



**TRLIA**  
**20<sup>th</sup> QUARTERLY**  
**PROGRESS REPORT**  
**FOR**  
**UPPER YUBA RIVER LEVEE**  
**IMPROVEMENT PROJECT**

**1. Quarterly Progress Report (QPR) for 20<sup>th</sup> Quarter: July 1 – September 30, 2014**

**2. Date of Report: December 14, 2014**

**3. Purpose of Quarterly Report:** This report summarizes the work completed in the 20<sup>th</sup> Quarter.

**4. Specific Project Element Information:**

- Major accomplishments this quarter (i.e. tasks completed, milestones met, meetings held or attended, press releases, etc.)
  - All Project Elements: In the 22<sup>nd</sup> quarter the Department of Finance began a financial audit of the Feather River EIP funding agreement. During the 26<sup>th</sup> quarter audit was finalized. No issues were found. The audit is available on the TRLIA web site:  
<http://www.trlia.org/Final%20Audit%20Report%20CA%20Dept%20of%20Finance%20Sept%209%202014.pdf>
  - All Project Elements: During this quarter (September 24, 2014) the UYLIP funding agreement was amended for the 3<sup>rd</sup> time to include two new Elements. These include work associated with 200-Year compliance work associated with the Western Pacific Interceptor Canal and the Yuba (Linda) Levee 1986 Break Site. This amendment also extended the Agreement Date to June 30, 2016.
  - Significant Events, media releases, and media coverage during the Quarter: None
- **Project Element Information:**
  - During the 19<sup>th</sup> quarter (September 24, 2014) the UYLIP funding agreement was amended for the 3<sup>rd</sup> time to include two new Elements. These include work associated with 200-Year compliance work associated with the Western Pacific Interceptor Canal and the Yuba (Linda) Levee 1986 Break Site. This amendment

also extended the Agreement Date to June 30, 2016.

- At the request of DWR, restructuring of Project Elements and Features occurred during the preparation of the 4<sup>th</sup> Quarterly Work Plan (QWP) submitted on May 28, 2010. The following changes were made and a revised Overall Work Plan Budget was submitted with the 4<sup>th</sup> QWP that reflected the following changes.
  - A new Element 7: Right of Way Capital was added. This was previously Element 3: Feature 3.3. The purpose of this change was to separate Right of Way acquisition costs into a separate and distinct Element.
  - Element 2 Features 2.3, 2.4 and 2.5 (Preliminary Design, Preliminary Permitting and Preliminary Right of Way Support) have been moved to Element 3. The purpose of this change was to remove all features that were able to be funded at the full 70% cost share from Element 2 so that as a whole, all costs in Element 2 are funded at 50% and all costs in Element 3 are funded at 70% by the State.

All subsequent discussion in this QPR is reflective of these modifications.

- **Engineering and Construction matters:**

- **Project Element 1: Flatten Waterside Levee Slope – Station 3+00 to 33+50**
  - Feature 1 Design: All actions have been **completed**.
  - Feature 2 Permitting: All actions have been **completed**.
  - Feature 3 Right of Way: All actions have been **completed**.
  - Feature 4 Construction Management: All actions have been **completed**. The Construction Documentation Report was submitted on March 26, 2010.
  - Feature 5 Construction: All actions have been **completed**.
  - Feature 6: O&M Manual: All actions have been **completed**. O&M addendum was submitted on March 26, 2010.
- **Project Element 1A: Levee Landside Improvement – Station 5+80 to 9+00; added by the 9<sup>th</sup> Quarterly Work Plan.**

The U.S Army Corps of Engineers (USACE) performed a detailed inspection of the Reclamation District (RD) 784 Levee System in November-December 2010, which identified a significant issue along the landside of the Yuba River levee on the other side of levee where Project Element 1 work was performed.

- Feature 1 Design: This feature is **completed**
- Feature 2 Permitting: This feature is **completed**
- Feature 3 Right of Way Support: TRLIA continued to work on this feature during the 19<sup>th</sup> Quarter. See Element 7 below for property acquisition information.
- Feature 4 Construction Management: The Construction Documentation Report was completed in February 2014. All construction invoices have been paid. **This feature is completed.**
- Feature 5 Construction: **This feature is completed.**
- Feature 6: O&M Manual: The existing O&M Manual was revised to add the completed work and submitted to DWR and CVFPB for their review on February 14, 2013. TRLIA requested any comments by April 15, 2013. TRLIA coordinated with these agencies to determine status of review. CVFPB commented that USACE Section 408 requirement for the UYLIP required that all O&M Addendums prepared by TRLIA for the recent RD 784 levee system improvements be combined into one comprehensive addendum for the RD 784 levee system. CVFPB supports the USACE requirement and asked for the combination also. A draft Combined Addendum was submitted to the CVFPB on January 8, 2014. USACE is currently reviewing this combined Addendum. A meeting between USACE, CVFPB, DWR, TRLIA, and DWR was held on April 29, 2014. USACE has concerns with elements that they do not consider to be part of the Federal Project being in the combined manual. USACE is preparing their draft version of what the combined addendum should be and will submit that to CVFPB as the manual to follow for maintenance of the Federal Project. As of December 2, 2014 no revised O&M Manual has been supplied by USACE. TRLIA and the CVFPB continue to wait for feedback from USACE. The draft combined O&M Addendum submitted to USACE included O&M for areas for which TRLIA has committed to provide O&M. These portions of the draft Manual will need to be captured and followed in order to meet past commitments. RD 784 will continue to use the revised June 2013 O&M addendum for ongoing O&M until the CVFPB issues a revised combined O&M Addendum.

➤ **Project Element 2:Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts**

- Feature 1 Alternatives Analysis: This feature is **completed.**
- Feature 2 CEQA/NEPA: This feature is **completed**
- Features 2.3, 2.4 and 2.5 (Preliminary Design, Preliminary Permitting and Preliminary Right of Way Support) have been moved to Element 3 at request

of DWR. These changes were made in the 4<sup>th</sup> Quarterly Work Plan. The purpose of this change was to remove all features that were able to be funded at the full 70% cost share from Element 2 so that as a whole, all costs in Element 2 are funded at 50% and all costs in Element 3 are funded at 70% by the State. This feature is **completed**

➤ **Project Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work**

- Feature 2.3 Preliminary Design: This feature is **completed**
- Feature 2.4 Preliminary Permit Preparation: This feature is **completed**
- Feature 2.5 Right of Way Support:
  - Real Estate and Legal staff worked on the property acquisitions and Final Accounting Packages (FAP's) listed in Element 7 of this report during the 19<sup>th</sup> quarter.
- Feature 1 Design: This feature is **completed**.
- Feature 2 Permitting: Work on Federal, State, and local permits continued this quarter. This feature is **completed** as of the end of the 18<sup>th</sup> quarter.
  - See Attachment 1 for list of permits.
- Feature 3 Right of Way Capital: This feature was moved to Project Element 7 as requested by DWR. See May 28, 2010 4<sup>th</sup> Quarterly Work Plan.
- Feature 4 Construction Management: Limited activity occurred during this quarter to address items required by settlement of eminent domain settlements (e.g. Dan Luis settlement).
- Feature 5 Environmental Mitigation:
  - Elderberry Mitigation - Use of Anderson Mitigation Site: The additional elderberry seedling plantings were planted in the 14<sup>th</sup> quarter and plant maintenance was performed in the 20<sup>th</sup> quarter to ensure their establishment. Maintenance for the additional seedlings will continue until April 2016. Monitoring will continue until 2018.
- Feature 6 O&M Manual Addendum:

The existing O&M Addendum for the Yuba South Levee has been revised to add the work accomplished for the UYLIP. This revised manual has been reviewed and discussed with RD 784. The revised Addendum was submitted

to CVFPB and DWR EIP on February 14, 2013. TRLIA requested any comments by April 15, 2013. TRLIA coordinated with these agencies to determine status of review. CVFPB commented that USACE Section 408 requirement for the UYLIP required that all O&M Addendums prepared by TRLIA for the recent RD 784 levee system improvements be combined into one comprehensive addendum for the RD 784 levee system. CVFPB supports the USACE requirement and asked for the combination also. A draft Combined Addendum was submitted to the CVFPB on January 8, 2014. USACE is currently reviewing this combined Addendum. A meeting between USACE, CVFPB, DWR, TRLIA, and DWR was held on April 29, 2014. USACE has concerns with elements that they do not consider to be part of the Federal Project being in the combined manual. USACE is preparing their draft version of what the combined addendum should be and will submit that to CVFPB as the manual to follow for maintenance of the Federal Project. As of December 2, 2014 no revised O&M Manual has been supplied by USACE. TRLIA and the CVFPB continue to wait for feedback from USACE. The draft combined O&M Addendum submitted to USACE included O&M for areas for which TRLIA has committed to provide O&M. These portions of the draft Manual will need to be captured and followed in order to meet past commitments. RD 784 will continue to use the revised June 2013 O&M addendum for ongoing O&M until the CVFPB issues a revised combined O&M Addendum.

➤ **Project Element 4:Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Station 102+50 to 303+**

○ Feature 1 Construction:

- The TRLIA portion of this feature has been **completed**
- PG&E has been requested to schedule the final relocation of the waterside power line to 15 feet from the levee toe. A portion of this relocation will be underground. This work will be done by PG&E under CVFPB Permit 18695 that was approved on January 26, 2012. TRLIA and PG&E met in January 2014 to discuss scheduling of this work. PG&E will not do the work until all utility easements had been assigned to them. TRLIA cannot issue easements to PG&E until final title on the acquired Luis parcel is filed. Finalization of the title is being delayed due to glitches with the title report that is causing Yuba County not to record the lot line adjustment that is part of the Luis settlement. When the lot line adjustment issue is resolved, the title can be filed, and easements assigned to PG&E. After easements are assigned to PG&E, TRLIA will continue coordination to get final relocation of the line accomplished.

➤ **Project Element 5: Prior Completed Work**

- Feature 1 Prior Completed Work: On November 18, 2009 TRLIA submitted invoices for \$7,853,673 of credit. During the 3<sup>rd</sup> quarter TRLIA and DWR worked together to verify the appropriate credit to be approved. On July 19, 2010 DWR approved \$6,619,616. \$165,857 of the original request was deemed to be ineligible. \$1,068,200 of the original request pertained to prior Bear River Real Estate actions that may still be eligible for credit. On June 30<sup>th</sup> TRLIA notified DWR that upon further review of the Bear River Real estate costs, it was determined that the additional \$1,068,200 of project costs were not eligible for credit.

Note, as of the 20<sup>th</sup> Quarter, all of the credit has been funded and reimbursed to TRLIA.

