



TRLIA
11th QUARTERLY WORK PLAN
FOR
UPPER YUBA RIVER LEVEE
IMPROVEMENT PROJECT

1. 11th Quarterly Work plan for quarter: April 1 to June 30, 2012
2. Date of Report: March 13, 2012
3. 11th Quarter Work Plan:

Quarterly Work Plan Summary				
Description	State Share	Local Share	Total	Local Credit Applied
Element 7 - Land Acquisition	\$70,000	\$30,000	\$100,000	\$0
Elements 1 through 6	\$635,552	\$272,379	\$907,932	\$272,379
Total	\$705,552	\$302,379	\$1,007,932	\$272,379

Quarterly Summary for Real Estate Activity	
State Share Element 7	\$70,000
Local Credit Applied Elements 1	\$0
Estimated Total Quarterly State Real Estate Funding	\$70,000

Quarterly State Share Advance Summary for Non-Real Estate Activity	
75% of State Share Elements 1 through 6	\$476,664
plus/minus State Share true-up for Prior Quarters [1]	\$2,456,434
Total Advance for State Share at Start of 11th Quarter	\$2,933,098

[1] Estimated, see reconciliation of Prior State Funding.

Quarterly Local Credit Summary for Non-Real Estate Activity	
Local Credit Elements 1 through 6	\$272,379
plus/minus Local Credit true-up for Prior Quarters [1]	\$576,069
Total Advance for Local Credit at Start of 11th Quarter	\$848,448

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction

As of 10th Quarter - State Share: Based on 9th QPR plus 10th QWP

(as adjusted for schedule and other factors)

Total Non-Real Estate / Non-Creditable Expenses (Elements 1 - 6) Through 9th Quarter [1]	\$15,145,137
10th Quarter Total Forecasted Expenses [2]	\$3,188,882
Total Expenses through 10th Quarter	\$18,334,019
State Share True-Up Calculations	
Total State Share of Above Expenses	\$12,693,959
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$11,424,563
Funding To Date	
1st Quarter Advance	\$451,818
1st Quarter True-Up	\$70,578
2nd Quarter Advance	\$801,157
3rd Quarter Advance	\$1,981,246
2nd Quarter True-Up	\$53,088
4th Quarter Advance	\$3,468,242
3rd Quarter True-Up	\$160,754
4th Quarter Advance	\$1,981,246
Total State Share Funding Received and in Process	\$8,968,129
Estimated State Share Construction Funding Due through 10th Quarter	\$2,456,434

As of 9th Quarter - Local Share: Based on 9th QPR plus 10th QWP

(as adjusted for schedule and other factors)

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$5,640,061
Total Local Funding Credit Due	\$5,640,061
Funding To Date	
Local Credit Advanced (from 1st Quarter)	\$410,772
Local Credit Advanced (from 2nd Quarter)	\$343,623
Local Credit Advanced (from 3rd Quarter)	\$1,533,856
Local Credit True-Up (from 2nd Quarter)	\$152,747
Local Credit Advanced (from 4th Quarter)	\$2,622,994
Total Credit Funding Received	\$5,063,992
Local Credit Due through 10th Quarter	\$576,069

[1] 9th Quarter QPR Costs Subject to review by DWR.

[2] 10th Quarter Forecasted Expenses adjusted for actual expenses.

4. Project Element Information:

At the request of DWR, restructuring of Project Elements and Features occurred during the preparation of the 4th 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 4th QWP that reflected the following changes.

- a. 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.
- b. 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 QWP is reflective of these modifications.

In addition, as part of this Quarterly Work Plan, TRLIA is adding Element 1A to the Overall Work Plan to cover the scope and cost of work associated with Landside Levee Improvements between Sta 5+80 to 9+00 opposite the work associated with Element 1. This Element is further discussed below.

- **Engineering and construction matters:**

- **Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50**

- Feature 1 Design: All actions have been completed.
- Feature 2 Permitting: All actions have been completed. All permits were obtained. See updated Overall Work Plan Tab D (Attachment 1)
- Feature 3 Right of Way: All actions have been completed.
- Feature 4 Construction Management: All actions have been completed.
- Feature 5 Construction: All actions have been completed.
- Feature 6: O&M Manual: All actions have been completed.

- **Project Element 1A: Levee Landside Improvement – Sta 5+80 to 9+00**

- Feature 1 Design: HDR will continue design work this quarter.
- Feature 2 Permitting:
 - ✓ See Attachment 2 for added Permit listing.

- ✓ TRLIA applied to the CVFPB for a new encroachment permit to do this work on February 8, 2012. TRLIA completed an Addendum to the 2004 and 2006 TRLIA Initial Study/Mitigated Negative Declarations that previously covered this area in December 2011 in accordance with Section 15164 of the State CEQA Guidelines. The TRLIA Board adopted the CEQA Addendum at their January 17, 2012 meeting. Work on CEQA Documentation is complete.
 - Feature 3 Right of Way Support: TRLIA will continue work on this feature during the 11th quarter.
 - Feature 4 Construction Management: No work is anticipated in the 11th quarter.
 - Feature 5 Construction: No work is anticipated in the 11th quarter. Construction of these improvements is anticipated to occur in late Summer of 2012.
 - Feature 6: O&M Manual: No work is anticipated in the 11th quarter. This levee work will be added to the Project Element 1 Feature 6 O&M Manual Addendum.
- **Element 2: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts**
- Feature 1 Alternatives Analysis: All actions have been completed.
 - Feature 2 CEQA/NEPA: CEQA and NEPA have been 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 4th 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.
- **Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work**
- Feature 2.3 Preliminary Design: Completed in the 2nd Quarter
 - Feature 2.4 Permit Preparation: No work is anticipated this Quarter for this Feature. The CEQA documentation was completed (IS/MND) on April 20, 2010.
 - Feature 2.5 Right of Way Support: TRLIA real estate and legal consultants will be active this quarter obtaining right of way needs for the project. Note - Right of Way Support expenses are captured under this Element & Feature.

- Feature 1 Design: Work is completed on this feature.
- Feature 2 Permitting: Limited work on Federal, State, and local permits are anticipated in the 11th quarter. See Attachment 3 for list of permits. Key items are listed below..
 - CVFPB Encroachment Permits:
 - ✓ During the 11th quarter TRLIA will support PG&E and LCWD as their permits are considered at CVFPB meetings.
 - ❖ PG&E Gas Line Modification – Modify an existing 2" PG&E gas line with current encroachment permit No. 3446. Line will be raised and modified to meet current Title 23 Standards and is located at Station 138+00. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit application is still under consideration.
 - ❖ LCWD Water Main Modification – Modify an existing 6" Linda County Water District (LCWD) water line. The line will be raised and modified to meet current Title 23 Standards and is located at Station 148+55. Modification approved by CVFPB Letter of Authorization dated July 28, 2011. Permit application is still under consideration.
 - 100-yr and 200-yr Hydraulic Analysis:
 - ✓ During this quarter there will be limited work performed for FEMA certification that is EIP eligible per discussions with DWR.

