



**TRLIA**  
**13<sup>th</sup> QUARTERLY WORK PLAN**  
**FOR**  
**UPPER YUBA RIVER LEVEE**  
**IMPROVEMENT PROJECT**

1. 13<sup>th</sup> Quarterly Work plan for quarter: October 1 to December 31, 2012
2. Date of Report: August 30, 2012
3. 13<sup>th</sup> Quarter Work Plan:

<b>Quarterly Work Plan Summary</b>				
<b>Description</b>	<b>State Share</b>	<b>Local Share</b>	<b>Total</b>	<b>Local Credit Applied</b>
Element 7 - Land Acquisition	\$70,000	\$30,000	\$100,000	\$0
Elements 1 through 6	\$446,823	\$191,496	\$638,319	\$191,496
<b>Total</b>	<b>\$516,823</b>	<b>\$221,496</b>	<b>\$738,319</b>	<b>\$191,496</b>

4.

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

<b>Quarterly State Share Advance Summary for Non-Real Estate Activity</b>	
<b>75% of State Share Elements 1 through 6</b>	\$335,117
<b>plus/minus State Share true-up for Prior Quarters [1]</b>	\$1,806,166
<b>Total Advance for State Share at Start of 13<sup>th</sup> Quarter</b>	<b>\$2,141,284</b>

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

<b>Quarterly Local Credit Summary for Non-Real Estate Activity</b>	
<b>Local Credit Elements 1 through 6</b>	\$191,496
<b>plus/minus Local Credit true-up for Prior Quarters [1]</b>	\$705,035
<b>Total Advance for Local Credit at Start of 13<sup>th</sup> Quarter</b>	<b>\$896,531</b>

[1] See Reconciliation of Prior State Funding.

**Reconciliation of State Advance Funding for Construction**

**As of 12th Quarter - State Share: Based on 11<sup>th</sup> QPR plus 12<sup>th</sup> QWP**  
**(as adjusted for schedule and other factors)**

Total Non-Real Estate / Non-Creditable Expenses (Elements 1 - 6) Through 11th Quarter [1]	\$17,832,055
12th Quarter Total Forecasted Expenses [2]	\$931,852
<b>Total Expenses through 12<sup>th</sup> Quarter</b>	<b>\$18,763,908</b>
State Share True-Up Calculations	
Total State Share of Above Expenses	\$12,978,136
Total State Funding Due (net of 10% Retention on Prior Expenses)	<b>\$11,680,322</b>
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
9th Quarter True-Up	\$429,363
11th Quarter Advance	\$476,664
Total State Share Funding Received and in Process	<b>\$9,874,156</b>
<b>Estimated State Share Construction Funding Due through 12th Quarter</b>	<b>\$1,806,166</b>

**As of 12th Quarter - Local Share: Based on 11<sup>th</sup> QPR plus 12<sup>th</sup> QWP**  
**(as adjusted for schedule and other factors)**

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$5,769,027
Total Local Funding Credit Due	<b>\$5,769,027</b>
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	<b>\$5,063,992</b>
<b>Local Credit Due through 12th Quarter</b>	<b>\$705,035</b>

[1] 11th Quarter QPR Costs Subject to review by DWR.

[2] 12th 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 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. 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.

- **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: Completed. Final design was completed in July 2012.
- Feature 2 Permitting: Completed
  - ✓ See Attachment 2 for added Permit listing.

- Feature 3 Right of Way Support: TRLIA will continue work on this feature during the 13<sup>th</sup> Quarter. See Element 7 below for detailed information.
    - Real Estate offers: None anticipated.
    - Relocation plan efforts during the quarter:
      - ✓ Jason Allen operates the Hayes' Country Village RV Park ("Park") on APN 021-410-001. TRLIA's proposed acquisition of fee title to 0.351 acres of this property will result in the displacement of tenants at the property. On May 30, 2012, Conditional Entitlement Letters and 90 Day Informational Notices were sent to Park residents impacted by the Project who are eligible for relocation assistance.
      - ✓ During the 11<sup>th</sup> and 12<sup>th</sup> Quarters, TRLIA's Relocation Advisors worked with the Park residents impacted by the Project to help them find replacement housing. TRLIA anticipates that all impacted Park residents will have been relocated by the end of September 2012. TRLIA's Relocation Advisors will continue working with Park residents to submit relocation claims during the 13<sup>th</sup> Quarter.
    - Appraisal Actions to acquire the 20' access corridor: None.
  - Feature 4 Construction Management:
    - Work is planned this quarter this quarter. Construction start is anticipated to begin in September 2012 and complete by the end of October.
  - Feature 5 Construction:
    - Project is anticipated to be awarded in September 2012 and under construction thru October 2012.
    - Construction Notice to Proceed could occur in mid September 2012, if CVFPB encroachment permit is issued and site trailer residents have been relocated.
  - Feature 6: O&M Manual: Work is anticipated begin in the 13<sup>th</sup> quarter. This effort 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 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.