- **Project Element 6:** Project Management, legal support, community relations support, land management support, and overhead
  - Activity occurred in all Features during this quarter except Travel, Insurance, and Memberships.
- **Element 7:** Right of Way Capital
  - Feature 7-3.3 Right of Way:
    - DWR approved the Upper Yuba River Real Estate Plan on June 28, 2010.
    - On March 5, 2012 TRLIA submitted Amendment No. 1 to the UYLIP project. TRLIA submitted an Amendment No. 1 in the 20<sup>th</sup> Quarter that incorporated the parcels required for the WPIC segment (proposed Element 9), and some additions to the original Real Estate Plan.
    - Western Aggregate: TRLIA has been in negotiations with Western Aggregates to acquire fee title to portions of the levee and O&M corridors owned by Western Aggregates. TRLIA offered to grant back railroad easements over the land that TRLIA seeks to acquire from Western Aggregates in fee, as Western Aggregates has stated that it hopes to use that land to eventually build a railroad spur for the transportation of aggregate from the Goldfields. DWR has agreed to allow these Western Aggregate easements to remain in place.

Western Aggregate has requested TRLIA to convert their current railway easement into a floating railway easement on the properties that TRLIA seeks to acquire from Western Aggregates, but also along other sections of the Upper Yuba Project levee and O&M corridors where Western Aggregates does not currently have any ownership interest. In the 16<sup>th</sup> quarter, TRLIA met with DWR officials about this request and DWR has indicated that the CVFPB is the lead agency on this item. During the 20<sup>th</sup>

quarter TRLIA continued to negotiate with Western Aggregates on this item.

**This issue is listed in the Issue/Concerns portion of this report**

- **Final Accounting Packages (FAPs) and Cadastral Requirements:**  
Tables 1 to 6 provide the status of Real Estate Property actions and Final Accounting Packages (FAPs)

✓ **Table 1 – List of FAPS and Cadastral Approval Status**

Number	CVFPB #	Parcels	Owner	DWR RE Approval Status	DWR Cadastral Approval Status
1	14050	020-080-009	Western Aggregates, Inc.		
2	14051	021-041-006	Clara Willis, Et al	Pending	
3	14052	021-041-007	Bernard J. Perez	Pending	
4	14053	021-041-010	Lothar S. Klug, Et Al	Pending	
5	14054	021-041-009	ROSA MARTHA VALDEZ	Pending	
6	14055	021-041-012, 021-042-014	Steve Gilbert, Et Al	Pending	
7	14056	021-042-027	Humam El Sharif	Pending	
8	14057	021-0500-001	Orest Wesely, Et Al	Pending	
9	14058	018-220-048, -049	COF Quail Hollow Land 35F LLC	Pending	
10	14059	018-210-014	Stephanie Morris	Pending	
11	14060	018-210-029	Robert G. Wood	Pending	
12	14061	018-220-007	Howard R. Miller	Pending	
13	14062	018-200-001, 018-220-030	Ajit S. Bains		
14	14063	018-200-005, -007, 018-210-035	Anthony J. Luis, Et Al		
15	14064	018-200-008	Danel J. Luis		
16	14065	018-190-002, 018-200-006	Richard G. Wilbur Trust		
17	14066	018-140-040	Richard G. Wilbur Trust		
18	14067	018-150-015, 018-190-001	Henry P. Smith Et Al		
19	14068	018-190-110	Walbinder S. Sohal Living Trust	Pending	

20	14069	018-190-107, 018-190-108	Sohal Family Trust	Pending	
21	14070	018-150-035, 018-190-104	Michele R. Baker		
22	14071	018-150-032	Shintaffer Farms, Inc.		
23	14072	018-190-109	Bhajan S. Sohal, Et Al	Pending	
24	14073	021-021-001	Dunning Properties, LP		
25	14074	Portion of 018-220-056	Wilbur, Richard G.		
26	14075	018-220-056	Western Aggregates, LLC		
27	14079	020-410-001	Allen, Jason G.		
28	14080	Portion of 018-150-032 and -035	Federal Fruit Exchange	Pending	
29	14081	018-230-028	Orchard Growers	Pending	
30	not assigned - TCE only	018-140-041	Naumes, Inc.		
31	not assigned - TCE only	018-190-085	Rahul, Surjit S. & Parmjit		

✓ **Table 2 - Acquisition being negotiated:**

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14050	Western Aggregates, LLC	Negotiation					TRLIA has offered to grant back railroad easement over properties it seeks to acquire in fee. Western responded that it wants additional railroad easements along other properties TRLIA has acquired. Parties are negotiating.
14063	Anthony J. & Zelma B. Luis	Settlement Reached				\$11,200	Settlement agreement signed. Agreement has contingencies that we are working on. As a result, the eminent domain action is still pending until settlement contingencies are completed.



14070	Michele R. Barker	Settlement Reached; not signed				\$64,750	Property owners are reviewing proposed cross-levee easement before signing the settlement agreement. The easement has been provided to the property owners' attorney.
14073	Dunning Properties, LLC	Negotiation					TRLIA has been advised Western Aggregates owns the Dunning Brothers property. Accordingly, this property has the same issues as the other Western Aggregate Properties
14074	Richard G. Wilbur	Negotiation					First Written Offer 3/7/13 Pending settlement of Eminent Domain properties
14075	Western Aggregates, LLC	Negotiation					See comment for CVFPB 14050
14079	Jason G. Allen	Settlement Reached		\$210,000.00	\$147,070.00	Not invoiced yet	Settlement reached 12/18/13

✓ **Table 3 - Negotiated Acquisitions** – The following parcels have been acquired. Final Accounting Packages are being prepared.

At BRI:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14062	Ajit S. Bains & Maria Del Carmen	Complete		\$48,700.00	\$34,090.00	\$15,050	Judgment entered February 10, 2014; Final Order of Condemnation recorded 6/17/14.
14064	Daniel J. Luis	Complete		\$46,477.00	\$32,533.90	\$5,670.00	Need Final Order of Condemnation. This parcel is part of the same eminent domain action as CVFPB 14063, and the final order will record at the same time as that parcel.
14065	Richard G. Wilbur Trust	Complete		\$40,000.00	\$28,000.00	\$16,100	Judgment entered April 23, 2014; Final Order of Condemnation recorded 6/23/14.
14066	Richard G. Wilbur Trust	Complete					See comment for CVFPB 14065

14067	Henry P. Smith	Complete		\$64,000.00	\$44,800.00	\$22,400.00	
14071	Shintaffer Farms, Inc.	Complete		\$5,500.00	\$3,850.00	\$437.00	Received Title Policy with errors 5/8/14; requested revisions

**Table 4 - At Downey Brand:**

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
not assigned - TCE only	Naumes, Inc.	Complete	18th Qtr	\$3,000.00	\$2,100.00	\$175.00	Submitted to DB 6/6/14
not assigned - TCE only	Rahul, Surjit S. & Parmjit	Complete	18th Qtr	\$500.00	\$350.00	\$175.00	Submitted to DB 6/6/14

✓ **Table 5 - Final Accounting Packages at DWR:**

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14051	Ronnie C. Willis	Complete	submitted	\$29,500.00	\$20,650.00	\$20,650.00	To DWR 10/11/13
14052	Bernard J. Perez	Complete	submitted	\$10,350.00	\$7,245.00	\$7,245.00	To DWR 4/17/13
14053	Lothar S. & Brigitta M. Klug	Complete	submitted	\$2,800.00	\$1,960.00	\$1,960.00	To DWR 4/17/13
14054	Valdez	Complete	submitted	\$5,200.00	\$3,640.00	\$1,820.00	To DWR 8/22/14
14055	Steve and Denise Gilbert	Complete	submitted	\$15,700.00	\$14,840.00	\$14,840.00	To DWR 8/1/13
14055	Steve and Denise Gilbert	Complete	submitted	\$5,500.00			To DWR 8/1/13
14056	Humam El Sharif	Complete	submitted	\$2,100.00	\$1,470.00	\$1,470.00	To DWR 4/25/14
14057	Orest and Irene Wesely	Complete	submitted	\$33,000.00	\$23,100.00	\$23,100.00	To DWR 10/11/13
14058	COF Quail Hollow Land 148T	Complete	submitted	\$34,750.00	\$24,325.00	\$24,325.00	To DWR 4/17/13
14059	Stephanie Morris	Complete	submitted	\$7,900.00	\$5,530.00	\$4,060.00	To DWR 8/22/14

14060	Robert Glenn Wood	Complete	Submitted	\$3,200.00	\$2,240.00	\$2,240.00	To DWR 4/17/13
14061	Howard R Miller	Complete	Submitted	\$1,400.00	\$980.00	\$980.00	To DWR 8/22/14
14068	Walbinder S. Sohal Living Trust,	Complete	Submitted	\$598,500.00	\$418,950.00	\$418,950.00	To DWR 1/22/14
14069	Awtar S. Sohal & Sukhvir K. Sohal, Co-Trustees	Complete	submitted	\$41,500.00	\$29,050.00	\$21,787.50	To DWR 8/2/14
14072	Bhajan S. & Rajwant K. Sohal	Complete	submitted	\$598,500.00	\$418,950.00	\$418,950.00	TO DWR 1/22/14
14080	Federal Fruit Distributors	Complete	submitted	\$800.00	\$560.00	\$392.00	To DWR 4/25/14
14081	Orchard Growers	Complete	submitted	\$500.00	\$350.00		To DWR 3/24/14

✓ **Table 6 - Status of Relocation Actions:**

CVFPB #	Property Owner	Relocated Tenant	Status of Relocation	Amount of Relocation Benefits Paid	Comments
14064	Daniel J. Luis	Kimberly Fuller	Complete	\$42,550.47	
	Jason G. Allen	Bill and Marilyn Jensen	Complete	\$26,800.57	
	Jason G. Allen	Trevor Jensen and Sammantha Pettet	Complete	\$31,130.00	
	Jason G. Allen	Ed Widener	Complete	\$12,272.00	
	Jason G. Allen	Jack Fouse	Complete	\$0	No response from tenant, who moved from Park.
	Jason G. Allen	Les Begley	Complete	\$1,100.00	
	Jason G. Allen	Judy Cordova	Complete	\$13,672.66	
	Jason G. Allen	Sarah Fite	Complete	\$27,964.56	
	Jason G. Allen	David Haughton	Complete	\$2,402.78	
	Jason G. Allen	Jason G. Allen	Complete	\$24,754.99	

➤ **Project Element 8 Closeout Process (Element added by 14<sup>th</sup> QWP):**

- 8 Feature 1: Closeout Process

- On November 15, 2013 TRLIA submitted its initial draft of Closeout Documentation for the UYRLIP project for DWR’s review. As part of that submission, TRLIA requested a partial release of retention for the portion of the project that has been completed. The State has not responded to this request.