On August 5th TRLIA briefed DWR and Corps representatives on TRLIA initial results. The initial results show that both the 100-year and 200-year storm events could escape the Goldfields Area and impact the UYLIP Project Area (described as Project Area 1 in the UYLIP EIP Application). The cause for these concerns is two-fold: 1) continued erosion of the South Training Walls, and 2) continued mining operations within the Goldfield Area below the South Training Wall. Both of these concerns were not well understood at the time of the TRLIA UYLIP EIP Application.

On September 5th TRLIA requested DWR modify the existing TRLIA UYLIP EIP Work Plan to include Project Element 8 (“Re-Establishment of Yuba River High Ground Project”). On October 7 DWR provided TRLIA with an initial e-mail response to the September 5 Project Element addition request. The e-mail informed TRLIA that more information was necessary for DWR to make a decision on adding Project Element 8 to the UYLIP EIP funding agreement. The EIP funding agreement has not

provided funding for the high ground Goldfields work and TRLIA is paying for this work with local prior levee funding resources. The Department of Water Resources has identified some remaining Proposition 13 Funds that can only be used in the Yuba and Feather River Watersheds. TRLIA made application for grant funding from the Prop 13 program and preliminary indications are that funding will be made available for this Goldfields analysis in the 11th quarter.

- EIP funding agreement: The EIP funding agreement has been extended to September 30, 2013 and Project Element 1a has been added.
- Feature 3 Right of Way: This feature was moved to Project Element 7 as requested by DWR. See May 28, 2010 4th Quarterly Work Plan.
- Feature 4 Construction Management: Construction Management of the UYLIP project will continue the 11th quarter to monitor and maintain levee winterization work.
- Feature 5 Environmental Mitigation:
 - During this Quarter TRLIA will continue working with property owners in close proximity to the project to identify and mitigate any impacts to their water wells that may be caused by the building of the cut-off wall.
 - During this quarter TRLIA and the UYLIP contractor will finalize Air Quality impacts with the FRAQMD and mitigate as needed.
 - During this quarter TRLIA will submit the additional seedling planting information requested by the November 9, 2011 CVFPB staff e-mail.

On January 28, 2011 the CVFPB approved the encroachment permit for use of the Anderson Elderberry Mitigation pending the Corps providing a 208.10 letter. The Corps issued the 208.10 letter on February 7, 2011 and the CVFPB issued the encroachment permit on February 7, 2011. 31 of 34 Elderberry shrubs were moved to the Anderson Elderberry Mitigation Site in February 2011. On June 7, 2011 F&WS via the Corps finalized the amendment to the Biological Opinion to describe the transplanting of the 31 Elderberries shrubs during the Dormant Season and 3 Elderberry shrubs after June 15th. The Revised B.O. requires a total of 250 seedlings above the transplanted shrubs. The Initial B.O. number was 22 and is now 250 due to transplanting 3 Elderberry Shrubs after June 15th. On October 21, 2011 TRLIA informed the CVFPB that additional elderberry seedling plantings were required by the revised BO.

- Feature 6 O&M Manual Addendum: Work will be performed in this feature during this quarter, even though construction was not totally completed as anticipated. Items such as as-builts can be worked on.

➤ **Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Sta 102+50 to 303+59**

○ Feature 1 Construction:

- TRLIA awarded the UYLIP project in late May 2011 to Magnus. Construction work will continue into the 11th quarter to complete Segment 2 and 3 levee patrol road and levee fencing/gates.
- Construction work will begin again in the 11th quarter. TRLIA will be maintaining winterization BMP's and will complete the Patrol Road and O&M corridor fencing once the flood season has ended and conditions are dry.
- To help define work that is under construction the levee construction was broken into 4 segments. The Segments are described and shown below:

❖ **Construction Segments**

Segment 1 Station 104+00 to 136+50 Levee Geometry Correction and No Work Sections

No work to be done this quarter except maintaining levee winterization work.

Segment 2 Station 136+50 to 163+50 Cutoff Wall to Dantoni Road

No work to be done this quarter except maintaining levee winterization work.

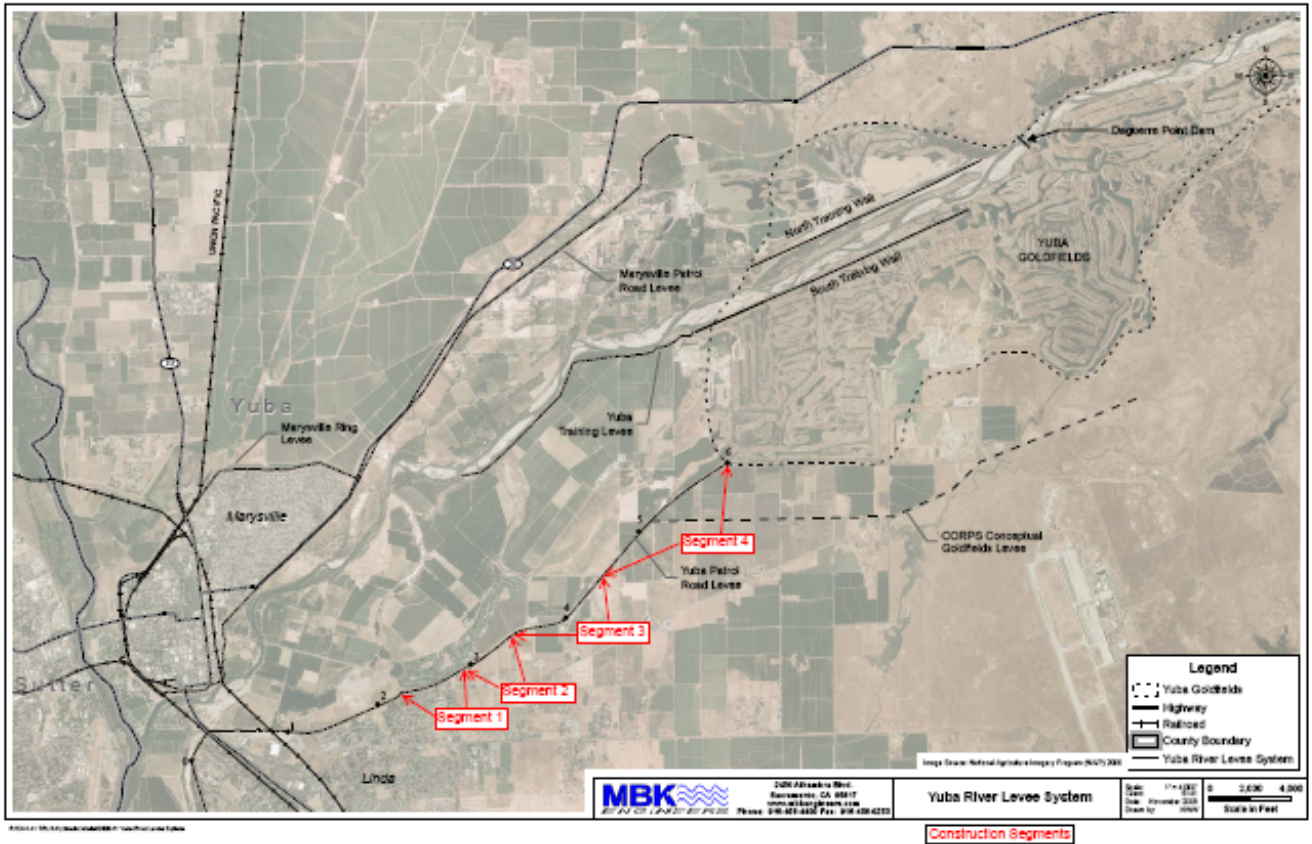
Segment 3 Station 163+50 to 220+00 Cutoff Wall Dantoni to Past Dan Luis Parcel

Work to be done this quarter includes maintaining levee winterization work and completing the Patrol Road once conditions are dry enough.