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

- Feature 2.3 Preliminary Design: Completed in the 2<sup>nd</sup> Quarter
- Feature 2.4 Permit Preparation: 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. See Element 7 below for detailed information.
- Feature 1 Design: Work is completed on this feature.
- Feature 2 Permitting: See Attachment 3 for list of permits. Key items are listed below.
  - CVFPB Encroachment Permits:
    - ✓ During the 13<sup>th</sup> quarter TRLIA will support PG&E and LCWD, as needed, when their permits are considered at CVFPB meetings. The date for when the CVFPB will consider these items is unknown.
    - ❖ 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.
- Evaluation of the State's Interim Levee 200-year Design Criteria will continue in the 13<sup>th</sup> quarter.
- Feature 3 Right of Way: 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: Construction Management of the UYLIP project will continue the 13<sup>th</sup> quarter to close out punch list items.
- Feature 5 Environmental Mitigation:
  - During the 13<sup>th</sup> 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. TRLIA will meet and discuss monitoring results to date and need to continue well monitoring.
  - During the 13<sup>th</sup> quarter TRLIA and the UYLIP contractor will finalize Air Quality impacts with the FRAQMD and mitigate as needed. Air Quality impacts were not finalized in the 12<sup>th</sup> quarter as shown in the last Quarterly Work Plan.
  - TRLIA continued to coordinate with the CVFPB regarding the additional elderberry seedling plantings encroachment permit for the Anderson Mitigation Site during the 12<sup>th</sup> quarter.

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 15<sup>th</sup>. 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 15<sup>th</sup>. On October 21, 2011 TRLIA informed the CVFPB that additional elderberry seedling plantings were required by the revised BO. CVFPB by email dated November 9, 2011 has asked TRLIA to submit an additional permit application for the new proposed seedling plantings. TRLIA submitted an encroachment permit application for the additional seedling plantings on April 11, 2012. By letter dated May 18, 2012 the CVFPB stated the application was incomplete and requested additional hydraulic impact analysis information. Additional information was supplied to the CVFPB by email on May 29, 2012.

TRLIA coordinated with CVFPB and was told that additional hydraulic information was adequate. TRLIA resubmitted the revised encroachment permit application in the 11<sup>th</sup> quarter. No additional contact from the CVFPB regarding this permit has been made.

- Feature 6 O&M Manual Addendum: Work will be performed in this feature during the 13<sup>th</sup> quarter.

