Budget	Actual	Encumbrance	Balance Remaining
Program Management	26,106	8,461	7,315	10,330
Electronic Toll System	68,531	-	-	68,531
Civil Project	21,334	-	-	21,334
Total	\$115,971	\$8,461	\$7,315	\$100,195