**This item is listed in the Issues and Concerns portion of the report.**

➤ **Project Element 9 WPIC 200-yr Standard:**

- During the 29<sup>th</sup> quarter (September 24, 2014) the UYRLIP funding agreement was amended for the 3<sup>rd</sup> time to include this Element.
- Feature 1 Design: TRLIA completed preparation of its Draft Geotechnical Alternative Analysis Report in August which was subsequently distributed for review by DWR and the BOSC. TRLIA prepared preliminary alternative footprints to support environmental compliance preparation.
- Feature 2 Permitting:
  - See Attachment 2 for permits listing
  - Permits status and projected: Significant progress in estimating potential environmental impacts using previous WPIC environmental documents, resource mapping accomplished by PG&E for a power line project, and new alternative footprints developed as part of the alternatives analysis has resulted in identification of sensitive habitat areas and refinements to alternative alignments, staging areas, and haul routes to avoid and minimize impacts to these areas. TRLIA also submitted its Section 408 Written Request to the CVFPB for processing with the USACE.
- Feature 3 Right of Way Acquisition: Real Estate acquisition work was performed during this quarter on the following parcels:

Number	CVFPB #	OWNER	Number of Parcels	DWR RE Approval Status	DWR Cadastral Approval Status
1		Miller-Belza-Peck	1		
2		Rue & Forsman Real Estate LLC	1		
3		Llatigo Farms LLC (Includes Unecon Remnant)	2		
4		Alfaro Family Trust (Includes Unecon Remnant)	5		

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- Feature 4 Right of Way Support:
  - During the 20<sup>th</sup> quarter TRLIA submitted an amendment to UYLIP Real Estate plan for this work.
  - During the 20<sup>th</sup> quarter TRLIA began appraisal efforts for the WPIC real estate.
  - Prior to the UYLIP 3<sup>rd</sup> funding amendment being approved TRLIA filed an eminent domain action against Latigo Farms LLC to acquire property rights need for this element. TRLIA worked on this case during the quarter.
- Feature 5 Construction Management: No work was done
- Feature 6 Construction: No work was done
- Feature 7 Updated O&M Manual: No work was done

➤ **Addition by Funding Amendment No. 3 - Project Element 10 Yuba 1986 Break Site Remediation**

- On September 24, 2014 the UYLIP funding agreement was amended for the 3<sup>rd</sup> time to include this Element.
- Feature 1 Permitting:
  - See Attachment 3 for permits listing
- Feature 2 Geotechnical Explorations: Geotechnical explorations and testing is finished and no additional work for this feature is anticipated.
- Feature 3 Design: Initial design work was completed during the quarter. Based on the explorations the extent and cross section of the remediation feature was developed. The proposed remediation is to enlarge an existing landside stability berm in the vicinity of the 86 Break so that even if material is lost from the embankment through a slump, enough levee embankment will remain to withstand flood forces. The proposed enlargement of the existing stability berm will extend from station 2151+79 to station 2156+36 (457 linear feet (LF)). The enlarged berm will be constructed on top of an existing seepage berm and will consist of general fill. The enlarged berm top width will be 53 feet. The side slope of the berm will be 3 horizontal to 1 vertical. The top of the berm will be set at elevation 81.2 feet NAVD88 which is 3 feet above the

elevation of the 200-Year flood (78.2 feet NAVD88) and will give a berm height of approximately 11 feet above the top surface of the existing seepage berm. The 1957 Design Profile Water Surface Elevation at this location is 79.1 feet NAVD88. This is a simple design and the approach will be to use very simple plans and specifications to construct. The proposed remediation was reviewed by DWR and comments were made. TRLIA will respond to DWR comments in December 2014. An encroachment permit application was submitted to the CVFPB on August 14, 2014.

- Feature 4 Construction: No work was done
- Feature 5 Construction Management: No work was done

- **Environmental matters**

- **Project Element 3:** See Project Element 3 Feature 5 Environmental Mitigation above for this information.

- **Status of permits, easements, rights-of-way, and approvals as may be required by other State, federal, and/or local agencies:**

- **Element 3:** See attachment 1 for list.
  - **Element 9:** See attachment 2 for list
  - **Element 10:** See Attachment 3 for list

- **Issues/concerns that have, will, or could affect the schedule or budget, with a recommendation on how to correct the matter:**

- **Issue 1:** Western Aggregate has requested TRLIA to convert their current railway easement into a floating railway easement on the properties that TRLIA seeks to acquire from Western Aggregates, but also along other sections of the Upper Yuba Project levee and O&M corridors where Western Aggregates does not currently have any ownership interest. In the 16<sup>th</sup> quarter, TRLIA met with DWR officials about this request and DWR has indicated that the CVFPB is the lead agency on this item. During the 18<sup>th</sup> quarter TRLIA continued to negotiate with Western Aggregates on this item.

**Recommended Solution:** DWR support TRLIA as negotiations with the CVFPB transpire for the approval of the Western Aggregate floating easement request.

- **Issue 2:** TRLIA has submitted an initial draft of Project Closeout materials in electronic format for DWR's review. This Project Closeout Documentation report presents a compilation of all of the required project closeout documentation that has been prepared to date. As part of this submission, TRLIA presented a request

for a partial release of retention of the work completed through 15<sup>th</sup> Quarter in the amount of \$2,448,160 less credit for interest earned State Funding in the amount of \$106,799 for a net release of \$2,341,361.

**Recommended Solution:** DWR review TRLIA's request and provide comments on the request and at the same time commence the process of a partial release of retention for those elements deemed complete.

- **Describe differences between the work to be performed and the work outlined in the Overall Work Plan, including anticipated change orders:**

- No differences are expected as part of this Quarterly Report.

- **Demonstrate financial ability to pay local cost share of Eligible Project Costs required to complete the Project:**

- Local funding for the remaining costs of the project is to come from three sources (listed in order of priority of use by TRLIA):

- Credits accrued from State funding of prior completed work (Element 5 Work as well as other costs incurred prior to the funding agreement execution).
- State Funding of Segment 1 of the Feather River EIP Project.
- Local funding from the proceeds of bond sales completed by the Yuba Levee Finance Authority.

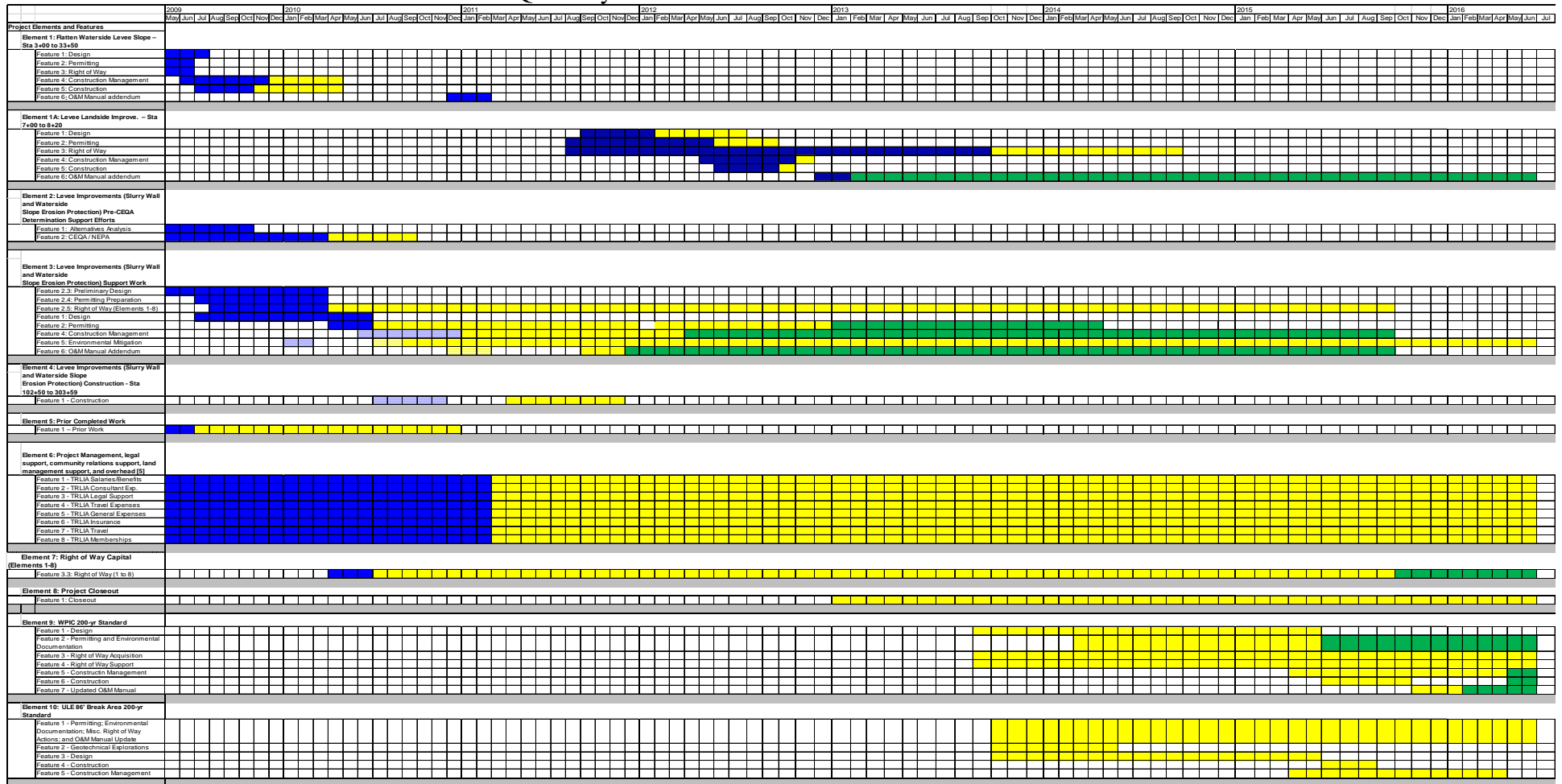
The Local Share of the Project based upon the revised overall work plan budget submitted as part of the 19<sup>th</sup> Quarterly Work Plan is approximately \$17.56 million. Within this budget, Element 5 work has already been completed and the local share of this work had been previously paid for by TRLIA, (approximately \$2.3 million) therefore the local share of these costs can be deducted to determine the remaining local share of costs of the project, approximately \$15.25 million. The local funding sources available to cover the remaining project costs are detailed as follows;

- As noted in #4 – Project Element 5 above, on July 19, 2010, DWR informed TRLIA that it had approved the majority of TRLIA's credit request in the amount of \$6,619,616. To date, the State has funded \$5,575,931 of the approved Credit to cover local share costs.
- DWR provided reimbursement for Segment 1 and Erosion Site 2 of TRLIA's Feather River project and a payment of \$8,089,379 was received on June 29, 2010. These funds will be used to fund a portion of the local share of Upper Yuba River Costs.

- The above two items total \$13,153,371 of local funding received by TRLIA to date. This covers nearly all of local share of the costs of the project. Additionally, there is still remaining credit to be received by TRLIA. As noted by TRLIA within its amended financial plan presented to support the inclusion of Element 9, TRLIA also has local funds available from the Yuba Levee Finance Authority to assist in cash flowing the project should the need arise. TRLIA noted that there is over \$7,000,000 of available funding for this work. This amount continues to be available of the date of this report.
- On November 19, 2013 TRLIA made a partial release of retention request to the State as part of its submission of final documentation for the project. TRLIA is requesting that the State release \$2,341,361. TRLIA will utilize this funding to continue to cash flow the remainder of projected project expenses. It should be noted that to the extent the State delays in responding to requests for release of retention, other work that TRLIA has underway could be impacted due to the cash flow constraints.
- **Legal Matters:** No issues for all Project Elements
- **Cost Information by Project Element:** This information is provided in an attached Appendix I at end of this Quarterly Progress Report.