Segment 4 Station 220+00 to 303+59 Cutoff Wall, Seepage Berm, & Erosion Protection Dan Luis Parcel to End of Project

Work to be done this quarter includes maintaining levee winterization work, completing the Patrol Road once conditions are dry enough, and fencing of the landside O&M corridor.

❖ **Map**



➤ **Element 5: Prior Completed Work**

- Feature 1 Prior Completed Work: This Element represents prior work approved through the UYLIP. No additional work will take place as part of this Element.

On November 18, 2009 TRLIA submitted invoices for \$7,853,673 of credit. During the 3rd 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 30th 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.

➤ **Element 6: Project Management, legal support, community relations support, land management support, and overhead**

- Activity is anticipated in all Features during this quarter
- TRLIA has shifted the allocation of its administration and overhead expenses to reflect an apportionment of these expenses to additional work

TRLIA has underway in the Goldfields in addition to its EIP projects. The projections for expenses allocated to the UYLIP for this quarter have been reduced to reflect a lower allocation.

➤ **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.
 - The following Real Estate actions are anticipated in the 11th quarter (April to June 2012):
 - ✓ TRLIA real estate and legal consultants will continue to work with multiple property owners and TRLIA’s Project design team to identify and mitigate potential Project impacts on farm operations, a mobile home park adjacent to the levee, several residential properties, and one property owner’s long-term plans to re-establish a private rail spur to export aggregate materials from the Goldfields area.
 - ✓ Eminent Domain matters:

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Eminent Domain Case</u>	<u>Deposit of Probable Compensation</u>	<u>Settlement</u>	<u>Relocation Expense</u>
5, 10, 11	14065 14066	YCSCCVED 10-0000951 (Wilbur)	\$23,000		
12, 13, 14, 17	14064 14063	YCSCCVED 10-0000903 (Luis, D. & Luis, A.J. Trust)	\$24,100		\$3864.43
15, 16	14062 14062	YCSCCVED 10-0000977 (Bains)	\$21,500		
18	14060	YCSCCVED 10-0000934 (Wood)	\$3,200	\$3,200.00 Settled Escrow closed 1-5-11	
20, 21	14058	YCSCCVED 10-0000935 (COF Quail)	\$23,000	\$34,750.00 Final Order recorded 11-21-11	
9	14068	YCSCCVED 10-0001029 (Walbinder S. Sohal Living Trust)	\$560,000	\$590,000 Final Order recorded 5-5-11	
36	14072	YCSCCVED 10-0001029 (Bhajan S. & Rajwant K. Sohal)	\$560,000	\$590,000 Final Order recorded 5-5-11	

- ✓ Possession and Use Agreements – The three property owners below have executed Possession and Use Agreements granting

TRLIA possession of the required portions of their property for construction effective April 1, 2011.

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Deposit of Probable Compensation – Escrow</u>	<u>Escrow No. & Date Opened</u>	<u>Escrow Close Date</u>
2, 6	14070	Barker, et al	\$185,000	5008324-PA (7/20/10)	Grant deed signed & in Escrow
8, 41	14069	Awtar Sohal Trust	\$21,500	5008311-PA (9/28/10)	10-10-11
38	14061	Miller	\$1,400	5008567-PA (9/20/10)	Grant deed signed & in Escrow

- ✓ Grant Deed or Temporary Access Easements (TAE's) Signed –
The twelve property owners below have executed Grant Deeds for acquisition of property and/or TAE's giving TRLIA possession of the required portions of their property for construction effective April 1, 2011.

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Deposit into Escrow</u>	<u>Escrow No. & Date Opened</u>	<u>Escrow Close Date</u>
3	14071	Shintaffer Farms	\$5,500	5008325-PA (10/11/10)	Pending –oil and gas lease needs to be cleared from property.
39	N/A	Naumes	\$3,000	Paid Direct (11/8/10) Temporary Easement not recorded	N/A
40	N/A	Rahul	\$500	Paid Direct (8/15/10) Temporary Easement not recorded	N/A
19	14059	Wilkey	\$6,600	5008315-PA (9/20/10)	See 1 below
26	14057	Wesely	\$33,000	5008319-PA (8/25/10)	11/10/10
28, 29	14055	Gilbert	\$20,450	5008329-PA (3/14/11)	4/14/11
30	14054	Hust/Valdez	\$5,200	5008330-PA (3/8/11)	Pending. Need partial reconveyance
31	14053	Klug	\$2,800	5008331-PA (1/19/11)	2/1/11

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Deposit into Escrow</u>	<u>Escrow No. & Date Opened</u>	<u>Escrow Close Date</u>
32	14052	Perez	\$10,350	5008321-PA (12/29/10)	4/4/11
4, 7	14067	H. Smith	\$64,000	5008326-PA (8/2/10)	Pending. Issue of waterside access across levee needs to be resolved..
33	14051	Willis	\$29,500	5008322-PA (9-21-11)	See 2 below

1. Fannie Mae foreclosed on property and Wilkey no longer owns it. The property is currently in escrow with a subsequent buyer. TRLIA intends to either acquire the property through that escrow or acquire it after that transaction closes. We have been in contact with the bank's real estate agent.
2. Owner is divorced but property is still in both his and his ex-spouses names. The divorce decree/judgment states "The Petitioner (Mr. Willis) is awarded the property located at 1931 Hammonton Road, Marysville (APN 21-041-006). The Respondent (Mrs. Willis) is to grant deed said property to the petitioner no later than February 15, 2000." This has not been done and the title company will not release funds and close this escrow until they receive either a quitclaim deed or grant deed from the ex-spouse. We have been in contact with Mrs. Willis and have asked that she sign the transaction documents. If she does not sign, we will seek a resolution of necessity.

✓ On the west end of the project, there were several "unknown owners" of properties. After due diligence by the title company, the owners have been identified. Also, a property owned by Jason Allen will need to be acquired to perform necessary levee repairs along Shad Pad Road. The property is currently used as an RV park, so tenant relocations will be necessary. An amendment to the Upper Yuba Real Estate Plan will be submitted to DWR in the 10th Quarter to reflect these additions. Below is a general description of the status.

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Status</u>
27	14056	Humam al Sharif	Unable to locate this owner. Appraisal will be completed in 10 th Quarter and condemnation process will begin.
34	14050	Western Aggregates, LLC;	Appraisal to be completed and offer made in 10 th Quarter.
42	14074	Dunning Properties, LLC	Appraisal to be completed and offer made in 10 th Quarter.
35	14050	Western Aggregates, Inc.	Appraisal to be completed and offer made in 10 th Quarter.
43		Orchard Growers	Appraisal to be completed and offer made in 10 th Quarter.
44		Dunning Brothers Company, a corporation	Appraisal to be completed and offer made in 10 th Quarter.
45		Richard G. Wilbur Trust	Appraisal to be completed and offer made in 10 th Quarter.
45		Richard G. Wilbur Trust	Appraisal to be completed and offer made in 10 th Quarter.

