



TRLIA
16th QUARTERLY WORK PLAN
FOR
UPPER YUBA RIVER LEVEE
IMPROVEMENT PROJECT

1. 16th Quarterly Work plan for quarter: July 1 to September 30, 2013
2. Date of Report: June 29, 2013
3. 16th Quarter Work Plan:

Quarterly Work Plan Summary				
Description	State Share	Local Share	Total	Local Credit Applied
Element 7 - Land Acquisition	\$0	\$0	\$0	\$0
Elements 1 through 4, 6, 8 & 9	\$483,408	\$207,175	\$690,583	\$207,175
Total	\$483,408	\$207,175	\$690,583	\$207,175

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

Quarterly State Share Advance Summary for Non-Real Estate Activity	
75% of State Share Elements 1 through 6, 8 & 9	\$308,359
plus/minus State Share true-up for Prior Quarters [1]	\$868,872
Total Advance for State Share at Start of 16th Quarter	\$1,231,428

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

Quarterly Local Credit Summary for Non-Real Estate Activity	
Local Credit Elements 1 through 6, 8 & 9	\$207,175
plus/minus Local Credit true-up for Prior Quarters [1]	\$804,134
Total Advance for Local Credit at Start of 16th Quarter	\$1,011,309

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction

**As of 15th Quarter - State Share: Based on 14th QPR plus 15th QWP
(as adjusted for schedule and other factors)**

Total Non-Real Estate Non-Creditable Expenses (Elements 1 – 6, 8 & 9) through 14th Quarter [1]	\$21,024,762
15th Quarter Total Non-Real Estate Forecasted Expenses [2]	\$587,349
Total Expenses Forecasted through 14th Quarter	\$21,612,112
State Share True-Up Calculations	
Total State Share of Above Expenses	\$14,886,819
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$13,398,137
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
10th Quarter True-Up	\$719,915
11th Quarter Advance	\$476,664
11th Quarter True-Up	\$582,451
12th Quarter True-Up	\$277,671
13th Quarter True-Up	\$1,075,072
Total State Share Funding Received	\$12,529,265
Estimated State Share Construction Funding Due as of 15th Quarter	\$868,872

**As of 14th Quarter - Local Share: Based on 14th QPR plus 15th QWP
(as adjusted for schedule and other factors)**

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$6,380,065
Total Local Funding Credit Due	\$6,380,065
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
Local Credit True-Up (from 13th Quarter)	\$511,939
Total Credit Funding Received	\$5,575,931
Local Credit Due through 15th Quarter	\$804,134

[1] 14th Quarter QPR Costs Subject to review by DWR.

[2] 15th 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.

- **Engineering and construction matters:**

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

- Feature 1 Design: This feature is completed.
- Feature 2 Permitting: This feature is completed.
- Feature 3 Right of Way: This feature is completed.
- Feature 4 Construction Management: This feature is completed.
- Feature 5 Construction: This feature is completed.
- Feature 6: O&M Manual: This feature is completed.

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

- Feature 1 Design: This feature is completed.
- Feature 2 Permitting: This feature is completed.
- Feature 3 Right of Way Support: TRILIA will continue work on this feature during the 15th Quarter. See Element 7 below for detailed information.

- ✓ Real Estate offers: There are 3 parcels with offers pending:

- Dunning Properties LLC and Dunning Brothers cannot be located. TRILIA has been advised that these properties are owned by

Western Aggregates, Inc. Accordingly, these properties have been wrapped into TRLIA's negotiations with Western Aggregates.

- Western Aggregates, Inc. – TRLIA has offered to give Western Aggregates railroad easements across the properties TRLIA seeks to acquire in fee. Western Aggregates responded that it wants railroad easements across other properties acquired by TRLIA for the Upper Yuba Project, including properties in which Western Aggregates currently has no interests. These negotiations are ongoing.
- Richard G. Wilbur – First written offers have been made to Wilbur for portions of APNs 018-220-028 & 056. Negotiations for these properties have been held up by the litigation over other properties owned by Wilbur.

▪ 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 has resulted 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 11th and 12th Quarters, TRLIA's Relocation Advisors worked with the Park residents impacted by the Project to help them find replacement housing.