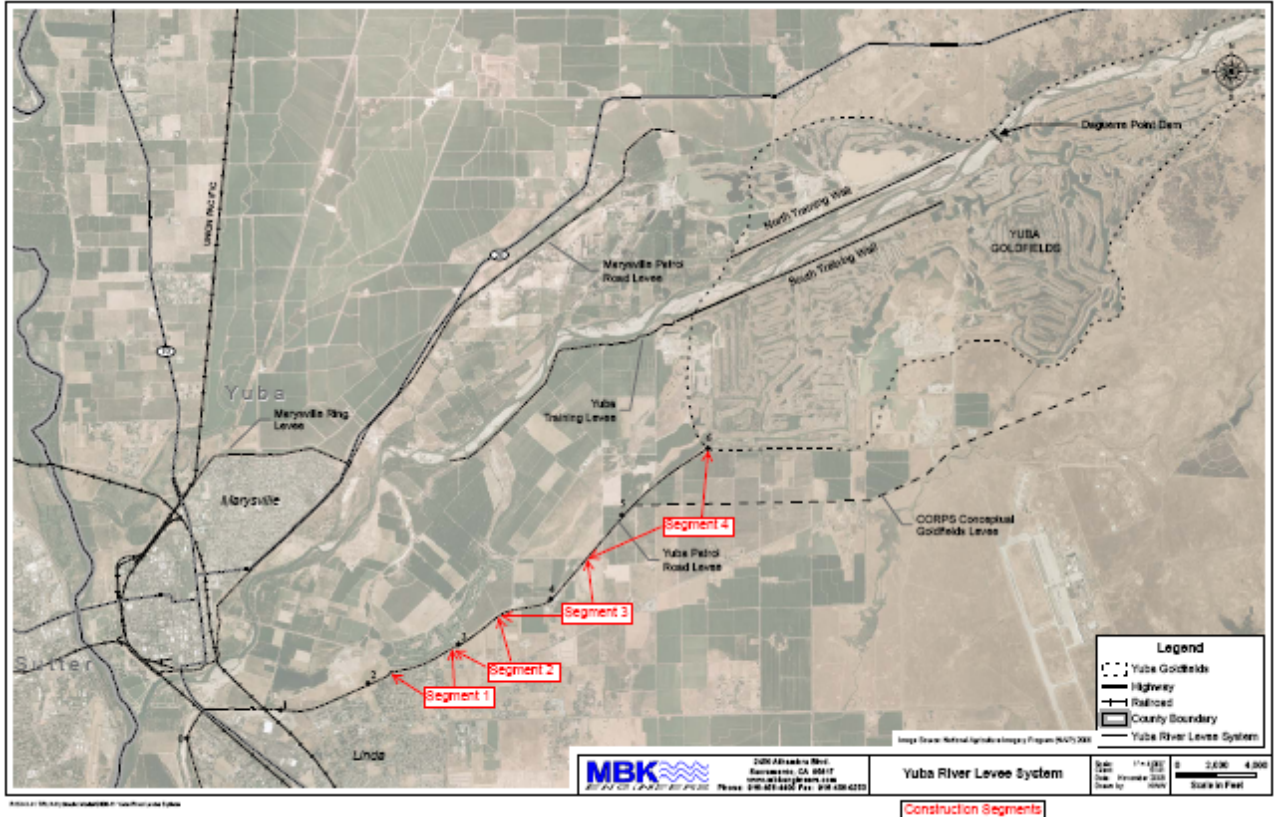
➤ **Element 4:Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Sta 102+50 to 303+59**

- Feature 1 Construction: Completed during the 12<sup>th</sup> quarter. No construction work is planned for the 13<sup>th</sup> quarter.
  - 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
Segment 2	Station 136+50 to 163+50	Cutoff Wall to Dantoni Road
Segment 3	Station 163+50 to 220+00	Cutoff Wall Dantoni to Past Dan Luis Parcel
Segment 4	Station 220+00 to 303+59	Cutoff Wall, Seepage Berm, & Erosion Protection Dan Luis Parcel to End of Project

## ❖ 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 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.

### ➤ **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 13th quarter (October to December 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)	\$26,850	\$16,477.00 for mitigation of certain project impacts	\$3864.43
15, 16	14062 14062	YCSCCVED 10-0000977 (Bains)	\$23,300		
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	
48		YCSCCVED 12-0000435 (Jason G. Allen)	\$155,100		See 1 below

1. Jason Allen operates the Hayes’ Country Village RV Park (“Park”) on APN 021-410-001. TRLIA’s proposed acquisition of fee title to 0.351 acres of this property will result in the displacement of tenants at the property. Accordingly, on February 21, 2012, the TRLIA Board approved a Relocation Impact Statement and Last Resort Housing Plan for the Upper Yuba Levee

Improvement Project (“Relocation Plan”), which considers only the impact of the Ypper Yuba Levee Improvement Project on the Park. Between March and June of 2012, Park residents impacted by the Project were sent Notices of Eligibility for relocation assistance, Conditional Entitlement Letters, and 90-Day Informational Notices. We anticipate that tenant relocations from the Park will be completed in the 12<sup>th</sup> Quarter.