**5. Schedule Information by Project Element:** Shown in the figure below is an updated Exhibit A (overall project schedule). This is the schedule shown in the 21<sup>st</sup> Quarterly Work Plan



**Blue:** Original    **Pattern:** Not Viable    **Yellow:** Prior Quarter Adjustments and Amendments    **Green:** Proposed 21<sup>st</sup> QWP Changes

- **A discussion on how the projected schedule compares to the original or last reported schedule:**
  - Following are the changes described in the 21<sup>st</sup> Quarterly Work Plan. There are no proposed changes in this report.
    - Project Element 1A Feature 6, and Project Element 3, Features 2, 4, and 6 are shown green to reflect that these items are still open. Also, proposed Amendment 3 indicates that these items are still open.
    - Project Element 7 Feature 3.3 is extended to the end of the funding agreement to allow for property acquisitions to complete
    - Project Element 9 Feature 2 was extended to accommodate recently identified environmental permitting requirements
    - Project Element 9 Features 5 & 6 were extended to accommodate recently identified time needed for construction
    - Project Element 9 Feature 7 was extended to allow for construction to be completed so that the O&M manual can reflect finished work.

## **6. Attachments**

1. Permit Status Update - Upper Yuba Remaining Work
2. Permit Status Update - WPIC 200-yr Standard (added by Amendment 3)
3. Permit Status Update - ULE 86' Break Area 200-yr Standard (added by Amendment 3)

## **7. Appendices**

Appendix I: TRLIA Upper Yuba River Levee Improvement Project 20<sup>th</sup> Quarterly Progress Report Budget Information, dated December 14, 2014.

**Attachment 1**  
**Tab D: Project Element and Features Permits & Environmental Documents**

**Upper Yuba River Levee: Remaining Work**

<b>PERMITTING AGENCY</b>	<b>PERMIT</b>	<b>PERMIT NEEDED (Y/N)</b>	<b>PROJECTED START and COMPLETION DATES</b>
Central Valley Flood Protection Board	UYLIP Construction Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>CVFPB issued permit April 11, 2011 (# 18577 BD)</li> </ul>
Central Valley Flood Protection Board	PG&E Gas Line Modification	Yes	<ul style="list-style-type: none"> <li>Application submitted July 6, 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011 and work was completed. CVFPB Staff prioritizes other applications since this utility modification work is complete and authorized and current applications are for work still to be done. Completion of this encroachment permit is now the responsibility of the CVFPB and is no longer part of this report.</li> </ul>
Central Valley Flood Protection Board	PG&E Power Line Raise	Yes	<ul style="list-style-type: none"> <li>Application submitted July 6, 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit 18577-1 approved by CVFPB at January 26, 2012 Meeting.</li> </ul>
Central Valley Flood Protection Board	PG&E Relocate Power Line	Yes	<ul style="list-style-type: none"> <li>Application submitted July 6 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit 18695 approved by CVFPB at January 26, 2012 Meeting.</li> </ul>
Central Valley Flood Protection Board	LCWD Water Main Modification	Yes	<ul style="list-style-type: none"> <li>Application submitted August 2, 2011. Modification approved by CVFPB Letter of Authorization dated July28, 2011 and work was completed. CVFPB Staff prioritizes other applications since this utility modification work is complete and authorized and current applications are for work still to be done. Completion of this</li> </ul>

			encroachment permit is now the responsibility of the CVFPB and is no longer part of this report.
Central Valley Flood Protection Board	Anderson Elderberry Site Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>CVFPB Approved January 28, 2011; issued February 7, 2010</li> </ul>
Central Valley Flood Protection Board	Additional Anderson Elderberry Site Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>CVFPB Approved September 28, 2012; issued October 19, 2012.</li> </ul>
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	<ul style="list-style-type: none"> <li>Navigable waterways not affected</li> </ul>
Corps	Section 404 Permit	No	<ul style="list-style-type: none"> <li>Project is above the OHWM</li> <li>No permit required letter received from Corps on June 7, 2010.</li> </ul>
Corps	Wetlands Delineation	Yes	<ul style="list-style-type: none"> <li>Wetland Delineation Report submitted to Corps February 2010</li> </ul>
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> <li>Request to CVFCB to Initiate 408 Environmental Process June 2009</li> <li>HQs Approval December 22, 2010</li> <li>District Permission letter issued March 24, 2011</li> </ul>
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	No	<ul style="list-style-type: none"> <li>Project is above the OHWM and no sediment will discharge to waters of California</li> <li>No 404 permit triggering 401 compliance.</li> </ul>
RWQCB, Region 5	National Pollution Discharge Elimination System (NPDES) Permit per Section 402 of the Clean Water Act	Yes	<ul style="list-style-type: none"> <li>Application June 2010</li> <li>Permit Received July 26, 2010</li> </ul>
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	<ul style="list-style-type: none"> <li>Carl Moyer Mitigation Letter received December 2009</li> <li>Submission of BMP's March/April 2010</li> <li>Authority issued June 2011</li> </ul>
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Yes	<ul style="list-style-type: none"> <li>Draft Biological Assessment prepared and submitted to the Corps for review and initiation of Consultation April 2010</li> <li>BO issued August 16, 2010</li> </ul>
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Yes	<ul style="list-style-type: none"> <li>F&amp;WS is amending B.O. to include dormant season elderberry shrub transplant</li> <li>Amendment issued in August 2011</li> </ul>

National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	<ul style="list-style-type: none"> <li>The project will avoid take of listed fish species</li> </ul>
California Department of Fish and Game (DFG)	California Endangered Species Act Compliance (2081)	No	<ul style="list-style-type: none"> <li>Project design and mitigation measures prevent take of threatened and endangered species</li> </ul>
DFG	Streambed Alteration Agreement	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the Yuba River ordinary high water mark and no alterations to the streambed will occur.</li> </ul>
California State Lands Commission (SLC)	Encroachment Permit	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the Yuba River ordinary high water mark and outside SLC jurisdiction.</li> </ul>
California Department of Forestry	Conversion of timberland to other uses.	No	<ul style="list-style-type: none"> <li>No timberland conversion is required for the project.</li> </ul>
The Resources Agency	Cancellation of Williamson Act Contract	No	<ul style="list-style-type: none"> <li>No Williamson Act contract cancellations are required to implement the project.</li> </ul>
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	<ul style="list-style-type: none"> <li>Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).</li> </ul>
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	Yes	<ul style="list-style-type: none"> <li>HDR on behalf of TRLIA contacted NAHC on November 25, 2009</li> <li>NAHC responded on December 3, 2009 with negative results for its search of the Sacred Lands File; no further action necessary</li> </ul>
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	Yes	<ul style="list-style-type: none"> <li>SHPO issued no adverse impact determination on Sep 10, 2010</li> </ul>
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>Encroachment Permit Application anticipated to be signed March/April 2010</li> </ul>
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> <li>Permit issued November 2010</li> </ul>
State Mining and Geology Board (SMGB)	SMARA Permit	No	<ul style="list-style-type: none"> <li>Received SMGB exemption letter on May 18, 2010</li> <li>Current approach is to use on site borrow site (exempt from SMARA) and also make the contractor provide additional soil from commercial site.</li> </ul>

CEQA	IS/MND	Yes	<ul style="list-style-type: none"> <li>• Initiation June 2009</li> <li>• CEQA IS/MND Approved April 20, 2010</li> </ul>
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> <li>• First Admin Draft EA submitted to Corps February 2010</li> <li>• EA/FONSI signed December 29, 2010</li> </ul>
Section 104 Credit	Future federal projects cost sharing	Yes	<ul style="list-style-type: none"> <li>• Application March/April 2010</li> <li>• ASA-CW denied May 5, 2011</li> </ul>
Section 103 Credit	Credit under Section 2003	Yes	<ul style="list-style-type: none"> <li>• MOU signed between USACE and CVFPB on June 30, 2010</li> </ul>

**Attachment 2**  
**Tab D: Project Element and Features Permits & Environmental Documents**  
**WPIC 200-yr Standard (added by Amendment 3)**

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	Status
Central Valley Flood Protection Board	Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>Permit No. 17782 BD was issued by the CVFPB (Reclamation Board) on May 19, 2005 for the original WPIC work. A new permit will be requested for the proposed ULDC Remediation Work.</li> </ul>
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	<ul style="list-style-type: none"> <li>Navigable waterways not affected</li> </ul>
Corps	Section 404 Permit	Yes	<ul style="list-style-type: none"> <li>Waters of the United States will be impacted</li> </ul>
Corps	Wetlands Delineation	Yes	<ul style="list-style-type: none"> <li>A wetland delineation will be prepared during preparation of CEQA and NEPA Documents</li> </ul>
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> <li>A Section 408 Written Request was submitted to the CVFPB in September. TRLIA anticipates approval at the District level.</li> </ul>
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	Yes	<ul style="list-style-type: none"> <li>The 404 Permit will require Water Quality Certification</li> </ul>
RWQCB, Region 5	National Pollution Discharge Elimination System (NPDES) Permit per Section 402 of the Clean Water Act	Yes	<ul style="list-style-type: none"> <li>Notice of Intent (NOI) and Storm water Pollution prevention Plan (SWPPP) will be submitted</li> </ul>
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	<ul style="list-style-type: none"> <li>Contractor will submit required documentation prior to construction.</li> </ul>
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Yes	<ul style="list-style-type: none"> <li>Consultation with the USFWS will occur during preparation of the NEPA Document</li> </ul>
National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	<ul style="list-style-type: none"> <li>The project will avoid take of listed fish species</li> </ul>
California Department of Fish and Wildlife (DFW)	California Endangered Species Act Compliance (2081)	Yes	<ul style="list-style-type: none"> <li>Consultation with the DFW will occur during preparation of the CEQA Document</li> </ul>