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Status</u>
46		Western Aggregates, LLC; et al.	Appraisal to be completed and offer made in 10 th Quarter.
47		Federal Fruit Distributors, a corporation	Appraisal to be completed and offer made in 10 th Quarter.
48		Allen, Jason G.	Appraisal to be completed and offer made in 10 th Quarter. Tenant relocations are planned for the 11 th and 12 th Quarter.

- **Environmental matters:**

- 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 1:** All Permits and approvals have been acquired – see Attachment 1

- **Added Element 1A:**

- See Attachment 2 for added Permit listing.
- TRLIA will apply to the CVFPB for a new encroachment permit to do this work late in the 10th quarter or early in the 11th quarter. TRLIA will continue to work on an Addendum to the 2004 and 2006 TRLIA Initial Study/Mitigated Negative Declarations that previously covered this area in accordance with Section 15164 of the State CEQA Guidelines.

- **Element 2 & 3:**

- All Permits and approvals have been acquired.
- See Element 3 Feature 2 Permitting for details.

- **Major accomplishments planned for the quarter (i.e. tasks to be completed, milestones to be met, meetings to be held or attended, etc.);**

- None

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

- **Issue:** On September 5th TRLIA requested DWR modify the existing TRLIA UYLIP EIP Work Plan to include Project Element 8 (“Re-Establishment of Yuba River High Ground Project”). No additional funding or schedule extensions were requested with the proposed Project Element 8 addition. On October 7 DWR provided TRLIA with an initial e-mail response to the September 5 Project Element addition request. The e-mail informed TRLIA that more information was necessary for DWR to make a decision on adding Project Element 8 to the UYLIP EIP funding agreement. Subsequent discussions with DWR indicate a key concern with using EIP for the proposed Element 8 is that the Goldfield area is not within the State Plan of Flood Protection.

Recommended Solution: DWR consider actions taken within the Goldfields area that re-establish high ground for the FEMA certification of the UYLIP project and TRLIA project system be included as part of the State Plan of Flood Protection and allow the work to be included in the UYLIP funding agreement.

- **Describe differences between the work to be performed and the work outlined in the Overall Work Plan, including anticipated change orders:** None
- **Any litigation, proceedings or claims relating to the Project:** None
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- **Any litigation, proceedings or claims relating to the Project:** None

5. Cost Information by Project Element:

With the 5th QWP, TRLIA evaluated the Overall Work Plan Budget and prepared a comprehensive updated the budget from the UYRLIP project. This updated reflected construction on the completed work within Element 1 as well as the work bid for Elements 3&4. The updated budgets took into consideration the savings in construction costs as well other minor adjustments in the Overall Work Plan individual feature budgets. As part of the 6th QWP, TRLIA submitted a Revised Overall Work Plan Budget that made some corrections to the budget submitted as part of the 5th QWP. With the 9th Quarterly Work Plan, TRLIA incorporated Element 1A into the Project and provided an additional update to the Overall Work Plan Budget. This work plan reflects the latest revisions from the 9th Quarterly Work Plan.

- **List of changes planned to Overall Work Plan Budget and revised Overall Work Plan Budget (if needed):**

None.

- **Projected costs compared to Overall Work Plan Budget**

- **Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50**

No additional construction costs are forecasted to be incurred during the 11th quarter as the Element is complete. Construction was completed in November, 2009. Upon completion of the 9th Quarter, approximately (72%) \$723,000 of the \$1.0 Million budget has been expended.

➤ **Element 1A: Landside Levee Improvement – Sta 7+00 to 8+20 (Shadpad Road)**

This Element was added as of the 9th Quarter. TRLIA expects to continue work on Design, Permitting and Right of Way activities in the 11th Quarter, and schedule permitting commence construction in the 11th quarter. TRLIA plans to expend approximately \$185,000 during the 11th Quarter.

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

This element only includes the preliminary alternatives analysis and CEQA/NEPA document preparation (that work only eligible for 50% cost share by the State). This element is complete and there are no costs forecasted as part of this 11th QWP. Upon completion of the 11th Quarter, approximately (100%) \$1,065,000 Million budget has been expended.

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

This element was revised in the 5th Quarter to include the preliminary design, permitting preparation and Right of Way Support work that was previously included in Element 2.

The major costs to be incurred in the 11th quarter are related to Construction Management and Right of Way Support,

The overall budget for Element 3 is \$9.88 million and the amount forecasted to be expended this quarter is \$283,000. This amount, in conjunction with estimated prior expenses furthering Element 3 efforts, will result in having expended roughly 85% (\$8.4 million) of the Element's revised budget.

➤ **Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Sta 102+50 to 303+59**

TRLIA expects to expend approximately \$300,000 this quarter which would represent a portion of the remaining work associated with patrol road completion. At the completion of the Quarter, TRLIA expects to have expended approximately 82% (\$8 million) of the budget for this element.

➤ **Element 5: Prior Completed Work**

This Element solely represents prior completed work submitted for crediting purposes. No additional costs in the element will be incurred during the funding agreement contract period.

➤ **Element 6 - Project Management, Legal, Community Relations support, Land Management, and Overhead:**

TRLIA revised the Administration and Overhead allocation of costs based upon the fact that TRLIA is now undertaking additional work beyond the scope of its current EIP grant activities. This quarterly workplan represents a lower allocation of costs to reflect this revised allocation.

TRLIA has estimated the amount of overhead expenses to be incurred in the quarter and allocated the Yuba share of those forecasted expenses to Element 6. TRLIA expects to allocate approximately \$138,000 of Overhead and Admin expenses in the quarter. After the quarter is complete, TRLIA will have expended roughly 56% of the Element 6 budget.

➤ **Element 7 – Right of Way Capital:**

Right of Way acquisition activity will continue this Quarter. The budget is approximately \$100,000. After the quarter is complete, TRLIA will have expended roughly 87% of the revised Element 7 \$3.3 million budget.

- **The amount of funds sought from the State and the Amount of Local Funds intended to be expended:** As presented in Item 3 of this 11th Quarter Work Plan:

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Element 7 - Land Acquisition	\$70,000	\$30,000	\$100,000	\$0
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2nd Quarter Advance	\$801,157
3rd Quarter Advance	\$1,981,246
2nd Quarter True-Up	\$53,088
4th Quarter Advance	\$3,468,242
3rd Quarter True-Up	\$160,754
4th Quarter Advance	\$1,981,246
Total State Share Funding Received and in Process	\$8,968,129
Estimated State Share Construction Funding Due through 10th Quarter	\$2,456,434

As of 9th Quarter - Local Share: Based on 9th QPR plus 10th QWP

(as adjusted for schedule and other factors)

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$5,640,061
Total Local Funding Credit Due	\$5,640,061
Funding To Date	
Local Credit Advanced (from 1st Quarter)	\$410,772
Local Credit Advanced (from 2nd Quarter)	\$343,623
Local Credit Advanced (from 3rd Quarter)	\$1,533,856
Local Credit True-Up (from 2nd Quarter)	\$152,747
Local Credit Advanced (from 4th Quarter)	\$2,622,994
Total Credit Funding Received	\$5,063,992
Local Credit Due through 10th Quarter	\$576,069

[1] 9th Quarter QPR Costs Subject to review by DWR.