No work is anticipated in the 16th quarter.

▪ Appraisal Actions to acquire the 20' access corridor: None.

○ Feature 4 Construction Management:

- Construction management continued this quarter to manage the site during the winter months rainy season.
- The construction management team will finalize the Construction Documentation Report during the 16th quarter.

○ Feature 5 Construction: This feature is completed.

- Feature 6: O&M Manual: The existing O&M Manual was revised to add the completed work and submitted to DWR and CVFPB for their review on February 14, 2013. TRLIA requested any comments by April 15, 2013. No comments have been received. TRLIA will coordinate with these agencies to determine if they are still reviewing and wish to make comments or have no comments to submit. RD 784 will continue to use the revised O&M addendum for ongoing O&M.

- **Element 2: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Pre-CEQA Determination Support Efforts**
 - Feature 1 Alternatives Analysis: This feature is completed
 - Feature 2 CEQA/NEPA: This feature is completed
 - Features 2.3, 2.4 and 2.5 (Preliminary Design, Preliminary Permitting and Preliminary Right of Way Support) have been moved to Element 3 at request of DWR. These changes were made in the 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. This feature is completed

- **Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work**
 - Feature 2.3 Preliminary Design: This feature is completed
 - Feature 2.4 Permit Preparation: This feature is completed
 - Feature 2.5 Right of Way Support: TRILIA 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: This feature is completed.
 - Feature 2 Permitting: See Attachment 3 for list of permits. Key items are listed below.
 - CVFPB Encroachment Permits:
 - ✓ During the 15th quarter TRILIA will continue to support PG&E and LCWD, as needed, when their permits are considered at CVFPB meetings. CVFPB Staff thinks that these permits fall under the recently expanded authority of the Executive Officer to approve. Staff is pursuing Executive Officer approval.
 - ❖ 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 and was done in 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 and was done in 2011. Permit application is still under consideration.

- 100-yr and 200-yr Hydraulic Analysis:
 - ✓ During this quarter TRLIA will prepare a draft Certification Summary Supplement Report for FEMA certification that is EIP eligible per discussions with DWR.
 - ✓ Evaluation of the State's Urban Levee 200-year Design Criteria will continue in the 16th quarter.
- 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: This feature is completed
- Feature 5 Environmental Mitigation:
 - The additional elderberry seedling plantings were planted in the 14th quarter. Maintenance to ensure their establishment will continue in the 16th quarter.
 - During the 16th Quarter TRLIA will continue to work 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 met with Luhdorff and Scalmanini (L&S) on September 19 to discuss well monitoring results. No impacts to wells have been identified to date. L&S is preparing a report to present all monitoring information and a recommendation as to the need for continued monitoring. This report will be finalized in the 16th quarter.
- Feature 6 O&M Manual Addendum: Work will be performed in this feature during the 16th quarter. The existing O&M Addendum was revised to add the UYLIP and the revised Addendum was submitted to CVFPB and DWR EIP on February 14, 2013. TRLIA requested any comments by April 15, 2013. No comments have been received. TRLIA will coordinate with these agencies to determine if they are still reviewing and wish to make comments or have no comments to submit. RD 784 is using the revised O&M addendum for ongoing O&M.
- **Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Station 102+50 to 303+59**
 - Feature 1 Construction: This feature has been completed
- **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
 - The closure of real estate actions described in this element will extend beyond the current Agreement date (September 30, 2013). The Agreement needs to be extended September 30, 2015.

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

- Feature 7-3.3 Right of Way:
 - DWR approved the Upper Yuba River Real Estate Plan on June 28, 2010.
 - On March 5, 2012 TRLIA submitted Amendment No. 1 to the UYLIP project. Copy of the transmittal letter was included in the 14th Quarterly Progress Report. No response has been received from DWR on this submission.