- ✓ 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. &amp; 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. &amp; 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	Morris	\$6,600	5008315-PA (9/20/10)	See 2 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

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Deposit into Escrow</u>	<u>Escrow No. &amp; Date Opened</u>	<u>Escrow Close Date</u>
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
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 3 below

2. Fannie Mae foreclosed on property and Wilkey no longer owns it. The property has been purchased by Morris. TRLIA anticipates reappraisal completed in 12<sup>th</sup> Quarter, and offer will be made to new owner in 12<sup>th</sup> or 13<sup>th</sup> Quarter.
3. 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. On April 17, 2012, the TRLIA Board adopted Resolution No. 2012-02 authorizing TRLIA to acquire the necessary property from Willis by condemnation. TRLIA worked in 12<sup>th</sup> Quarter to close escrow with Mr. and Mrs. Willis. TRLIA may need to file a condemnation action.

✓ 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. 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	Appraisal was completed and offer was made in 10 <sup>th</sup> Quarter. Resolution of Necessity was adopted on May 22, 2012. We anticipate filing a condemnation action in the 12 <sup>th</sup> Quarter.
34	14050	Western Aggregates, LLC;	Appraisal was completed in 10 <sup>th</sup> Quarter. We anticipate that offer may be made in the 13 <sup>th</sup> Quarter.
42	14074	Dunning Properties, LLC	Appraisal was completed in 10 <sup>th</sup> Quarter. We anticipate that offer may be made in the 13 <sup>th</sup> Quarter.
35	14050	Western Aggregates, Inc.	Appraisal was completed in 10 <sup>th</sup> Quarter. We anticipate that offer may be made in the 13 <sup>th</sup> Quarter.

<u>TRLIA Tracking #</u>	<u>CVFPB Parcel #</u>	<u>Owner</u>	<u>Status</u>
43		Orchard Growers	Appraisal was completed in 10 <sup>th</sup> Quarter. Offer was made in the 12 <sup>th</sup> Quarter.
44		Dunning Brothers Company, a corporation	Appraisal was completed in 10 <sup>th</sup> Quarter. We anticipate that offer may be made in the 13 <sup>th</sup> Quarter.
45		Richard G. Wilbur Trust	Appraisal was completed in 10 <sup>th</sup> Quarter. Offer on hold pending resolution of access across levee.
46		Western Aggregates, LLC; et al.	Appraisal was completed in 10 <sup>th</sup> Quarter. We anticipate that offer may be made in the 13 <sup>th</sup> Quarter.
47		Federal Fruit Distributors, a corporation	Appraisal was completed and offer was made in 10 <sup>th</sup> Quarter. Resolution of Necessity was adopted on May 22, 2012. We anticipate filing a condemnation action in the 12 <sup>th</sup> 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.

- **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.);**

- Project Element 1A Feature 1: Project Element 1a construction will be completed.

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

➤ Issue: None

Recommended Solution:

- **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
- **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

**5. Cost Information by Project Element:**

With the 5<sup>th</sup> 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 6<sup>th</sup> QWP, TRLIA submitted a Revised Overall Work Plan Budget that made some corrections to the budget submitted as part of the 5<sup>th</sup> QWP. With the 9<sup>th</sup> 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 9<sup>th</sup> 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 12<sup>th</sup> quarter as the Element is complete. Construction was completed in November, 2009. Upon completion of the 9<sup>th</sup> 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 9<sup>th</sup> Quarter. TRLIA expects to continue work on Permitting and Right of Way activities in the 13<sup>th</sup> Quarter, and weather permitting, continue construction in the 13<sup>th</sup> quarter. TRLIA plans to expend approximately \$216,000 during the 13<sup>th</sup> Quarter. Permitting and Design costs have exceeded the original budgets for this item, however the

overall costs to date for Element are projected to be 83% of the overall budget. TRLIA will evaluate the overall budget for the Element and present an adjusted budget upon the submission of the Quarterly Progress Report for the 12<sup>th</sup> quarter and make any adjustments necessary to the budget at that time. TRLIA will allocated available budget from Element 3 which is expected to have cost savings available in the Permitting Budget for that Element.