[2] 10th Quarter Forecasted Expenses adjusted for actual expenses.

- **The following tables present Element and Feature level details for the 11th Quarterly Work Plan.**

Summary of TRLIA Quarterly Work Plan Budget Upper Yuba

For Period April/May/June 2011

SUMMARY ALL ELEMENTS

Elements and Features	Overall Budget [1]			Estimated Cumulative Expenses [2]			Forecasted Remaining Budget			Quarterly Forecast			Advance
	Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	Total	State	Local	State Share
Formula	a	b	c = a-b	d	e	f = d-e	g = a-d	h = b-e	i = c-f	j	k	l=j-k	l=k*75%
Quarterly Advance Request Elements (Not Including Real Estate)													
Element 1: Flatten Waterside Levee Slope	\$1,004,007	\$702,805	\$301,202	\$723,160	\$506,212	\$216,948	\$280,847	\$196,593	\$84,254	\$0	\$0	\$0	\$0
Element 1A: Land Side Improvement (Shadpad)	\$480,000	\$336,000	\$144,000	\$72,143	\$50,500	\$21,643	\$407,857	\$285,500	\$122,357	\$185,777	\$130,044	\$55,733	\$97,533
Element 2: Pre-CEQA Determination Support	\$1,044,913	\$522,456	\$522,456	\$1,065,054	\$532,527	\$532,527	-\$20,141	-\$10,070	-\$10,070	\$0	\$0	\$0	\$0
Element 3: Levee Improvements Support Work	\$9,876,168	\$6,923,317	\$2,952,850	\$8,119,497	\$5,683,648	\$2,435,849	\$1,756,670	\$1,239,669	\$517,001	\$283,668	\$198,568	\$85,101	\$148,926
Element 4: Levee Improvements Construction	\$9,800,000	\$6,924,000	\$2,876,000	\$7,742,537	\$5,419,776	\$2,322,761	\$2,057,463	\$1,504,224	\$553,239	\$300,000	\$210,000	\$90,000	\$157,500
Element 6: Admin & Overhead	\$4,456,913	\$3,119,839	\$1,337,074	\$2,336,878	\$1,635,815	\$701,064	\$2,120,035	\$1,484,024	\$636,010	\$138,486	\$96,940	\$41,546	\$72,705
Sub-Total Elements 1 through 4 & 6	\$26,662,000	\$18,528,417	\$8,133,583	\$20,059,269	\$13,828,478	\$6,230,792	\$6,602,731	\$4,699,940	\$1,902,791	\$907,932	\$635,552	\$272,379	\$476,664
<i>Element 5 Credit [Additional Credit to Come from other Element Expenses Incurred Prior to October 20, 2009 not Shown Here]</i>													
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				
Real Estate Forecast for Quarter													
Element 7: Land Acquisition	\$3,302,095	\$2,311,467	\$990,629	\$2,788,393	\$1,951,875	\$836,518	\$513,702	\$359,591	\$154,111	\$100,000	\$70,000	\$30,000	
Subtotal Real Estate Forecast	\$3,302,095	\$2,311,467	\$990,629	\$2,788,393	\$1,951,875	\$836,518	\$513,702	\$359,591	\$154,111	\$100,000	\$70,000	\$30,000	
Local Credit Reconciliation													
Quarterly Advance Calculation							Total Local Share of Eligible Expenses this Quarter						
75% of State Share of Eligible Elements	\$476,664						\$272,379 (From Above)						
plus Local Share Subject to Credit	\$272,379						Estimated Total Local Credit						
Total	\$749,044						\$6,619,616 (Approved Local Credit Amount)						
Note: Payments are subject to true-up for actual expenses.													
Local Credit Advanced (from 1st Quarter)							\$410,772						
Local Credit Advanced (from 2nd Quarter)							\$343,623						
Local Credit Advanced (from 3rd Quarter)							\$1,533,856						
Local Credit True-Up (from 2nd Quarter)							\$152,747						
Local Credit Advanced (from 4th Quarter)							\$2,622,994						
Total Local Credit Received							\$5,063,992						
Remaining Local Credit Approved							\$1,555,624						
Requested Local Credit to be Paid with Advance							\$272,379 (No Local Credit Advance Due to True-Up)						
Credit Remaining After Advance							\$1,283,245						

11QYubaSumm

[1] As reflected in this 9th Quarterly Work Plan for the Upper Yuba Project.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period April/May/June 2011

ELEMENT 1

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50															
1.1: Design	70%	\$204,279	\$142,995	\$61,284	\$198,854	\$139,198	\$59,656	\$5,424	\$3,797	\$1,627	3%	\$0	\$0	\$0	0%
1.2: Permitting	70%	\$167,134	\$116,994	\$50,140	\$869	\$608	\$261	\$166,265	\$116,386	\$49,880	99%	\$0	\$0	\$0	0%
1.3: Right of Way	70%	\$22,285	\$15,599	\$6,685	\$18,731	\$13,112	\$5,619	\$3,553	\$2,487	\$1,066	16%	\$0	\$0	\$0	0%
1.4: Construction Management	70%	\$176,492	\$123,545	\$52,948	\$179,455	\$125,618	\$53,836	-\$2,963	-\$2,074	-\$889	-2%	\$0	\$0	\$0	0%
1.5: Construction	70%	\$350,250	\$245,175	\$105,075	\$325,250	\$227,675	\$97,575	\$25,000	\$17,500	\$7,500	7%	\$0	\$0	\$0	0%
1.6: O&M Manual addendum	70%	\$83,567	\$58,497	\$25,070	\$0	\$0	\$0	\$83,567	\$58,497	\$25,070	100%	\$0	\$0	\$0	0%
Subtotal Element 1		\$1,004,007	\$702,805	\$301,202	\$723,160	\$506,212	\$216,948	\$280,847	\$196,593	\$84,254	28%	\$0	\$0	\$0	0%

"10QYubaElem1"

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period April/May/June 2011

ELEMENT 1A

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a (Increased)	b	c=axb	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g	k	l=axk	m=k-l		
Element 1A: Land Side Levee Improvement - Sta 7+00 to 8+20 (Shadpad Road)															
1A.1: Design	70%	\$40,000	\$28,000	\$12,000	\$23,302	\$16,312	\$6,991	\$16,698	\$11,688	\$5,009	42%	\$3,902	\$2,731	\$1,171	23%
1A.2: Permitting	70%	\$25,000	\$17,500	\$7,500	\$20,716	\$14,501	\$6,215	\$4,284	\$2,999	\$1,285	17%	\$0	\$0	\$0	0%
1A.3: Right of Way	70%	\$225,000	\$157,500	\$67,500	\$28,125	\$19,688	\$8,438	\$196,875	\$137,813	\$59,063	88%	\$84,375	\$59,063	\$25,313	43%
1A.4: Construction Management	70%	\$50,000	\$35,000	\$15,000	\$0	\$0	\$0	\$50,000	\$35,000	\$15,000	100%	\$30,000	\$21,000	\$9,000	60%
1A.5: Construction	70%	\$135,000	\$94,500	\$40,500	\$0	\$0	\$0	\$135,000	\$94,500	\$40,500	100%	\$67,500	\$47,250	\$20,250	50%
1A.6: O&M Manual addendum	70%	\$5,000	\$3,500	\$1,500	\$0	\$0	\$0	\$5,000	\$3,500	\$1,500	100%	\$0	\$0	\$0	0%
Subtotal Element 2		\$480,000	\$336,000	\$144,000	\$72,143	\$50,500	\$21,643	\$407,857	\$285,500	\$122,357	85%	\$185,777	\$130,044	\$55,733	46%