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

- Land Transfer issues to be worked in the 16th quarter: Are there any land transfer issues on the UYLIP? Cadastral? Others?
 - ✓ Western Aggregate: TRLIA has been in negotiations with Western Aggregates to acquire fee title to portions of the levee and O&M corridors owned by Western Aggregates. TRLIA offered to grant back railroad easements over the land that TRLIA seeks to acquire from Western Aggregates in fee, as Western Aggregates has stated

that it hopes to use that land to eventually build a railroad spur for the transportation of aggregate from the Goldfields. Western Aggregates requested that TRLIA grant railroad easements not only on the properties that TRLIA seeks to acquire from Western Aggregates, but also along other sections of the Upper Yuba Project levee and O&M corridors where Western Aggregates does not currently have any ownership interest. This request for additional easements has significantly slowed down TRLIA's negotiations.

- The following Real Estate actions are anticipated in the 16th quarter (June to September 2013):

✓ Acquisition being negotiated:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. to DWR	SETTLEMENT AMOUNT	STATE SHARE OF SETTLEMENT	COMMENTS
14070	Michele R. Barker	Settlement Reached; not signed				Property owners want to review the cross-levee easement before signing the settlement agreement. The easement has been provided to property owners' attorney.
14066	Richard G. Wilbur Trust	Litigation				Trial scheduled 8/13. Property owner has retained a new attorney, and this trial date will likely be continued to the fall of 2013 as a result.
14065	Richard G. Wilbur Trust	Litigation				See comment for CVFPB 14066
14063	Anthony J. & Zelma B. Luis	Settlement Reached				Settlement agreement signed. Agreement has contingencies that we are working on.
14062	Ajit S. Bains & Maria Del Carmen	Litigation				Trial scheduled 2/14

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. to DWR	SETTLEMENT AMOUNT	STATE SHARE OF SETTLEMENT	COMMENTS
Not assigned	Richard G. Wilbur	Litigation				See comment for CVFPB 14066
14050	Western Aggregates, LLC	Negotiation				TRLIA has offered to grant back railroad easement over properties it seeks to acquire in fee. Western responded that it wants additional railroad easements along other properties TRLIA has acquire.
14074	Dunning Properties, LLC	Negotiation				TRLIA has been advised Western Aggregates owns the Dunning Brothers property. Accordingly, this property has the same issues as the other Western Aggregates properties.
Not assigned	Western Aggregates, Inc	Negotiation				
Not assigned	Dunning Bros	Negotiation				
Not assigned	Richard G. Wilbur	Litigation				First Written Offer 3/7/13
Not assigned	Richard G. Wilbur	Litigation				First Written Offer 3/7/13
Not assigned	Western Aggregates. Et al	Negotiation				
Not assigned	Jason G. Allen	Litigation				Trial scheduled 3/14

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

At BRI:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. To DWR	SETTLEMENT AMOUNT	STATE SHARE OF SETTLEMENT	COMMENTS
14071	Shintaffer Farms, Inc.	In Escrow	19th Qtr	\$5,500	\$3,850	In escrow - Need Mineral Rights cleared
14067	Henry P. Smith	In Escrow	19th Qtr	\$64,000	\$44,800	Awaiting acceptable access easement
Not assigned	Naumes, Inc.	Complete	17th Qtr	\$3,000	\$2,100	TCE Only
Not assigned	Rahul, Surjit S. & Parmjit	Complete	17th Qtr	\$500	\$350	TCE Only
14064	Daniel J. Luis	Complete	18th Qtr	\$46,477	\$32,534	Judgment Obtained 2/14/13
14056	Humam El Sharif	Complete	18th Qtr	\$2,100	\$1,470	Judgment Obtained 2/14/13
Not assigned	Federal Fruit Distributors	Complete	18th Qtr	\$800	\$560	Judgment Obtained 2/14/13
14059	Stephanie Morris	In Escrow	19th Qtr	\$7,900	\$5,530	Escrow Opened 1-30-13
14061	Howard R Miller	In Escrow	19th Qtr	\$1,400	\$980	IRS Liens on property
14057	Orest and Irene Wesely	Complete	17th Qtr	\$33,000	\$23,100	
14054	Hust Bro. Inc. Pension Plan /Roy E. Lanza	Complete	18th Qtr	\$5,200	\$3,640	escrow closed and Recorded 5-2-2013
14051	Ronnie C. Willis	Complete	17th Qtr	\$29,500	\$20,650	
Not assigned	Orchard Growers	In Escrow	19th Qtr	\$500	\$350	Escrow Opened 2-4-13