➤ **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 12<sup>th</sup> QWP. Upon completion of the 11<sup>th</sup> 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 5<sup>th</sup> 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 13<sup>th</sup> 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 \$282,000. This amount, in conjunction with estimated prior expenses furthering Element 3 efforts, will result in having expended roughly 87% (\$8.65 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 \$54,000 this quarter which would represent the balance of the contract being paid. At the completion of the Quarter, TRLIA expects to have expended approximately 84% (\$8.2 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 \$85,000 of Overhead and Admin

expenses in the quarter. After the quarter is complete, TRLIA will have expended roughly 59% 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 84% 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 13<sup>th</sup> Quarter Work Plan:

<b>Quarterly Work Plan Summary</b>				
<b>Description</b>	<b>State Share</b>	<b>Local Share</b>	<b>Total</b>	<b>Local Credit Applied</b>
Element 7 - Land Acquisition	\$70,000	\$30,000	\$100,000	\$0
Elements 1 through 6	\$446,823	\$191,496	\$638,319	\$191,496
<b>Total</b>	<b>\$516,823</b>	<b>\$221,496</b>	<b>\$738,319</b>	<b>\$191,496</b>

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

<b>Quarterly State Share Advance Summary for Non-Real Estate Activity</b>	
<b>75% of State Share Elements 1 through 6</b>	\$335,117
<b>plus/minus State Share true-up for Prior Quarters [1]</b>	\$1,806,166
<b>Total Advance for State Share at Start of 13<sup>th</sup> Quarter</b>	<b>\$2,141,284</b>

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

<b>Quarterly Local Credit Summary for Non-Real Estate Activity</b>	
<b>Local Credit Elements 1 through 6</b>	\$191,496
<b>plus/minus Local Credit true-up for Prior Quarters [1]</b>	\$705,035
<b>Total Advance for Local Credit at Start of 13<sup>th</sup> Quarter</b>	<b>\$896,531</b>

[1] See Reconciliation of Prior State Funding.

**Reconciliation of State Advance Funding for Construction**

**As of 12th Quarter - State Share: Based on 11<sup>th</sup> QPR plus 12<sup>th</sup> QWP**  
(as adjusted for schedule and other factors)

Total Non-Real Estate / Non-Creditable Expenses (Elements 1 - 6) Through 11th Quarter [1]	\$17,832,055
12th Quarter Total Forecasted Expenses [2]	\$931,852
<b>Total Expenses through 12<sup>th</sup> Quarter</b>	<b>\$18,763,908</b>
State Share True-Up Calculations	

Total State Share of Above Expenses	\$12,978,136
Total State Funding Due (net of 10% Retention on Prior Expenses)	<b>\$11,680,322</b>
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
9th Quarter True-Up	\$429,363
11th Quarter Advance	\$476,664
Total State Share Funding Received and in Process	<b>\$9,874,156</b>
<b>Estimated State Share Construction Funding Due through 12th Quarter</b>	<b>\$1,806,166</b>



**As of 12th Quarter - Local Share: Based on 11<sup>th</sup> QPR plus 12<sup>th</sup> QWP  
(as adjusted for schedule and other factors)**

<b>Local Share True-Up Calculations</b>	
Local Share of Above Forecasted Expenses	\$5,769,027
<b>Total Local Funding Credit Due</b>	<b>\$5,769,027</b>
<b>Funding To Date</b>	
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
<b>Total Credit Funding Received</b>	<b>\$5,063,992</b>
<b>Local Credit Due through 12th Quarter</b>	<b>\$705,035</b>

[1] 11th Quarter QPR Costs Subject to review by DWR.

[2] 12th Quarter Forecasted Expenses adjusted for actual expenses.

- **The following tables present Element and Feature level details for the 13th Quarterly Work Plan.**