"10QYubaElem1A"

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period April/May/June 2011

ELEMENT 2

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
	(Increased)														
Element 2: Levee Improvements (Slurry Wall & Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts															
2.1: Alternatives Analysis	50%	\$419,771	\$209,885	\$209,885	\$415,488	\$207,744	\$207,744	\$4,283	\$2,141	\$2,141	1%	\$0	\$0	\$0	0%
2.2: CEQA / NEPA	50%	\$625,142	\$312,571	\$312,571	\$649,566	\$324,783	\$324,783	-\$24,424	-\$12,212	-\$12,212	-4%	\$0	\$0	\$0	0%
Subtotal Element 2		\$1,044,913	\$522,456	\$522,456	\$1,065,054	\$532,527	\$532,527	-\$20,141	-\$10,070	-\$10,070	-2%	\$0	\$0	\$0	0%

10QYubaElem2

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period April/May/June 2011

ELEMENT 3

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb <small>*Based on Overall Workplan</small>	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work															
3-2.3: Preliminary Design	70%	\$1,378,778	\$965,145	\$413,633	\$1,368,300	\$957,810	\$410,490	\$10,478	\$7,335	\$3,144	1%	\$0	\$0	\$0	0%
3-2.4: Permitting Preparation	70%	\$225,344	\$157,741	\$67,603	\$33,937	\$23,756	\$10,181	\$191,407	\$133,985	\$57,422	85%	\$0	\$0	\$0	0%
3-2.5: Right of Way Support	70%	\$2,510,767	\$1,757,537	\$753,230	\$2,009,669	\$1,406,769	\$602,901	\$501,098	\$350,768	\$150,329	20%	\$120,000	\$84,000	\$36,000	24%
3.1: Final Design	70%	\$2,279,307	\$1,605,515	\$673,792	\$2,185,054	\$1,529,538	\$655,516	\$94,253	\$75,977	\$18,276	4%	\$0	\$0	\$0	0%
3.2: Permitting	70%	\$702,461	\$491,723	\$210,738	\$97,214	\$68,049	\$29,164	\$605,248	\$423,673	\$181,574	86%	\$15,000	\$10,500	\$4,500	2%
3.4: Construction Management	70%	\$2,175,000	\$1,522,500	\$652,500	\$2,082,438	\$1,457,706	\$624,731	\$92,562	\$64,794	\$27,769	4%	\$75,000	\$52,500	\$22,500	81%
3.5: Environmental Mitigation	70%	\$415,091	\$290,564	\$124,527	\$312,512	\$218,758	\$93,754	\$102,579	\$71,805	\$30,774	25%	\$43,668	\$30,568	\$13,101	43%
3.6: O&M Manual addendum	70%	\$189,419	\$132,593	\$56,826	\$30,374	\$21,262	\$9,112	\$159,045	\$111,331	\$47,713	84%	\$30,000	\$21,000	\$9,000	19%
Subtotal Element 3		\$9,876,168	\$6,923,317	\$2,952,850	\$8,119,497	\$5,683,648	\$2,435,849	\$1,756,670	\$1,239,669	\$517,001	18%	\$283,668	\$198,568	\$85,101	16%

10QYubaElem3

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba
For Period April/May/June 2011

ELEMENT 4

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb <small>*Based on Overall Workplan</small>	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction - Sta 102+50 to 303+59															
4.1 - Construction	70%	\$9,800,000	\$6,924,000	\$2,876,000	\$7,742,537	\$5,419,776	\$2,322,761	\$2,057,463	\$1,504,224	\$553,239	21%	\$300,000	\$210,000	\$90,000	15%
Subtotal Element 4		\$9,800,000	\$6,924,000	\$2,876,000	\$7,742,537	\$5,419,776	\$2,322,761	\$2,057,463	\$1,504,224	\$553,239	21%	\$300,000	\$210,000	\$90,000	15%

10QYubaElem4

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba
For Period April/May/June 2011

ELEMENT 5

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb <small>*Based on Overall Workplan</small>	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 5: Prior Completed Work															
5.1 - Prior Completed Work	70%	\$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	-27%	\$0	\$0	\$0	0%
Subtotal Element 5		\$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	-27%	\$0	\$0	\$0	0%

10QYubaElem5

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period April/May/June 2011

ELEMENT 6

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb <small>*Based on Overall Workplan</small>	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
support, community relations support, land management															
6.1 - TRLIA Salaries/Benefits	70%	\$1,270,714	\$889,500	\$381,214	\$556,786	\$389,750	\$167,036	\$713,928	\$499,750	\$214,178	56%	\$60,300	\$42,210	\$18,090	8%
6.2 - TRLIA Consultant Exp.	70%	\$1,260,377	\$882,264	\$378,113	\$987,949	\$691,564	\$296,385	\$272,428	\$190,699	\$81,728	22%	\$33,500	\$23,450	\$10,050	12%
6.3 - TRLIA Legal Support	70%	\$1,044,235	\$730,964	\$313,270	\$360,602	\$252,421	\$108,180	\$683,633	\$478,543	\$205,090	65%	\$33,500	\$23,450	\$10,050	5%
6.4 - TRLIA Travel Expenses	70%	\$9,992	\$6,995	\$2,998	\$429	\$300	\$129	\$9,563	\$6,694	\$2,869	96%	\$335	\$235	\$101	4%
6.5 - TRLIA General Expenses	70%	\$356,643	\$249,650	\$106,993	\$86,529	\$60,570	\$25,959	\$270,114	\$189,080	\$81,034	76%	\$10,050	\$7,035	\$3,015	4%
6.6 - TRLIA Insurance	70%	\$469,119	\$328,383	\$140,736	\$334,430	\$234,101	\$100,329	\$134,689	\$94,283	\$40,407	29%	\$0	\$0	\$0	0%
6.7 - TRLIA Travel - Vehicle Lea	70%	\$26,714	\$18,700	\$8,014	\$10,155	\$7,108	\$3,046	\$16,559	\$11,592	\$4,968	62%	\$801	\$561	\$240	5%
6.8 - TRLIA Memberships	70%	\$19,119	\$13,383	\$5,736	\$0	\$0	\$0	\$19,119	\$13,383	\$5,736	100%	\$0	\$0	\$0	0%
Subtotal Element 6		\$4,456,913	\$3,119,839	\$1,337,074	\$2,336,878	\$1,635,815	\$701,064	\$2,120,035	\$1,484,024	\$636,010	48%	\$138,486	\$96,940	\$41,546	7%

10QYubaElem6

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

TRLIA Quarterly Work Plan Budget
Upper Yuba
For Period April/May/June 2011

ELEMENT 7

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (December 2011) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	11th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb <small>*Based on Overall Workplan</small>	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 7: Right of Way Capital															
7-3.3 - Right of Way Capital	70%	\$3,302,095	\$2,311,467	\$990,629	\$2,788,393	\$1,951,875	\$836,518	\$513,702	\$359,591	\$154,111	16%	\$100,000	\$70,000	\$30,000	19%
Subtotal Element 7		\$3,302,095	\$2,311,467	\$990,629	\$2,788,393	\$1,951,875	\$836,518	\$513,702	\$359,591	\$154,111	16%	\$100,000	\$70,000	\$30,000	19%

"10QYubaElem7"

[1] Revised per the Upper Yuba 9th Quarterly Work Plan.