At Downey Brand:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P.	SETTLEMENT AMOUNT	STATE SHARE OF SETTLEMENT	COMMENTS
14068	Walbinder S. Sohal Living Trust,	Complete	16th Qtr	\$598,500	\$418,950	TO DB 3-6-2013
14069	Awtar S. Sohal & Sukhvir K. Sohal, Co-Trustees of the Sohal Family Trust	Complete	16th Qtr	\$41,500	\$29,050	To DB 3-6-2013
14055	Steve and Denise Gilbert	Complete	16th Qtr	\$15,700	\$14,840	TO DB 3-27-2013
14055	Steve and Denise Gilbert	Complete	16th Qtr	\$5,500		
14072	Bhajan S. & Rajwant K. Sohal	Complete	16th Qtr	\$598,500	\$418,950	TO DB 3-6-2013

✓ Final Accounting Packages at DWR:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P.	SETTLEMENT AMOUNT	STATE SHARE OF SETTLEMENT	COMMENTS
14060	Robert Glenn Wood	Complete	16th Qtr	\$3,200	\$2,240	To DWR 4/17/13
14058	COF Quail Hollow Land 148T, LLC	Complete	16th Qtr	\$34,750	\$24,325	To DWR 4/17/13
14053	Lothar S. & Brigitta M. Klug	Complete	16th Qtr	\$2,800	\$1,960	To DWR 4/17/13
14052	Bernard J. Perez	Complete	16th Qtr	\$10,350	\$7,245	To DWR 4/17/13

✓ Status of Relocation Actions

CVFPB #	Property Owner	Relocated Tenant	Status of Relocation	Amount of Relocation Benefits Paid	Comments
14064	Daniel J. Luis	Kimberly Fuller	Complete	\$42,550.47	
	Jason G. Allen	Bill and Marilyn Jensen	Complete	\$26,800.57	
	Jason G. Allen	Trevor Jensen and Sammantha Pettet	Complete	\$31,130.00	

CVFPB #	Property Owner	Relocated Tenant	Status of Relocation	Amount of Relocation Benefits Paid	Comments
	Jason G. Allen	Ed Widener	Complete	\$12,272.00	
	Jason G. Allen	Jack Fouse	Incomplete	\$0	No response from tenant, who moved from Park.
	Jason G. Allen	Les Begley	Complete	\$1,100.00	
	Jason G. Allen	Judy Cordova	Complete	\$13,672.66	
	Jason G. Allen	Sarah Fite	Complete	\$27,964.56	
	Jason G. Allen	David Haughton	Complete	\$2,402.78	
	Jason G. Allen	Jason G. Allen	In Progress	\$24,754.99	Relocation assistance appears to be complete, but condemnation action with Allen is still in progress.

➤ **Element 8 Closeout Process:**

- 8 Feature 1: Closeout Process
 - During the 16th Quarter TRLIA will continue to assemble the final closeout documentation for DWR and associated reviewers for formal project closeout review.
 - It is anticipated that in the 15th Quarter TRLIA will have submitted a request for at least a 50% retention reimbursement to TRLIA. TRLIA will continue to work with DWR on this item in 16th quarter until the retention is released.

➤ **Proposed Addition - Element 9 WPIC 200-yr Standard:**

- The 15th UYLIP QWP proposed adding this Project Element to the UYLIP Overall Work Plan/funding agreement. The 15th QWP has a detailed description of the proposed Project Element. DWR asked TRLIA to update the UYLIP Financial Plan and Area Plan to reflect the proposed work. TRLIA submitted these updated plans to DWR on May 20, 2013.

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

- **Proposed Feature 1 Design:** The current HDR TRLIA design contract amended to include this levee design work. During the 16th quarter HDR will be doing design work.
- **Proposed Feature 2 Permitting & Environmental Documentation:**
 - ✓ See Attachment 2 for added Permit listing.
 - ✓ TRLIA will begin work on permit applications during the 16th quarter
- **Proposed Feature 3 Right of Way Acquisition:** During the 16th quarter TRLIA will modify the UYLIP Real Estate Plan to include property acquisition needed to perform the levee work and acquire the levee footprint, and landside levee toe access corridor in fee.
- **Proposed Feature 4 Right of Way Support:** TRLIA Real estate and legal officials will work on property acquisitions
- **Proposed Feature 5 Construction Management:** No work during the 16th quarter
- **Proposed Feature 6 Construction:** No work during the 16th quarter
- **Feature 7: O&M Manual:** No work during the 16th 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 3:** All Permits and approvals have been acquired;
- **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 8: A portion (at least 50%) of the UYLIP retention will be released to TRLIA in the 15/16th quarter.
 - Proposed Addition Project Element 9 – WPIC 200-yr Standard: DWR approval of this proposed additional Project Element.