DFW	Streambed Alteration Agreement	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the WPIC ordinary high water mark and no alterations to the streambed will occur.</li> </ul>
California State Lands Commission (SLC)	Encroachment Permit	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the WPIC ordinary high water mark and outside SLC jurisdiction.</li> </ul>
California Department of Forestry	Conversion of timberland to other uses.	No	<ul style="list-style-type: none"> <li>No timberland conversion is required for the project.</li> </ul>
The Resources Agency	Cancellation of Williamson Act Contract	No	<ul style="list-style-type: none"> <li>No Williamson Act contract cancellations are required to implement the project.</li> </ul>
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	<ul style="list-style-type: none"> <li>Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).</li> </ul>
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	Yes	<ul style="list-style-type: none"> <li>Coordination with the NAHC will occur during preparation of CEQA and NEPA Documents</li> </ul>
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	Yes	<ul style="list-style-type: none"> <li>Coordination with the NAHC will occur during preparation of CEQA and NEPA Documents</li> </ul>
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>Coordination with RD 784 will occur during design and while requesting a CVFPB encroachment permit</li> </ul>
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> <li>A grading permit from Yuba County will be obtained prior to construction</li> </ul>
State Mining and Geology Board (SMGB)	SMARA Permit	No	<ul style="list-style-type: none"> <li>Contractor will use existing commercial sources as needed</li> </ul>
CEQA	IS/MND	Yes	<ul style="list-style-type: none"> <li>CEQA documentation will commence during final design as remediation project is defined</li> </ul>
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> <li>NEPA documentation will commence after the CVFPB initiates the Section 408 process with USACE</li> </ul>
Section 104 Credit	Future federal projects cost sharing	No	<ul style="list-style-type: none"> <li>No longer applicable per Assistant Secretary of the Army</li> </ul>
Section 103 Credit	Credit under Section 2003	No	<ul style="list-style-type: none"> <li>MOU signed between USACE and CVFPB on June 30, 2010. Credit is not eligible</li> </ul>



**Attachment 3**  
**ULE 86' Break Area 200-yr Standard (added by Amendment 3)**

<b>PERMITTING AGENCY</b>	<b>PERMIT</b>	<b>PERMIT NEEDED (Y/N)</b>	<b>Status</b>
Central Valley Flood Protection Board	Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>An application for an encroachment permit was submitted to the CVFPB on August 14, 2014</li> </ul>
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	<ul style="list-style-type: none"> <li>Navigable waterways not affected</li> </ul>
Corps	Section 404 Permit	No	<ul style="list-style-type: none"> <li>Waters of the United States will not be impacted</li> </ul>
Corps	Wetlands Delineation	No	<ul style="list-style-type: none"> <li>Waters of the United States will not be impacted</li> </ul>
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> <li>A request will be made to CVFPB to initiate the Section 408 Process</li> </ul>
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	No	<ul style="list-style-type: none"> <li>Waters of the United States will not be impacted</li> </ul>
RWQCB, Region 5	National Pollution Discharge Elimination System (NPDES) Permit per Section 402 of the Clean Water Act	Yes	<ul style="list-style-type: none"> <li>Notice of Intent (NOI) and Storm water Pollution prevention Plan (SWPPP) will be submitted</li> </ul>
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	<ul style="list-style-type: none"> <li>Contractor will submit required documentation prior to construction.</li> </ul>
U.S. Fish and Wildlife Service	Endangered Species Act Compliance  (Biological Opinion)	No	<ul style="list-style-type: none"> <li>The project will avoid take of listed endangered species</li> </ul>
National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	<ul style="list-style-type: none"> <li>The project will avoid take of listed fish species</li> </ul>
California Department of Fish and Wildlife (DFW)	California Endangered Species Act Compliance  (2081)	No	<ul style="list-style-type: none"> <li>The project will avoid take of listed endangered species and will be constructed under a Categorical Exclusion</li> </ul>

DFW	Streambed Alteration Agreement	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the Yuba River ordinary high water mark and no alterations to the streambed will occur.</li> </ul>
California State Lands Commission (SLC)	Encroachment Permit	No	<ul style="list-style-type: none"> <li>All ground disturbances are above the Yuba River ordinary high water mark and outside SLC jurisdiction.</li> </ul>
California Department of Forestry	Conversion of timberland to other uses.	No	<ul style="list-style-type: none"> <li>No timberland conversion is required for the project.</li> </ul>
The Resources Agency	Cancellation of Williamson Act Contract	No	<ul style="list-style-type: none"> <li>No Williamson Act contract cancellations are required to implement the project.</li> </ul>
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	<ul style="list-style-type: none"> <li>Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).</li> </ul>
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	No	<ul style="list-style-type: none"> <li>The project will be constructed under a Categorical Exclusion</li> </ul>
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	No	<ul style="list-style-type: none"> <li>The project will be constructed under a Categorical Exclusion</li> </ul>
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> <li>Coordination with RD 784 will occur during design and while requesting a CVFPB encroachment permit. The RD 784 board of Directors endorsed the encroachment permit application on August 5, 2014.</li> </ul>
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> <li>A grading permit from Yuba County will be obtained prior to construction</li> </ul>
State Mining and Geology Board (SMGB)	SMARA Permit	No	<ul style="list-style-type: none"> <li>Contractor will use existing commercial sources as needed</li> </ul>
CEQA	IS/MND	No	<ul style="list-style-type: none"> <li>The project will be constructed under a Categorical Exclusion</li> </ul>
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> <li>NEPA documentation will commence after the CVFPB initiates the Section 408 process with USACE</li> </ul>
Section 104 Credit	Future federal projects cost sharing	No	<ul style="list-style-type: none"> <li>No longer applicable per Assistant Secretary of the Army</li> </ul>
Section 103 Credit	Credit under Section 2003	Yes	<ul style="list-style-type: none"> <li>This work is not part of a USACE Feasibility Study; therefore, credit will not be sought</li> </ul>

## **Appendix I**

Appendix I: TRLIA Upper Yuba River Levee Improvement Project 20<sup>th</sup> Quarterly Progress Report Budget Information, dated December 14, 2014.

## Memorandum

# TRLIA Upper Yuba River Levee Improvement Project

20<sup>th</sup> Quarterly Progress Report – Financial Document

December 14, 2014

**Prepared for:** Paul Brunner, TRLIA

**Prepared by:** Seth Wurzel

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This memorandum has been prepared by Larsen Wurzel & Associates, Inc. (LWA) at the request of Three Rivers Levee Improvement Authority (TRLIA) to supplement the 20th Quarterly Progress Report (20th QPR) to the Department of Water Resources (DWR) for the Upper Yuba River Levee Improvement Project (Project). As indicated in TRLIA's 20th QPR, the cost and budget information is being provided within this memorandum to DWR as an attachment to the 20th QPR.

This memorandum includes two sets of tables that present the following analyses:

1. **Quarterly Work Plan Reconciliation** — A reconciliation of the 20th Quarterly Work Plan forecasted expenditures to the actual expenses incurred for the quarter's work and, the associated funding of the State Share received pursuant to Section 14.C of TRLIA's funding agreement with DWR (Funding Agreement).
2. **Cost and Funding Status through the 20th Quarter** — A summary of the cumulative costs incurred since November 6, 2006 through September 30, 2014<sup>1</sup> and a comparison of those costs incurred to the current Overall Work Plan Budget (based on the revisions by TRLIA as part of the 19<sup>th</sup> Quarter Work Plan and Funding Amendment No 3<sup>2</sup>) included as Exhibit A to the Funding Agreement.

### 1. Quarterly Work Plan Reconciliation

The following tables provide detailed information regarding the costs incurred for each Element and Feature during the 20th Quarter (July 1, 2014 through September 30, 2014) and compare these amounts to the forecasted expenditures for the Quarter presented within the 20th Quarterly Work Plan (QWP). The tables show the State Share of eligible expenses net of the required 10% withholding of the State Share and compares this amount to the funding received by TRLIA from the State through the 20th Quarter.

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<sup>1</sup> Inclusive of the expenses incurred through September 30, 2014 and paid by TRLIA through the month of October 2014. Reference the December 14, 2014 TRLIA Statement of Costs for the 20th Quarter (subject to review and approval by DWR).

<sup>2</sup> On March 10, 2014 TRLIA submitted a Revised Exhibit A that adjusted the Overall Work Plan Budget as part of the 19th Quarterly Work Plan. The revisions were also incorporated into a request for a 3<sup>rd</sup> amendment to the Agreement to include the 200-Year ULDC Compliance on the WPIC.

The following presents a summary of the conclusions drawn from the tables:

**20th Quarter Reconciliation Summary (Elements 1 through 4, 6, 8 thru 10)**

	Total	State Share
Total Non-Real Estate Expenses Incurred During 19th Quarter [1]	<b>\$351,301</b>	<b>\$245,911</b>
10% Required Retention		-\$24,591
State Share Net of Retention		<b>\$221,320</b>
plus State Share of Funding Owed for Prior Quarters		<b>\$165,427</b>
State Share Due		<b>\$386,747</b>
Local Share to be Paid from Credit		\$105,390
plus State Share of Funding Owed for Prior Quarter		-\$105,390
Local Credit Due		<b>\$0</b>
Total Funding Due as of Quarter		<b>\$386,747</b>

[1] Estimated amount, subject to review and approval of Statement of Costs by DWR.

This information concludes that, for the 20th Quarter, the State has under-funded its share of expenses net of the 10% hold-back provision in the Funding Agreement. The State owes \$386,747 in State share funding. With respect to the Local Credit advanced, the State has funded the full amount of the credit available to TRLIA. Note, this analysis reflects all funding received to date including advance funding received for the 20<sup>th</sup> Quarter.

Prior advance funding of the state share had created an overfunding situation during prior quarters, as a result TRLIA accumulated interest on those Advance Funds. The following presents an analysis of the interest earned on State Share Advance Funding through the 20th Quarter for the Upper Yuba Project.

**Interest Earned on State Advance Funds**

Interest earned by TRLIA on State Advance funding before the funding is expended on eligible expenses will be used by TRLIA on the State's share of eligible expenses. For the Upper Yuba Project, all funds advanced for the State Share of eligible expenses are deposited into a separate fund held by the Yuba County Treasurer. The Yuba County Treasurer apportions interest earned on all pooled funds on a quarterly basis. The following is a detailed statement of the interest earned and apportioned to the fund (Fund 817) that is dedicated for the State Share of eligible expenses for the Upper Yuba Project.

Quarter of Transaction	Transaction Description	State Share Yuba River
Q4 - 09/10	3rd Quarter Interest Earned FY 09/10	\$ 348.32
Q1 - 10/11	4th Quarter Interest Earned FY 09/10	\$ 535.37
Q2 - 10/11	1st Quarter Interest Earned FY 10/11	\$ 21,704.87
Q3 - 10/11	2nd Quarter Interest Earned FY 10/11	\$ 21,995.55
Q4 - 10/11	3rd Qtr Interest Earned FY 10/11	\$ 20,375.65
Q1 - 11/12	4th Quarter Interest Earned FY 10/11	\$ 17,053.36
Q2 - 11/12	1st Qtr Interest Earned 10/1/11 FY 11/12	\$ 19,224.16
Q3 - 11/12	2nd Qtr Interest Earned 1/1/12 FY 11/12	\$ 5,033.57
Q4 - 11/12	3rd Qtr Interest Earned 4/1/12 FY 11/12	\$ 174.43
Q1 - 12/13	4th Qtr Interest Earned 7/1/12 FY 11/12	\$ 299.15
Q2 - 12/13	1st Qtr Interest Earned 10/1/12 FY 12/13	\$ 13.91
Q3 - 12/13	2nd Qtr Interest Earned 1/1/13 FY 12/13	\$ 17.11
Q4 - 12/13	3rd Qtr Interest Earned 4/1/13 FY 12/13	\$ 12.73
Q1 - 13/14	4th Qtr Interest Earned 7/1/13 FY 12/13	\$ 10.94
Q2 - 13/14	1st Qtr Interest Earned 10/1/13 FY 13/14	\$ 54.05
Q3 - 13/14	2nd Qtr Interest Earned 10/1/13 FY 13/14	\$ 352.12
Q4 - 13/14	3rd Qtr Interest Earned 4/1/14 FY 13/14	\$ 54.00
Q1 - 14/15	4th Qtr Interest Earned 7/1/14 FY 13/14	\$ 137.79
Q2 - 14/15	1st Qtr Interest Earned 10/1/14 FY 14/15	\$ 469.59
TOTAL		\$ 107,866.67

TRLIA has determined that the most efficient way to account for and provide the interest funding is to deduct this amount from future funding to be disbursed from to State to TRLIA. As shown above, the State has earned \$107,866.67 on the advance funding for the Upper Yuba Project through the 20th Quarter.