## Summary of TRLIA Quarterly Work Plan Budget

### Upper Yuba

For Period July/August/September 2012

#### 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%		
<b>Quarterly Advance Request Elements (Not Including Real Estate)</b>															
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	\$145,324	\$101,727	\$43,597	\$334,676	\$234,273	\$100,403	\$201,875	\$141,312	\$60,562	\$105,984		
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	\$8,471,531	\$5,930,071	\$2,541,459	\$1,404,637	\$993,246	\$411,391	\$238,333	\$166,833	\$71,500	\$125,125		
Element 4: Levee Improvements Construction	\$9,800,000	\$6,924,000	\$2,876,000	\$8,252,300	\$5,776,610	\$2,475,690	\$1,547,700	\$1,147,390	\$400,310	\$364,157	\$254,910	\$109,247	\$191,182		
Element 6: Admin & Overhead	\$4,456,913	\$3,119,839	\$1,337,074	\$2,379,011	\$1,665,308	\$713,703	\$2,077,902	\$1,454,532	\$623,371	\$127,487	\$89,241	\$38,246	\$66,931		
<b>Sub-Total Elements 1 through 4 &amp; 6</b>	<b>\$26,662,000</b>	<b>\$18,528,417</b>	<b>\$8,133,583</b>	<b>\$21,036,379</b>	<b>\$14,512,455</b>	<b>\$6,523,925</b>	<b>\$5,625,621</b>	<b>\$4,015,963</b>	<b>\$1,609,658</b>	<b>\$931,852</b>	<b>\$652,297</b>	<b>\$279,556</b>	<b>\$489,223</b>		
<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						
<b>Real Estate Forecast for Quarter</b>															
Element 7: Land Acquisition	\$3,302,095	\$2,311,467	\$990,629	Cumulative Estimated Expenses (through December)			\$2,191,715	\$1,534,200	\$657,514	\$1,110,380	\$777,266	\$333,114	\$447,043	\$312,930	\$134,113
<b>Subtotal Real Estate Forecast</b>	<b>\$3,302,095</b>	<b>\$2,311,467</b>	<b>\$990,629</b>	<b>\$2,191,715</b>	<b>\$1,534,200</b>	<b>\$657,514</b>	<b>\$1,110,380</b>	<b>\$777,266</b>	<b>\$333,114</b>	<b>\$447,043</b>	<b>\$312,930</b>	<b>\$134,113</b>			
<b>Quarterly Advance Calculation</b>							<b>Local Credit Reconciliation</b>								
75% of State Share of Eligible Elements	\$489,223			Total Local Share of Eligible Expenses this Quarter			\$279,556 (From Above)								
plus Local Share Subject to Credit	\$279,556			Estimated Total Local Credit			\$6,619,616 (Approved Local Credit Amount)								
<b>Total</b>	<b>\$768,778</b>			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								
				Cumulative Prior Credit Due			\$901,264								
				Requested Local Credit to be Paid with Advance			\$279,556 (No Local Credit Advance Due to True-Up)								
				Credit Remaining After Advance			\$374,804								

\*12QYubaSumm"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary

TRLIA Quarterly Work Plan Budget  
Upper Yuba

For Period July/August/September 2012

**ELEMENT 1**

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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	
<b>Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50</b>															
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%
<b>Subtotal Element 1</b>		<b>\$1,004,007</b>	<b>\$702,805</b>	<b>\$301,202</b>	<b>\$723,160</b>	<b>\$506,212</b>	<b>\$216,948</b>	<b>\$280,847</b>	<b>\$196,593</b>	<b>\$84,254</b>	<b>28%</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0%</b>

"12QYubaElem1"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.

TRLIA Quarterly Work Plan Budget  
Upper Yuba

For Period July/August/September 2012

ELEMENT 1A

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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	
<b>Element 1A: Land Side Levee Improvement</b>															
<b>- Sta 7+00 to 8+20 (Shadpad Road)</b>															
1A.1: Design	70%	\$40,000	\$28,000	\$12,000	\$51,067	\$35,747	\$15,320	-\$11,067	-\$7,747	-\$3,320	-28%	\$0	\$0	\$0	0%
1A.2: Permitting	70%	\$25,000	\$17,500	\$7,500	\$34,257	\$23,980	\$10,277	-\$9,257	-\$6,480	-\$2,777	-37%	\$15,000	\$10,500	\$4,500	-162%
1A.3: Right of Way	70%	\$225,000	\$157,500	\$67,500	\$60,000	\$42,000	\$18,000	\$165,000	\$115,500	\$49,500	73%	\$84,375	\$59,063	\$25,313	51%
1A.4: Construction Management	70%	\$50,000	\$35,000	\$15,000	\$0	\$0	\$0	\$50,000	\$35,000	\$15,000	100%	\$35,000	\$24,500	\$10,500	70%
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%
<b>Subtotal Element 2</b>		<b>\$480,000</b>	<b>\$336,000</b>	<b>\$144,000</b>	<b>\$145,324</b>	<b>\$101,727</b>	<b>\$43,597</b>	<b>\$334,676</b>	<b>\$234,273</b>	<b>\$100,403</b>	<b>70%</b>	<b>\$201,875</b>	<b>\$141,312</b>	<b>\$60,562</b>	<b>60%</b>

"12QYubaElem1A"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.