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

- **Issue 1:** The Goal of the EIP program is to fund projects that have NO REGRETS to achieve 200-yr flood protection. Achieving 200-year flood protection has been an evolving process. Until recently there was no State or Federal 200-year levee design criteria. The California Department of Water Resources (DWR) developed the Urban Levee Design Criteria (ULDC) in May 2012 as required by Senate Bill (SB) 5. SB 5 calls for 200-year flood protection to be the minimum level of protection for urban and urbanizing areas in the Sacramento-San Joaquin Valley (i.e., the urban level of flood protection).

SB 5 also required that DWR evaluate the current level of performance of the State-Federal flood protection system in the Central Valley. The evaluation of current system performance is called the **Urban Levee Evaluation (ULE)** Program. The ULE Program was initiated in 2007 and started by gathering initial data for evaluation. This data included new levee topography, geotechnical explorations, geomorphologic assessments, electromagnetic surveys of the levee, and researching historic levee performance. TRLIA Staff has been coordinating with DWR since the ULE program began evaluating the RD 784 levees. The results of the ULE program are now just becoming final.

The UYLIP project was to be the final project TRLIA project for the TRLIA UYLIP Area Plan in order to achieve 200-yr flood protection. Additional proposed work is needed to achieve 200-yr flood protection due to the recent results of the state 200-yr Urban Levee Evaluation Program (ULE), which has produced findings after the UYLIP project was approved. **This additional work could not have been anticipated.**

Recommended Solution: DWR approval of the proposed addition Project Element 9 – WPIC 200-yr Standard

- **Issue 2:** On March 5, 2012 TRLIA submitted Amendment No. 1 to the UYLIP project. No response has been received from DWR on this submission.

Recommended Solution: DWR approve Amendment No. 1

- **Issue 3:** The closure of real estate actions will extend beyond the current Agreement date (September 30, 2013). The proposed addition of Project Element 9 further extends the time needed to accomplish the work beyond the current Agreement date.

Recommended Solution: Extend the Agreement date to March 30, 2016

- **Describe differences between the work to be performed and the work outlined in the Overall Work Plan, including anticipated change orders:**
 - As noted above in Section 4 Element 9 is being incorporated into the Overall Work Plan to reflect work associated 200-Year Compliance actions on the WPIC. The budget information in Section 5 below provides the cost associated with this work as well as other adjustments to the Overall Work Plan Budget.
- **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.

With the 15th QWP, as noted above, TRLIA incorporated additional amendments to the budget to reflect accurate costs for the project related features as well as added the budget for Elements 8 and 9, the cost associated with Close out efforts as well as work related to 200-Year Compliance Actions on the WPIC respectively. This work plan reflects all of those prior updates to the Overall Work Plan Budget.

- **List of changes planned to Overall Work Plan Budget and revised Overall Work Plan Budget (if needed):**
No changes are presented this Quarter.
- **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 16th quarter as the Element is complete.
 - **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 Right of Way and Construction Management (related to project closeout) activities in the 16th Quarter. TRLIA plans to expend approximately \$55k during the 16th Quarter. The overall adjusted budget is projected to exceed the overall budget by approximately 14%. As noted in within the 14th QPR, the projected overage in the budget is not expected to exceed the funding capacity of the State. TRLIA will continue to monitor this budget and update the Overall Work Plan Budget in a future report.