On April 11<sup>th</sup>, 2012, via e-mail, the State confirmed that it will handle this funding, by deducting the interest earned on State funding from a future construction funding payment (i.e. future advance, true-up or release of remaining retention). In addition, the State has also applied this concept to the FRLIP project by deduction funding from the release of retention.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba (Real Estate)

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 7

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			20th Quarter Expenses [2]		
			Total	State Share	Local Share	DWR Direct Pay	Local Credit Invoiced	Total
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f	g	h = f+g
<b>Element 7: Right of Way Capital</b>								
7-3.3 - Right of Way Capital [3]	70.0000%	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 7</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
			<b>Difference Between QWP &amp; Actuals</b>	<b>\$0</b>				

"Yub20QPRElem7"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

[3] All Real Estate capital has been advanced by TRLIA and will be invoiced through the Real Estate acquisition process.

# Summary of TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### SUMMARY ALL NON-REAL ESTATE ELEMENTS

Elements and Features	Total 20th QWP Quarter Work Plan	Total Expenses for 20th QWP Quarter	State Share			Local Share		
			To be Funded Net of 10% Holdback	State Funding Rec'd for 20th Quarter	State Funding Remaining to be Received for Quarter	Local Share of Actual Costs for Quarter	Local Funding Rec'd from Credit for Quarter	Remaining Local Share Funded by TRLIA
<i>Formula</i>	[1]	[2]	a	[3] b	c = a - b	d	[3] e	f = e - d
<b><i>Non-Real Estate Eligible Elements</i></b>								
Element 1: Flatten Waterside Levee Slope	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Element 1A: Land Side Improvement (Shadpad)	\$21,000	\$2,693	\$1,696	\$11,025	-\$9,329	\$808	\$6,300	-\$5,492
Element 2: Pre-CEQA Determination Support	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Element 3: Levee Improvements Support Work	\$93,500	\$23,049	\$14,521	\$49,088	-\$34,567	\$6,915	\$28,050	-\$21,135
Element 4: Levee Improvements Construction	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Element 6: Admin & Overhead	\$254,500	\$102,166	\$64,365	\$133,613	-\$69,248	\$30,650	\$76,350	-\$45,700
Element 8: Project Closeout Efforts	\$8,000	\$0	\$0	\$4,200	-\$4,200	\$0	\$2,400	-\$2,400
Element 9: WPIC 200-Yr Standard (net of ROW)	\$239,231	\$223,393	\$140,738	\$0	\$140,738	\$67,018	\$0	\$67,018
Element 10: Yuba ULDC Remediation 1986 Break Site	\$45,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Above Elements</b>	<b>\$661,231</b>	<b>\$351,301</b>	<b>\$221,320</b>	<b>\$197,925</b>	<b>\$23,395</b>	<b>\$105,390</b>	<b>\$113,100</b>	<b>-\$7,710</b>
<b>Difference Between QWP &amp; Actuals</b>		<b><u>\$309,930</u></b>						

***Element 5 Credit [Includes only Expenses Incurred Prior to October 20, 2009, not Shown Here]***

\*\*Yub20QPRSumm\*\*

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

[3] 20th Quarter Advance received.



# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 1

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50</b>						
1.1: Design	70.0000%	\$0	\$0	\$0	\$0	\$0
1.2: Permitting	70.0000%	\$0	\$0	\$0	\$0	\$0
1.3: Right of Way	70.0000%	\$0	\$0	\$0	\$0	\$0
1.4: Construction Management	70.0000%	\$0	\$0	\$0	\$0	\$0
1.5: Construction [1]	70.0000%	\$0	\$0	\$0	\$0	\$0
1.6: O&M Manual addendum	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 1</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$0</b>			

"Yub20QPRElem1"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 1A

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 1A: Land Side Levee Improvement</b>						
<b>- Sta 7+00 to 8+20 (Shadpad Road)</b>						
1A.1: Design	70.0000%	\$0	\$0	\$0	\$0	\$0
1A.2: Permitting	70.0000%	\$0	\$2,199	\$1,540	\$660	\$1,386
1A.3: Right of Way	70.0000%	\$21,000	\$493	\$345	\$148	\$311
1A.4: Construction Management	70.0000%	\$0	\$0	\$0	\$0	\$0
1A.5: Construction	70.0000%	\$0	\$0	\$0	\$0	\$0
1A.6: O&M Manual addendum	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 1A</b>		<b>\$21,000</b>	<b>\$2,693</b>	<b>\$1,885</b>	<b>\$808</b>	<b>\$1,696</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$18,307</b>			

"Yub20QPRElem1A"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 2

Elements and Features	State Share %	20th QWP Forecast	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	[1]	[2]	c	d=c*a	e=c-d	f = d*90%
<b>Element 2: Levee Improvements (Slurry Wall &amp; Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts</b>						
2.1: Alternatives Analysis	50.0000%	\$0	\$0	\$0	\$0	\$0
2.2: CEQA / NEPA	50.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 2</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$0</b>			

"Yub20QPRElem2"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 3

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work</b>						
3-2.3: Preliminary Design	70.0000%	\$0	\$0	\$0	\$0	\$0
3-2.4: Permitting Preparation	70.0000%	\$0	\$0	\$0	\$0	\$0
3-2.5: Right of Way Support	70.0000%	\$75,000	\$17,565	\$12,296	\$5,270	\$11,066
3.1: Final Design	70.0000%	\$0	\$609	\$426	\$183	\$384
3.2: Permitting	70.0000%	\$5,000	\$506	\$354	\$152	\$319
3.4: Construction Management	70.0000%	\$9,000	\$0	\$0	\$0	\$0
3.5: Environmental Mitigation	70.0000%	\$4,500	\$3,252	\$2,277	\$976	\$2,049
3.6: O&M Manual addendum	70.0000%	\$0	\$1,117	\$782	\$335	\$703
<b>Subtotal Element 3</b>		<b>\$93,500</b>	<b>\$23,049</b>	<b>\$16,134</b>	<b>\$6,915</b>	<b>\$14,521</b>
		<b>Difference Between QWP &amp; Actuals</b>	<b>\$70,451</b>			

"Yub20QPRElem3"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 4

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction - Sta 102+50 to 303+59</b>						
4.1 - Construction	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 4</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
			<b>Difference Between QWP &amp; Actuals</b>	<b>\$0</b>		

"Yub20QPRElem4"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 5

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 5: Prior Completed Work</b>						
5.1 - Prior Completed Work	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 5</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$0</b>			

"Yub20QPRElem5"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 6

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 6: Project Management, legal support, community relations support, land management support, and overhead</b>						
6.1 - TRLIA Salaries/Benefits	70.0000%	\$74,000	\$85,870	\$60,109	\$25,761	\$54,098
6.2 - TRLIA Consultant Exp.	70.0000%	\$19,000	\$6,155	\$4,309	\$1,847	\$3,878
6.3 - TRLIA Legal Support	70.0000%	\$1,000	\$35	\$25	\$11	\$22
6.4 - TRLIA Travel Expenses	70.0000%	\$0	\$0	\$0	\$0	\$0
6.5 - TRLIA General Expenses	70.0000%	\$9,000	\$10,106	\$7,074	\$3,032	\$6,367
6.6 - TRLIA Insurance	70.0000%	\$151,500	\$0	\$0	\$0	\$0
6.7 - TRLIA Travel - Vehicle Lease	70.0000%	\$0	\$0	\$0	\$0	\$0
6.8 - TRLIA Memberships	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 6</b>		<b>\$254,500</b>	<b>\$102,166</b>	<b>\$71,517</b>	<b>\$30,650</b>	<b>\$64,365</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$152,334</b>			

*"Yub20QPRElem6"*

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 8

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 8: Project Closeout Efforts</b>						
8.1 - Project Close Out Efforts	70.0000%	\$8,000	\$0	\$0	\$0	\$0
<b>Subtotal Element 8</b>		<b>\$8,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
		<b>Difference Between QWP &amp; Actuals</b>	<b>\$8,000</b>			

"Yub20QPRElem8"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.



# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 9

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 9: WPIC 200-Yr Standard</b>						
9.1 - Design	70.0000%	\$120,000	\$175,867	\$123,107	\$52,760	\$110,796
9.2 - Permitting & Environmental Documental	70.0000%	\$69,231	\$38,841	\$27,189	\$11,652	\$24,470
9.3 - Right of Way Acquisition	70.0000%	\$400,000	\$8,685	\$6,080	\$2,606	\$5,472
9.4 - Right of Way Support	70.0000%	\$50,000	\$0	\$0	\$0	\$0
9.5 - Construction Management	70.0000%	\$0	\$0	\$0	\$0	\$0
9.6 - Construction	70.0000%	\$0	\$0	\$0	\$0	\$0
9.7 - O&M Manual addendum	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 9</b>		<b>\$639,231</b>	<b>\$223,393</b>	<b>\$156,375</b>	<b>\$67,018</b>	<b>\$140,738</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$415,838</b>			

"Yub20QPRElem9"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

# TRLIA Quarterly Progress Report Budget Reconciliation

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 10

Elements and Features	State Share %	20th QWP Forecast [1]	20th Quarter Expenses [2]			State Share
			Total	State Share	Local Share	To be Funded Net of 10% Holdback
<i>Formula</i>	a	b	c	d=c*a	e=c-d	f = d*90%
<b>Element 10: Yuba ULDC Remediation 1986 Break Site</b>						
10.1 - Project Management	70.0000%	\$0	\$0	\$0	\$0	\$0
10.2 - Geotechnical Explorations	70.0000%	\$45,000	\$0	\$0	\$0	\$0
10.3 - Design	70.0000%	\$0	\$0	\$0	\$0	\$0
10.4 - Construction	70.0000%	\$0	\$0	\$0	\$0	\$0
10.5 - Construction Management	70.0000%	\$0	\$0	\$0	\$0	\$0
<b>Subtotal Element 10</b>		<b>\$45,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Difference Between QWP &amp; Actuals</b>			<b>\$45,000</b>			

"Yub20QPRElem10"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Reflects costs from July 1 to September 30, 2014 and paid through October 2014.