[2] Reflects estimated expenses through the 10th Quarter based on prior actual expenses through December 31, 2011 (9th QPR) and estimated of expenses from January to March, 2012 based on the 10th Quarterly Work Plan with necessary adjustments.

6. Schedule Information by Project Element: Shown in the figure below is an updated Exhibit A (overall project schedule). This project schedule is updated from the 9th Quarterly Progress Report

Project Element	2007			2008			2009			2010			2011			2012		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Project 1: Program of Research on the State of North Carolina																		
Project 1: Design																		
Project 1: Planning																		
Project 1: Right of way																		
Project 1: Construction Management																		
Project 1: Construction																		
Project 1: Construction Administration																		
Project 2: Local-to-state program - The First to Drive																		
Project 2: Design																		
Project 2: Planning																		
Project 2: Right of way																		
Project 2: Construction Management																		
Project 2: Construction																		
Project 2: Construction Administration																		
Project 3: Local-to-state program (Heavy Metal and Materials)																		
Project 3: Design																		
Project 3: Planning																		
Project 3: Right of way																		
Project 3: Construction Management																		
Project 3: Construction																		
Project 3: Construction Administration																		
Project 4: Local-to-state program (Heavy Metal and Materials)																		
Project 4: Design																		
Project 4: Planning																		
Project 4: Right of way																		
Project 4: Construction Management																		
Project 4: Construction																		
Project 4: Construction Administration																		
Project 5: Local-to-state program (Heavy Metal and Materials)																		
Project 5: Design																		
Project 5: Planning																		
Project 5: Right of way																		
Project 5: Construction Management																		
Project 5: Construction																		
Project 5: Construction Administration																		
Project 6: Local-to-state program (Heavy Metal and Materials)																		
Project 6: Design																		
Project 6: Planning																		
Project 6: Right of way																		
Project 6: Construction Management																		
Project 6: Construction																		
Project 6: Construction Administration																		
Project 7: State of North Carolina																		
Project 7: Design																		
Project 7: Planning																		
Project 7: Right of way																		
Project 7: Construction Management																		
Project 7: Construction																		
Project 7: Construction Administration																		

Blue: Original **Pattern:** Not Viable **Yellow:** Prior Quarter Adjustments **Green:** Changes this quarter

- **A discussion on how the projected schedule compares to original or last reported schedule:**
 - None

7. Attachments:

1. Overall Work plan Tab D Project Element 1: Waterside slope flattening permit list
2. Overall Work plan Tab D Project Element 1A: Levee Landside Improvement – Sta 5+80 to 9+00
3. Updated Overall Work plan Tab D Project Element 2 & 3: Remaining Work permit list

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

Upper Yuba River Levee: Slope Flattening

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	STATUS/COMMENTS
Central Valley Flood Protection Board	Encroachment Permits	Yes	Encroachment Permit 18095-R1 GM CVFPB was signed on Sept 25, 2009
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	Navigable waterways not affected
Corps	Section 404 Permit	No	No jurisdictional features affected. Pg 3-26 IS/MND
Corps	Wetlands Delineation	No	No jurisdictional features affected. Pg 3-26 IS/MND
Corps	408 approval of project levee alteration	No	Corps did not require Section 408 Approval and approved work proposed in their Aug 7, 2006 Letter to the Reclamation Board. Work approved under Section 208
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	No	No 404 permit triggering 401 compliance.
RWQCB, Region 5	National Pollution Discharge Elimination System (NPDES) Permit per Section 402 of the Clean Water Act	Yes	Notice of Intent (NOI) and Storm water Pollution prevention Plan (SWPPP) was submitted and acceptance letter received Sept 2009
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	Contractor submitted required documentation prior to construction.
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	No	Project design and mitigation measures prevent take of threatened and endangered species.
National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	Project will have no affect on fishery resources and habitats.
California Department of Fish and Game (DFG)	California Endangered Species Act Compliance (2081)	No	Project design and mitigation measures prevent take of threatened and endangered species.

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	STATUS/COMMENTS
DFG	Streambed Alteration Agreement	Yes	TRLIA did obtain Streambed Alteration Agreement 2006-0311-R2 effective Aug 2006 and is valid until Nov. 1, 2011.
California State Lands Commission (SLC)	Encroachment Permit	No	All ground disturbances are above the Yuba River ordinary high water mark and outside SLC jurisdiction.
California Department of Forestry	Conversion of timberland to other uses.	No	No timberland conversion is required for the project.
The Resources Agency	Cancellation of Williamson Act Contract	No	No Williamson Act contract cancellations are required to implement the project.
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	No	Coordination with the NAHC has occurred and no known Native American sites or sensitive areas would be affected by the project
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	No	No known sensitive historic or cultural resources would be affected by the project.
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	RD 784 is one of the project sponsors and coordination with RD 784 regarding levee encroachments is ongoing.
Yuba County	Grading Permit	Yes	Issued Sept 25, 2009
State Mining and Geology Board (SMGB)	SMARA Permit	Yes	Will use current TRLIA SMARA permit (CA Mine #91-58-0026) that was issued Sept 22, 2009 for the Ella and Platter sites
CEQA	IS/EIR	Yes	IS/MND prepared and Record of Decision was filed on July 18, 2006.
NEPA	EA/EIS	No	No 404 permit triggering NEPA compliance
Section 104 Credit	Future federal projects cost sharing	Yes	Section 104 Credit for strengthening this reach of levee was approved by the Corps on July 5, 2005.

Attachment 2
Tab D: Project Element and Features Permits & Environmental Documents

Upper Yuba River Levee: Project Element 1A: Levee Landside Improvement – Sta 5+80 to 9+00

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	STATUS/COMMENTS
Central Valley Flood Protection Board	Encroachment Permits	Pending	Application for new Encroachment permit or modification of existing Slope Flattening Encroachment Permit 18095-R1 GM CVFPB is anticipated to be submitted by Spring 2012
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	Navigable waterways not affected
Corps	Section 404 Permit	No	No jurisdictional features affected. Pg 3-26 IS/MND
Corps	Wetlands Delineation	No	No jurisdictional features affected. Pg 3-26 IS/MND
Corps	408 approval of project levee alteration	No	Corps does not require Section 408 Approval for small repair to landside slope
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	No	No 404 permit triggering 401 compliance.
RWQCB, Region 5	National Pollution Discharge Elimination System (NPDES) Permit per Section 402 of the Clean Water Act	Yes	Notice of Intent (NOI) and Storm water Pollution prevention Plan (SWPPP) will be submitted
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	Contractor will submit required documentation prior to construction.