- **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 15th QWP. Upon completion of the 16th Quarter, approximately (100%) \$1,067,000 Million amended 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 amended overall budget for Element 3 is \$10.1 million and the amount forecasted to be expended this quarter is \$125,000. This amount, in conjunction with estimated prior expenses furthering Element 3 efforts, will result in having expended roughly 91% (\$9.2 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**
No additional construction costs are forecasted to be incurred during the 16th quarter as the Element is complete. At the completion of the Quarter, TRLIA expects to have expended approximately 90% (\$8.7 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 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 \$162,250 of Overhead and Admin expenses in the quarter. The increase this quarter is due to the start of the new fiscal year and the allocation of insurance expenses at the outset of the year. After the quarter is complete, TRLIA will have expended roughly 64% of the amended Element 6 budget.
- **Element 7 – Right of Way Capital:**
Right of Way acquisition activity will continue this Quarter however no expenses are expected this quarter. After the quarter is complete, TRLIA will have expended roughly 83% of the revised Element 7 \$2.4 million budget.
- **Element 8 – Project Closeout efforts:**
This element was added in the 14th quarter. TRLIA expects to continue efforts in the 16th quarter and expects to expend \$25,000 on efforts associated with compiling and producing closeout documentation.

➤ **Element 9 – WPIC 200-Yr Standard:**

This element was added in this 15th quarter. TRLIA expects to commence efforts associated with Design, Permitting, and ROW Support / Acquisition. In the 16th quarter and expects to expend \$293,000 (approximately 2% of the overall 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 16th Quarter Work Plan:

Quarterly Work Plan Summary				
Description	State Share	Local Share	Total	Local Credit Applied
Element 7 - Land Acquisition	\$0	\$0	\$0	\$0
Elements 1 through 4, 6, 8 & 9	\$483,408	\$207,175	\$690,583	\$207,175
Total	\$483,408	\$207,175	\$690,583	\$207,175

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

Quarterly State Share Advance Summary for Non-Real Estate Activity	
75% of State Share Elements 1 through 6, 8 & 9	\$308,359
plus/minus State Share true-up for Prior Quarters [1]	\$868,872
Total Advance for State Share at Start of 16th Quarter	\$1,231,428

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

Quarterly Local Credit Summary for Non-Real Estate Activity	
Local Credit Elements 1 through 6, 8 & 9	\$207,175
plus/minus Local Credit true-up for Prior Quarters [1]	\$804,134
Total Advance for Local Credit at Start of 16th Quarter	\$1,011,309

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction

As of 15th Quarter - State Share: Based on 14th QPR plus 15th QWP (as adjusted for schedule and other factors)

Total Non-Real Estate Non-Creditable Expenses (Elements 1 – 6, 8 & 9) through 14th Quarter [1]	\$21,024,762
15th Quarter Total Non-Real Estate Forecasted Expenses [2]	\$587,349
Total Expenses Forecasted through 14th Quarter	\$21,612,112
State Share True-Up Calculations	
Total State Share of Above Expenses	\$14,886,819
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$13,398,137

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
10th Quarter True-Up	\$719,915
11th Quarter Advance	\$476,664
11th Quarter True-Up	\$582,451
12th Quarter True-Up	\$277,671
13th Quarter True-Up	\$1,075,072
Total State Share Funding Received	\$12,529,265
Estimated State Share Construction Funding Due as of 15th Quarter	\$868,872

**As of 14th Quarter - Local Share: Based on 14th QPR plus 15th QWP
(as adjusted for schedule and other factors)**

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$6,380,065
Total Local Funding Credit Due	\$6,380,065
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
Local Credit True-Up (from 13th Quarter)	\$511,939
Total Credit Funding Received	\$5,575,931
Local Credit Due through 15th Quarter	\$804,134

[1] 14th Quarter QPR Costs Subject to review by DWR.

[2] 15th Quarter Forecasted Expenses adjusted for actual expenses.