TRLIA Quarterly Work Plan Budget  
Upper Yuba

For Period July/August/September 2012

ELEMENT 2

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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)														
<b>Element 2: Levee Improvements (Slurry Wall &amp; Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts</b>															
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%
<b>Subtotal Element 2</b>		<b>\$1,044,913</b>	<b>\$522,456</b>	<b>\$522,456</b>	<b>\$1,065,054</b>	<b>\$532,527</b>	<b>\$532,527</b>	<b>-\$20,141</b>	<b>-\$10,070</b>	<b>-\$10,070</b>	<b>-2%</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0%</b>

"12QYubaElem2"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.

## TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2012

**ELEMENT 3**

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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 = a x b Based on Overall Workplan	d = b - c	e	f = a x e	g = e - f	h = b - e	i = e - f	j = d - g	k	l = a x k	m = k - l		
<b>Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work - Sta 102+50 to 303+59</b>															
4.1 - Construction	70%	\$9,800,000	\$6,924,000	\$2,876,000	\$8,252,300	\$5,776,610	\$2,475,690	\$1,547,700	\$1,147,390	\$400,310	16%	\$364,157	\$254,910	\$109,247	24%
<b>Subtotal Element 3</b>		<b>\$9,800,000</b>	<b>\$6,924,000</b>	<b>\$2,876,000</b>	<b>\$8,252,300</b>	<b>\$5,776,610</b>	<b>\$2,475,690</b>	<b>\$1,547,700</b>	<b>\$1,147,390</b>	<b>\$400,310</b>	<b>16%</b>	<b>\$364,157</b>	<b>\$254,910</b>	<b>\$109,247</b>	<b>24%</b>
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	\$2,255,641	\$1,578,949	\$676,692	\$255,126	\$178,588	\$76,538	10%	\$120,000	\$84,000	\$36,000	47%
3.1: Final Design	70%	\$2,279,307	\$1,605,515	\$673,792	\$2,216,816	\$1,551,771	\$665,045	\$62,491	\$53,744	\$8,747	3%	\$0	\$0	\$0	0%
[1] Revised per the Upper Yuba 9th Quarterly Work Plan	70%	\$702,461	\$491,723	\$210,738	\$79,264	\$55,484	\$23,779	\$623,198	\$436,238	\$186,959	89%	\$30,000	\$21,000	\$9,000	5%
[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.	70%	\$2,175,000	\$1,522,500	\$652,500	\$2,137,552	\$1,522,938	\$614,614	\$198,709	\$142,494	\$56,215	11%	\$150,000	\$105,000	\$45,000	30%
3.5: Environmental Mitigation	70%	\$415,091	\$290,564	\$124,527	\$311,580	\$218,106	\$93,474	\$103,511	\$72,458	\$31,053	25%	\$28,333	\$19,833	\$8,500	27%
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%	\$10,000	\$7,000	\$3,000	6%
<b>Subtotal Element 3</b>		<b>\$9,876,168</b>	<b>\$6,923,317</b>	<b>\$2,952,850</b>	<b>\$8,471,531</b>	<b>\$5,930,071</b>	<b>\$2,541,459</b>	<b>\$1,404,637</b>	<b>\$993,246</b>	<b>\$411,391</b>	<b>14%</b>	<b>\$238,333</b>	<b>\$166,833</b>	<b>\$71,500</b>	<b>17%</b>

"12QYubaElem3"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.

TRLIA Quarterly Work Plan Budget  
Upper Yuba

For Period July/August/September 2012

ELEMENT 5

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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	
<b>Element 5: Prior Completed Work</b>															
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%
<b>Subtotal Element 5</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>-27%</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0%</b>

"12QYubaElem5"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.

## TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2012

### ELEMENT 6

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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	
<b>support, community relations support, land management</b>															
6.1 - TRLIA Salaries/Benefits	70%	\$1,270,714	\$889,500	\$381,214	\$623,043	\$436,130	\$186,913	\$647,671	\$453,369	\$194,301	51%	\$62,513	\$43,759	\$18,754	10%
6.2 - TRLIA Consultant Exp.	70%	\$1,260,377	\$882,264	\$378,113	\$933,366	\$653,356	\$280,010	\$327,011	\$228,908	\$98,103	26%	\$27,579	\$19,305	\$8,274	8%
6.3 - TRLIA Legal Support	70%	\$1,044,235	\$730,964	\$313,270	\$378,691	\$265,083	\$113,607	\$665,544	\$465,881	\$199,663	64%	\$31,256	\$21,879	\$9,377	5%
6.4 - TRLIA Travel Expenses	70%	\$9,992	\$6,995	\$2,998	\$429	\$300	\$129	\$9,563	\$6,694	\$2,869	96%	\$184	\$129	\$55	2%
6.5 - TRLIA General Expenses	70%	\$356,643	\$249,650	\$106,993	\$97,891	\$68,523	\$29,367	\$258,753	\$181,127	\$77,626	73%	\$5,516	\$3,861	\$1,655	2%
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	\$11,162	\$7,813	\$3,349	\$15,552	\$10,886	\$4,666	58%	\$440	\$308	\$132	3%
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%
<b>Subtotal Element 6</b>		<b>\$4,456,913</b>	<b>\$3,119,839</b>	<b>\$1,337,074</b>	<b>\$2,379,011</b>	<b>\$1,665,308</b>	<b>\$713,703</b>	<b>\$2,077,902</b>	<b>\$1,454,532</b>	<b>\$623,371</b>	<b>47%</b>	<b>\$127,487</b>	<b>\$89,241</b>	<b>\$38,246</b>	<b>6%</b>

"12QYubaElem6"

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.



TRLIA Quarterly Work Plan Budget  
Upper Yuba  
For Period July/August/September 2012

ELEMENT 7

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2012) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	12th 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	
<b>Element 7: Right of Way Capital</b>															
7-3.3 - Right of Way Capital	70%	\$3,302,095	\$2,311,467	\$990,629	\$2,191,715	\$1,534,200	\$657,514	\$1,110,380	\$777,266	\$333,114	34%	\$447,043	\$312,930	\$134,113	40%
<b>Subtotal Element 7</b>		<b>\$3,302,095</b>	<b>\$2,311,467</b>	<b>\$990,629</b>	<b>\$2,191,715</b>	<b>\$1,534,200</b>	<b>\$657,514</b>	<b>\$1,110,380</b>	<b>\$777,266</b>	<b>\$333,114</b>	<b>34%</b>	<b>\$447,043</b>	<b>\$312,930</b>	<b>\$134,113</b>	<b>40%</b>

\*12QYubaElem7\*

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

[2] Reflects estimated expenses through the 11th Quarter based on prior actual expenses through March 31, 2012 (10th QPR) and estimated of expenses from April to June, 2012 based on the 11th Quarterly Work Plan with any necessary adjustments.



- **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**

<b>PERMITTING AGENCY</b>	<b>PERMIT</b>	<b>PERMIT NEEDED (Y/N)</b>	<b>STATUS/COMMENTS</b>
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.
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**

<b>PERMITTING AGENCY</b>	<b>PERMIT</b>	<b>PERMIT NEEDED (Y/N)</b>	<b>STATUS/COMMENTS</b>
Central Valley Flood Protection Board	Encroachment Permits	Yes	<i>Application for Encroachment was submitted February 8, 2012 CVFPB approved permit at August 24, 2012 meeting</i>
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.
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	UYLIP CEQA addendum approved by TRLIA Board on January 17, 2012
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**

<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. Permit application is still under consideration.</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 application is still under consideration.</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 application is still under consideration.</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 July 28, 2011. Permit application is still under consideration.</li> </ul>
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	<i>Pending</i>	<ul style="list-style-type: none"> <li>Additional CVFPB elderberry encroachment permit applied for April 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	<i>Yes</i>	<ul style="list-style-type: none"> <li>Request to CVFCB to Initiate 408</li> </ul>



	levee alteration		<p>Environmental Process June 2009</p> <ul style="list-style-type: none"> <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)	Pending	<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</li> </ul>

			implement the project.
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>