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	STATUS/COMMENTS
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	No	Project design and mitigation measures prevent take of threatened and endangered species.
National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	Project will have no affect on fishery resources and habitats.
California Department of Fish and Game (DFG)	California Endangered Species Act Compliance (2081)	No	Project design and mitigation measures prevent take of threatened and endangered species.
DFG	Streambed Alteration Agreement	No	Not needed. No streambed is impacted
California State Lands Commission (SLC)	Encroachment Permit	No	All ground disturbances are above the Yuba River ordinary high water mark and outside SLC jurisdiction.
California Department of Forestry	Conversion of timberland to other uses.	No	No timberland conversion is required for the project.
The Resources Agency	Cancellation of Williamson Act Contract	No	No Williamson Act contract cancellations are required to implement the project.
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	No	Coordination with the NAHC has occurred and no known Native American sites or sensitive areas would be affected by the project
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	No	No known sensitive historic or cultural resources would be affected by the project.
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	RD 784 is one of the project sponsors and coordination with RD 784 regarding levee encroachments is ongoing.
Yuba County	Grading Permit	Yes	To be obtained prior to Construction
State Mining and Geology Board (SMGB)	SMARA Permit	No	Contractor will use existing commercial sources as needed
CEQA	IS/EIR	Yes	An Addendum to the Waterside Slope Flattening IS/MND will be prepared by March 2012

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	STATUS/COMMENTS
NEPA	EA/EIS	No	No 404 permit triggering NEPA compliance
Section 104 Credit	Future federal projects cost sharing	No	ASA-CW denied May 5, 2011
Section 103 Credit	Credit under Section 2003	Yes	MOU signed between USACE and CVFPB on June 30, 2010

Attachment 3
Tab D: Project Element and Features Permits & Environmental Documents

Upper Yuba River Levee: Remaining Work

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	PROJECTED START and COMPLETION DATES
Central Valley Flood Protection Board	UYLIP Construction Encroachment Permit	Yes	<ul style="list-style-type: none"> • <i>CVFPB issued permit April 11, 2011 (# 18577 BD)</i>
Central Valley Flood Protection Board	PG&E Gas Line Modification	Yes	<ul style="list-style-type: none"> • Application submitted July 6, 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit application is still under consideration.
Central Valley Flood Protection Board	PG&E Power Line Raise	Yes	<ul style="list-style-type: none"> • Application submitted July 6, 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit application is still under consideration.

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	PROJECTED START and COMPLETION DATES
Central Valley Flood Protection Board	PG&E Relocate Power Line	Yes	<ul style="list-style-type: none"> Application submitted July 6 2011. Modification approved by CVFPB Letter of Authorization dated June 17, 2011. Permit application is still under consideration.
Central Valley Flood Protection Board	LCWD Water Main Modification	Yes	<ul style="list-style-type: none"> Application submitted August 2, 2011. Modification approved by CVFPB Letter of Authorization dated July 28, 2011. Permit application is still under consideration.
Central Valley Flood Protection Board	Anderson Elderberry Site Encroachment Permit	Yes	<ul style="list-style-type: none"> CVFPB Approved January 28, 2011; issued February 7, 2010
U.S. Army Corps of Engineers (Corps)	Section 10 Permit	No	<ul style="list-style-type: none"> Navigable waterways not affected
Corps	Section 404 Permit	No	<ul style="list-style-type: none"> Project is above the OHWM No permit required letter received from Corps on June 7, 2010.
Corps	Wetlands Delineation	Yes	<ul style="list-style-type: none"> Wetland Delineation Report submitted to Corps February 2010
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> Request to CVFCB to Initiate 408 Environmental Process June 2009 HQs Approval December 22, 2010 <i>District Permission letter issued March 24, 2011</i>
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	No	<ul style="list-style-type: none"> Project is above the OHWM and no sediment will discharge to waters of California No 404 permit triggering 401 compliance.
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"> Application June 2010 Permit Received July 26, 2010
Feather River Air Quality Management District (FRAQMD)	Authority to Construct	Yes	<ul style="list-style-type: none"> Carl Moyer Mitigation Letter received December 2009 Submission of BMP's March/April 2010 <i>Authority issued June 2011</i>

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	PROJECTED START and COMPLETION DATES
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Yes	<ul style="list-style-type: none"> Draft Biological Assessment prepared and submitted to the Corps for review and initiation of Consultation April 2010 BO issued August 16, 2010
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Pending	<ul style="list-style-type: none"> F&WS is amending B.O. to include dormant season elderberry shrub transplant <i>Amendment issued in August 2011</i>
National Marine Fisheries Service (NMFS)	Endangered Species Act Compliance	No	<ul style="list-style-type: none"> The project will avoid take of listed fish species
California Department of Fish and Game (DFG)	California Endangered Species Act Compliance (2081)	No	<ul style="list-style-type: none"> Project design and mitigation measures prevent take of threatened and endangered species
DFG	Streambed Alteration Agreement	No	<ul style="list-style-type: none"> All ground disturbances are above the Yuba River ordinary high water mark and no alterations to the streambed will occur.
California State Lands Commission (SLC)	Encroachment Permit	No	<ul style="list-style-type: none"> All ground disturbances are above the Yuba River ordinary high water mark and outside SLC jurisdiction.
California Department of Forestry	Conversion of timberland to other uses.	No	<ul style="list-style-type: none"> No timberland conversion is required for the project.
The Resources Agency	Cancellation of Williamson Act Contract	No	<ul style="list-style-type: none"> No Williamson Act contract cancellations are required to implement the project.
California Department of Transportation (Caltrans)	Encroachment on or across a State highway	No	<ul style="list-style-type: none"> Project facilities do not encroach onto a State highway. However, construction equipment will likely use State Route 70 (SR 70).
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	Yes	<ul style="list-style-type: none"> HDR on behalf of TRLIA contacted NAHC on November 25, 2009 NAHC responded on December 3, 2009 with negative results for its search of the Sacred Lands File; no further action necessary

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	PROJECTED START and COMPLETION DATES
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	Yes	<ul style="list-style-type: none"> • SHPO issued no adverse impact determination on Sep 10, 2010
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> • Encroachment Permit Application anticipated to be signed March/April 2010
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> • Permit issued November 2010
State Mining and Geology Board (SMGB)	SMARA Permit	No	<ul style="list-style-type: none"> • Received SMGB exemption letter on May 18, 2010 • Current approach is to use on site borrow site (exempt from SMARA) and also make the contractor provide additional soil from commercial site.
CEQA	IS/MND	Yes	<ul style="list-style-type: none"> • Initiation June 2009 • CEQA IS/MND Approved April 20, 2010
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> • First Admin Draft EA submitted to Corps February 2010 • EA/FONSI signed December 29, 2010
Section 104 Credit	Future federal projects cost sharing	Yes	<ul style="list-style-type: none"> • Application March/April 2010 • <i>ASA-CW denied May 5, 2011</i>
Section 103 Credit	Credit under Section 2003	Yes	<ul style="list-style-type: none"> • MOU signed between USACE and CVFPB on June 30, 2010