## 2. Cost and Funding Status through the 20th Quarter

The following set of tables present the status of the project on a cumulative expenditure basis as it relates to the current Overall Work Plan Budget (OAWP) (based on the revisions made by TRLIA submitted through the 19th QWP on March 10, 2014 and incorporated into Funding Amendment No. 3). This OAWP Budget is reflective of Elements 9 (which includes work for 200-Year ULDC compliance on the WPIC.) and Element 10 (which includes work for 200-Year ULDC compliance on the lower Yuba at 1986 Break Site).

In summary, through September 30, 2014, TRLIA has incurred expenses for the project which represent 64.5% of the total amended budget for Elements 1 through 10. TRLIA has received a total of \$21,505,807 of State Funding to date, approximately 53.4% of the proposed current amended State Budget of \$40.260 million. It is important to note that the total Funding Agreement limit on State Funds is \$47.43 Million and the current funding received represents 45.3% of this amount. Due to the delay in construction, TRLIA had previously received excess advance funding from the State. TRLIA has now caught up with this excess funding and additional funding from the State is now due. The summary below quantifies how much.

### Cumulative Funding Reconciliation - State Share

Total Non-Real Estate Expenses Incurred from October 20 to Date	<b>\$23,198,107</b>
State Share of above Expenses	\$16,098,820
Retention on State Share (10%)	-\$1,609,882
State Share Net of Retention	<b>\$14,488,938</b>
State Funding Received through 20th Quarter*	\$14,102,191
Funding Due (True-Up Due After 20th Quarter)	\$386,747

\* Reflects funding received for 20th Quarter to date

### Cumulative Funding Reconciliation - Local Credit

Total Non-Real Estate Expenses Incurred from October 20 to Date	<b>\$23,198,107</b>
Local Share of above Expenses	\$7,099,287
Local Credit Received	\$6,619,616
Local Credit Due [1]	\$0

\* Reflects funding received for 20th Quarter to date

[1] The Local remaining as of the date of this report is \$0. All credit has been funded.

In total, as previously stated above, TRLIA is due \$386,747 in State Share funding.

There are two individual feature budgets within the elements that have exceeded the revised total Overall Work Plan Budgets by greater than 5% excluding Element 5.

Element 5

With respect to Element 5, this Element has exceeded the original forecasted budget for Credit, however, the State is aware of this fact and this element only represents creditable expenses. On July 19, 2010 the State finalized the Credit amount for the Project ultimately approving \$6,619,616 of credit leaving an additional \$1,068,200 of potentially creditable expenses open pending further investigation. On June 30, 2011, TRLIA finalized this issue by sending notification to DWR that it had determined that these expenses were not eligible however, these costs are still reflected within these tables as project expenses funded solely from local sources.

Element 1A – Feature 1A.5 Construction

This element has exceeded the budget approximately 6%. This element is complete and no additional expenses are forecasted.

Element 10 – Feature 2 Geotechnical Explorations

This element has exceeded the budget for Geotechnical explorations. TRLIA will be submitting a revised budget as part of the next QWP that addresses the work being completed by HDR which includes both the Geotechnical work and Design.

# Summary of TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### SUMMARY ALL ELEMENTS

Elements and Features	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
	Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c = a - b	d	e	f = d - e	g = a - d	h = b - e	i = c - f	j = d/a
<b>Quarterly Progress Report Reconciliation</b>										
Element 1: Flatten Waterside Levee Slope	\$782,007	\$547,405	\$234,602	\$728,160	\$509,712	\$218,448	\$53,847	\$37,693	\$16,154	93.1%
Element 1A: Land Side Improvement (Shadpa)	\$1,060,000	\$742,000	\$318,000	\$1,024,299	\$717,009	\$307,290	\$35,701	\$24,991	\$10,710	96.6%
Element 2: Pre-CEQA Determination Support	\$1,069,913	\$534,956	\$534,956	\$1,065,054	\$532,527	\$532,527	\$4,859	\$2,430	\$2,430	99.5%
Element 3: Support Work	\$10,301,168	\$7,210,817	\$3,090,350	\$9,279,320	\$6,495,524	\$2,783,796	\$1,021,848	\$715,293	\$306,554	90.1%
Element 4: Construction	\$9,800,000	\$6,860,000	\$2,940,000	\$8,698,919	\$6,089,243	\$2,609,676	\$1,101,081	\$770,757	\$330,324	88.8%
Element 5: Prior Completed Work	\$7,682,162	\$5,377,514	\$2,304,649	\$9,760,791	\$6,832,554	\$2,928,237	-\$2,078,629	-\$1,455,040	-\$623,589	127.1%
Element 6: Admin & Overhead	\$4,901,913	\$3,431,339	\$1,470,574	\$3,338,296	\$2,336,807	\$1,001,489	\$1,563,617	\$1,094,532	\$469,085	68.1%
Element 7: Real Estate Capital	\$5,373,838	\$3,761,687	\$1,612,151	\$2,592,020	\$1,814,414	\$777,606	\$2,781,818	\$1,947,272	\$834,545	48.2%
Element 8: Project Closeout Efforts	\$200,000	\$140,000	\$60,000	\$7,872	\$5,511	\$2,362	\$192,128	\$134,489	\$57,638	3.9%
Element 9: WPIC 200-Year Standard	\$15,150,000	\$10,605,000	\$4,545,000	\$639,624	\$447,737	\$191,887	\$14,510,376	\$10,157,263	\$4,353,113	4.2%
Element 10: Yuba 1986 Break Site Remediation	\$1,500,000	\$1,050,000	\$450,000	\$141,813	\$99,269	\$42,544	\$1,358,187	\$950,731	\$407,456	9.5%
<b>Subtotal</b>	<b>\$57,821,000</b>	<b>\$40,260,718</b>	<b>\$17,560,283</b>	<b>\$37,276,169</b>	<b>\$25,880,307</b>	<b>\$11,395,861</b>	<b>\$20,544,832</b>	<b>\$14,380,410</b>	<b>\$6,164,421</b>	<b>64.5%</b>
<b>Subtotal Excluding Element 5</b>	<b>\$50,138,838</b>	<b>\$34,883,204</b>	<b>\$15,255,634</b>	<b>\$27,515,377</b>	<b>\$19,047,753</b>	<b>\$8,467,624</b>	<b>\$22,623,461</b>	<b>\$15,835,451</b>	<b>\$6,788,010</b>	<b>54.9%</b>
<b>Subtotal Excluding Elements 5 and 7 (ROW of Elem 9)</b>	<b>\$43,765,000</b>	<b>\$30,421,517</b>	<b>\$13,343,483</b>	<b>\$24,897,028</b>	<b>\$17,214,909</b>	<b>\$7,682,119</b>	<b>\$18,867,973</b>	<b>\$13,206,609</b>	<b>\$5,661,364</b>	<b>56.9%</b>
<b>State Funding Received Through 20th Quarter</b>										
State Share of Real Estate Advances	\$784,000									
Construction Funding	\$14,115,218.94									
Credit Funding Received	\$6,606,588									
Total Funding Received	\$21,505,807									
Percentage of State Budget Funded	53.4% (Received Through October 2014)									

"Yub20QPRTotSumm"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 1

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50</b>											
1.1: Design	70.0000%	\$199,279	\$139,495	\$59,784	\$198,854	\$139,198	\$59,656	\$424	\$297	\$127	99.8%
1.2: Permitting	70.0000%	\$49,134	\$34,394	\$14,740	\$869	\$608	\$261	\$48,265	\$33,786	\$14,480	1.8%
1.3: Right of Way	70.0000%	\$24,285	\$16,999	\$7,285	\$23,731	\$16,612	\$7,119	\$553	\$387	\$166	97.7%
1.4: Construction Management	70.0000%	\$180,492	\$126,345	\$54,148	\$179,455	\$125,618	\$53,836	\$1,037	\$726	\$311	99.4%
1.5: Construction [1]	70.0000%	\$325,250	\$227,675	\$97,575	\$325,250	\$227,675	\$97,575	\$0	\$0	\$0	100.0%
1.6: O&M Manual addendum	70.0000%	\$3,567	\$2,497	\$1,070	\$0	\$0	\$0	\$3,567	\$2,497	\$1,070	0.0%
<b>Subtotal Element 1</b>		<b>\$782,007</b>	<b>\$547,405</b>	<b>\$234,602</b>	<b>\$728,160</b>	<b>\$509,712</b>	<b>\$218,448</b>	<b>\$53,847</b>	<b>\$37,693</b>	<b>\$16,154</b>	<b>93.1%</b>

"Yub20QPRTotElem1"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 1A

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c</i>	<i>d = b-c</i>	<i>e</i>	<i>f = e*a</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>	<i>k = e/b</i>
<b>Element 1A: Land Side Levee Improvement</b>											
<b>- Sta 7+00 to 8+20 (Shadpad Road)</b>											
1A.1: Design	70.0000%	\$80,000	\$56,000	\$24,000	\$78,792	\$55,155	\$23,638	\$1,208	\$845	\$362	98.5%
1A.2: Permitting	70.0000%	\$105,000	\$73,500	\$31,500	\$101,848	\$71,294	\$30,554	\$3,152	\$2,206	\$946	97.0%
1A.3: Right of Way	70.0000%	\$240,000	\$168,000	\$72,000	\$184,611	\$129,228	\$55,383	\$55,389	\$38,772	\$16,617	76.9%
1A.4: Construction Management	70.0000%	\$175,000	\$122,500	\$52,500	\$178,880	\$125,216	\$53,664	-\$3,880	-\$2,716	-\$1,164	102.2%
1A.5: Construction	70.0000%	\$455,000	\$318,500	\$136,500	\$480,168	\$336,117	\$144,050	-\$25,168	-\$17,617	-\$7,550	105.5%
1A.6: O&M Manual addendum	70.0000%	\$5,000	\$3,500	\$1,500	\$0	\$0	\$0	\$5,000	\$3,500	\$1,500	0.0%
<b>Subtotal Element 1A</b>		<b>\$1,060,000</b>	<b>\$742,000</b>	<b>\$318,000</b>	<b>\$1,024,299</b>	<b>\$717,009</b>	<b>\$307,290</b>	<b>\$35,701</b>	<b>\$24,991</b>	<b>\$10,710</b>	<b>96.6%</b>

"Yub20QPRTotElem1"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 2

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 2: Levee Improvements (Slurry Wall &amp; Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts</b>											
2.1: Alternatives Analysis	50.0000%	\$419,771	\$209,885	\$209,885	\$415,488	\$207,744	\$207,744	\$4,283	\$2,141	\$2,141	99.0%
2.2: CEQA / NEPA	50.0000%	\$650,142	\$325,071	\$325,071	\$649,566	\$324,783	\$324,783	\$576	\$288	\$288	99.9%
<b>Subtotal Element 2</b>		<b>\$1,069,913</b>	<b>\$534,956</b>	<b>\$534,956</b>	<b>\$1,065,054</b>	<b>\$532,527</b>	<b>\$532,527</b>	<b>\$4,859</b>	<b>\$2,430</b>	<b>\$2,430</b>	<b>99.5%</b>

"Yub20QPRTotElem2"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)



# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 3

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c</i>	<i>d = b-c</i>	<i>e</i>	<i>f = e*a</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>	<i>k = e/b</i>
<b>Element 3: Levee Improvements (Slurry Wall and Waterside)</b>											
3-2.3: Preliminary Design	70.0000%	\$1,378,778	\$965,145	\$413,633	\$1,368,300	\$957,810	\$410,490	\$10,478	\$7,335	\$3,144	99.2%
3-2.4: Permitting Preparation	70.0000%	\$225,344	\$157,741	\$67,603	\$33,937	\$23,756	\$10,181	\$191,407	\$133,985	\$57,422	15.1%
3-2.5: Right of Way Support	70.0000%	\$2,935,767	\$2,055,037	\$880,730	\$2,837,418	\$1,986,192	\$851,225	\$98,349	\$68,844	\$29,505	96.6%
3.1: Final Design	70.0000%	\$2,279,307	\$1,595,515	\$683,792	\$2,249,880	\$1,574,916	\$674,964	\$29,427	\$20,599	\$8,828	98.7%
3.2: Permitting	70.0000%	\$702,461	\$491,723	\$210,738	\$156,696	\$109,687	\$47,009	\$545,765	\$382,036	\$163,730	22.3%
3.4: Construction Management	70.0000%	\$2,175,000	\$1,522,500	\$652,500	\$2,160,414	\$1,512,290	\$648,124	\$14,586	\$10,210	\$4,376	99.3%
3.5: Environmental Mitigation	70.0000%	\$415,091	\$290,564	\$124,527	\$422,763	\$295,934	\$126,829	-\$7,672	-\$5,370	-\$2,302	101.8%
3.6: O&M Manual addendum	70.0000%	\$189,419	\$132,593	\$56,826	\$49,912	\$34,939	\$14,974	\$139,506	\$97,654	\$41,852	26.4%
<b>Subtotal Element 3</b>		<b>\$10,301,168</b>	<b>\$7,210,817</b>	<b>\$3,090,350</b>	<b>\$9,279,320</b>	<b>\$6,495,524</b>	<b>\$2,783,796</b>	<b>\$1,021,848</b>	<b>\$715,293</b>	<b>\$306,554</b>	<b>90.1%</b>

"Yub20QPRTotElem3"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 4

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction - Sta 102+50 to</b>											
4.1 - Construction	70.0000%	\$9,800,000	\$6,860,000	\$2,940,000	\$8,698,919	\$6,089,243	\$2,609,676	\$1,101,081	\$770,757	\$330,324	88.8%
<b>Subtotal Element 4</b>		<b>\$9,800,000</b>	<b>\$6,860,000</b>	<b>\$2,940,000</b>	<b>\$8,698,919</b>	<b>\$6,089,243</b>	<b>\$2,609,676</b>	<b>\$1,101,081</b>	<b>\$770,757</b>	<b>\$330,324</b>	<b>88.8%</b>

"Yub20QPRTotElem4"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 5

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 5: Prior Completed Work</b>											
5.1 - Prior Completed Work	70.0000%	\$7,682,162	\$5,377,514	\$2,304,649	\$9,760,791	\$6,832,554	\$2,928,237	-\$2,078,629	-\$1,455,040	-\$623,589	127.1%
<b>Subtotal Element 6</b>		<b>\$7,682,162</b>	<b>\$5,377,514</b>	<b>\$2,304,649</b>	<b>\$9,760,791</b>	<b>\$6,832,554</b>	<b>\$2,928,237</b>	<b>-\$2,078,629</b>	<b>-\$1,455,040</b>	<b>-\$623,589</b>	<b>127.1%</b>

"Yub20QPRTotElem5"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 6

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 6: Project Management, legal support, community relations support, land management support, and overhead</b>											
6.1 - TRLIA Salaries/Benefits	70.0000%	\$1,270,714	\$889,500	\$381,214	\$1,097,983	\$768,588	\$329,395	\$172,731	\$120,912	\$51,819	86.4%
6.2 - TRLIA Consultant Exp.	70.0000%	\$1,360,377	\$952,264	\$408,113	\$948,915	\$664,240	\$284,674	\$411,462	\$288,023	\$123,439	69.8%
6.3 - TRLIA Legal Support	70.0000%	\$1,044,235	\$730,964	\$313,270	\$337,400	\$236,180	\$101,220	\$706,835	\$494,784	\$212,050	32.3%
6.4 - TRLIA Travel Expenses	70.0000%	\$9,992	\$6,995	\$2,998	\$94	\$66	\$28	\$9,898	\$6,929	\$2,970	0.9%
6.5 - TRLIA General Expenses	70.0000%	\$356,643	\$249,650	\$106,993	\$149,663	\$104,764	\$44,899	\$206,981	\$144,886	\$62,094	42.0%
6.6 - TRLIA Insurance	70.0000%	\$814,119	\$569,883	\$244,236	\$789,871	\$552,910	\$236,961	\$24,248	\$16,973	\$7,274	97.0%
6.7 - TRLIA Travel - Vehicle Lease	70.0000%	\$26,714	\$18,700	\$8,014	\$14,371	\$10,060	\$4,311	\$12,343	\$8,640	\$3,703	53.8%
6.8 - TRLIA Memberships	70.0000%	\$19,119	\$13,383	\$5,736	\$0	\$0	\$0	\$19,119	\$13,383	\$5,736	0.0%
<b>Subtotal Element 6</b>		<b>\$4,901,913</b>	<b>\$3,431,339</b>	<b>\$1,470,574</b>	<b>\$3,338,296</b>	<b>\$2,336,807</b>	<b>\$1,001,489</b>	<b>\$1,563,617</b>	<b>\$1,094,532</b>	<b>\$469,085</b>	<b>68.1%</b>

"Yub20QPRTotElem6"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 7

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 7: Right of Way Capital</b>											
7-3.3 - Right of Way Capital	70.0000%	\$5,373,838	\$3,761,687	\$1,612,151	\$2,592,020	\$1,814,414	\$777,606	\$2,781,818	\$1,947,272	\$834,545	48.2%
<b>Subtotal Element 7</b>		<b>\$5,373,838</b>	<b>\$3,761,687</b>	<b>\$1,612,151</b>	<b>\$2,592,020</b>	<b>\$1,814,414</b>	<b>\$777,606</b>	<b>\$2,781,818</b>	<b>\$1,947,272</b>	<b>\$834,545</b>	<b>48.2%</b>

*"Yub20QPRTotElem7"*

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 8

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c</i>	<i>d = b-c</i>	<i>e</i>	<i>f = e*a</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>	<i>k = e/b</i>
<b>Element 8: Project Closeout Efforts</b>											
8.1 - Project Close Out Efforts	70%	\$200,000	\$140,000	\$60,000	\$7,872	\$5,511	\$2,362	\$192,128	\$134,489	\$57,638	3.9%
<b>Subtotal Element 8</b>		<b>\$200,000</b>	<b>\$140,000</b>	<b>\$60,000</b>	<b>\$7,872</b>	<b>\$5,511</b>	<b>\$2,362</b>	<b>\$192,128</b>	<b>\$134,489</b>	<b>\$57,638</b>	<b>3.9%</b>

"Yub20QPRTotElem8"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 9

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c</i>	<i>d = b-c</i>	<i>e</i>	<i>f = e*a</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>	<i>k = e/b</i>
<b>Element 9: WPIC 200-Yr Standard</b>											
9.1 - Design	70%	\$800,000	\$560,000	\$240,000	\$544,022	\$380,816	\$163,207	\$255,978	\$179,184	\$76,793	68.0%
9.2 - Permitting & Environmental Dc	70%	\$300,000	\$210,000	\$90,000	\$69,273	\$48,491	\$20,782	\$230,727	\$161,509	\$69,218	23.1%
9.3 - Right of Way Acquisition	70%	\$1,000,000	\$700,000	\$300,000	\$26,330	\$18,431	\$7,899	\$973,670	\$681,569	\$292,101	2.6%
9.4 - Right of Way Support	70%	\$200,000	\$140,000	\$60,000	\$0	\$0	\$0	\$200,000	\$140,000	\$60,000	0.0%
9.5 - Construction Management	70%	\$800,000	\$560,000	\$240,000	\$0	\$0	\$0	\$800,000	\$560,000	\$240,000	0.0%
9.6 - Construction	70%	\$12,000,000	\$8,400,000	\$3,600,000	\$0	\$0	\$0	\$12,000,000	\$8,400,000	\$3,600,000	0.0%
9.7 - O&M Manual addendum	70%	\$50,000	\$35,000	\$15,000	\$0	\$0	\$0	\$50,000	\$35,000	\$15,000	0.0%
<b>Subtotal Element 8</b>		<b>\$15,150,000</b>	<b>\$10,605,000</b>	<b>\$4,545,000</b>	<b>\$639,624</b>	<b>\$447,737</b>	<b>\$191,887</b>	<b>\$14,510,376</b>	<b>\$10,157,263</b>	<b>\$4,353,113</b>	<b>4.2%</b>

"Yub20QPRTotElem9"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)

# TRLIA Progress Report Overall Funding Status

## Upper Yuba

For Period July/August/September 2014 (20th Qtr)

### ELEMENT 10

Elements and Features	State Share %	Overall Budget [1]			Actual Expenses to Date [2]			Remaining Budget			Percentage of Total Budget Expended
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	
<i>Formula</i>	a	b	c	d = b-c	e	f = e*a	g = e-f	h=b-e	i=c-f	j=d-g	k = e/b
<b>Element 10: Yuba 1986 Break Site Remediation</b>											
10.1: Project Management	70%	\$190,000	\$133,000	\$57,000	\$7,046	\$4,932	\$2,114	\$182,955	\$128,068	\$54,886	3.7%
10.2: Geotechnical Explorations	70%	\$60,000	\$42,000	\$18,000	\$134,404	\$94,083	\$40,321	-\$74,404	-\$52,083	-\$22,321	224.0%
10.3: Design	70%	\$40,000	\$28,000	\$12,000	\$363	\$254	\$109	\$39,637	\$27,746	\$11,891	0.9%
10.4: Construction	70%	\$1,100,000	\$770,000	\$330,000	\$0	\$0	\$0	\$1,100,000	\$770,000	\$330,000	0.0%
10.5: Construction Management	70%	\$110,000	\$77,000	\$33,000	\$0	\$0	\$0	\$110,000	\$77,000	\$33,000	0.0%
<b>Subtotal Element 8</b>		<b>\$1,500,000</b>	<b>\$1,050,000</b>	<b>\$450,000</b>	<b>\$141,813</b>	<b>\$99,269</b>	<b>\$42,544</b>	<b>\$1,358,187</b>	<b>\$950,731</b>	<b>\$407,456</b>	<b>9.5%</b>

"Yub20QPRTotElem10"

[1] As reflected in the 20th QWP dated July 3, 2014.

[2] Includes expenses incurred through September 30, 2014 (and paid through October 2014)