- **The following tables present Element and Feature level details for the 16th Quarterly Work Plan.**

Summary of TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

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
<i>Formula</i>	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	\$1,007,007	\$704,905	\$302,102	\$723,160	\$506,212	\$216,948	\$283,847	\$198,693	\$85,154	\$0	\$0	\$0	\$0
Element 1A: Land Side Improvement (Shadpad)	\$835,000	\$584,500	\$250,500	\$898,968	\$629,278	\$269,691	-\$63,968	-\$44,778	-\$19,191	\$55,000	\$38,500	\$16,500	\$28,875
Element 2: Pre-CEQA Determination Support	\$1,069,913	\$534,956	\$534,956	\$1,065,054	\$532,527	\$532,527	\$4,859	\$2,430	\$2,430	\$0	\$0	\$0	\$0
Element 3: Levee Improvements Support Work	\$10,101,168	\$7,080,817	\$3,020,350	\$9,056,607	\$6,339,625	\$2,716,982	\$1,044,561	\$741,193	\$303,368	\$155,000	\$108,500	\$46,500	\$81,375
Element 4: Levee Improvements Construction	\$9,800,000	\$6,924,000	\$2,876,000	\$8,771,218	\$6,139,853	\$2,631,365	\$1,028,782	\$784,147	\$244,635	\$0	\$0	\$0	\$0
Element 6: Admin & Overhead	\$4,501,913	\$3,151,339	\$1,350,574	\$2,699,440	\$1,889,608	\$809,832	\$1,802,474	\$1,261,731	\$540,742	\$162,250	\$113,575	\$48,675	\$85,181
Element 8: Project Closeout Efforts	\$100,000	\$70,000	\$30,000	\$1,500	\$1,050	\$450	\$98,500	\$68,950	\$29,550	\$25,000	\$17,500	\$7,500	\$13,125
Element 9: WPIC 200-Yr Standard	\$15,150,000	\$10,605,000	\$4,545,000	\$33,333	\$23,333	\$10,000	\$15,116,667	\$10,581,667	\$4,535,000	\$293,333	\$205,333	\$88,000	\$154,000
Sub-Total Elements 1 through 4, 6, 8 & 9	\$42,565,000	\$29,655,517	\$12,909,483	\$23,249,279	\$16,061,485	\$7,187,794	\$19,315,721	\$13,594,033	\$5,721,688	\$690,583	\$483,408	\$207,175	\$362,556

Element 5 Credit [Additional Credit to Come from other Element Expenses Incurred Prior to October 20, 2009 not Shown Here]

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				
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Real Estate Forecast for Quarter

				Cumulative Estimated Expenses (through December)									
Element 7: Land Acquisition	\$3,302,095	\$2,311,467	\$990,629	\$2,421,006	\$1,694,704	\$726,302	\$881,090	\$616,763	\$264,327	\$0	\$0	\$0	
Subtotal Real Estate Forecast	\$3,302,095	\$2,311,467	\$990,629	\$2,421,006	\$1,694,704	\$726,302	\$881,090	\$616,763	\$264,327	\$0	\$0	\$0	

Local Credit Reconciliation

Quarterly Advance Calculation			
75% of State Share of Eligible Elements	\$362,556		
plus Local Share Subject to Credit	\$207,175		
Total	\$569,731		
Note: Payments are subject to true-up for actual expenses.			
		Total Local Share of Eligible Expenses this Quarter	\$207,175 (From Above)
		Estimated Total Local Credit	\$6,619,616 (Approved Local Credit Amount)
		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
		Local Credit True-Up (from 13th Quarter)	\$511,939
		Total Local Credit Received	\$5,575,931
		Remaining Local Credit Approved	\$1,043,685
		Cumulative Prior Credit Due	\$804,134
		Requested Local Credit to be Paid with Advance	\$207,175 (No Local Credit Advance Due to True-Up)
		Credit Remaining After Advance	\$32,376

16QYubaSumm

[1] As reflected in the 15th Quarterly Work Plan for the Upper Yuba Project.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary

TRLIA Quarterly Work Plan Budget

Upper Yuba

For Period July/August/September 2013

ELEMENT 1

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c=axb</i>	<i>d = b-c</i>	<i>e</i>	<i>f=axe</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>		<i>k</i>	<i>l=axk</i>	<i>m=k-l</i>	
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%	\$179,492	\$125,645	\$53,848	\$179,455	\$125,618	\$53,836	\$37	\$26	\$11	0%	\$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		\$1,007,007	\$704,905	\$302,102	\$723,160	\$506,212	\$216,948	\$283,847	\$198,693	\$85,154	28%	\$0	\$0	\$0	0%

15QYubaElem1

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 1A

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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%	\$80,000	\$56,000	\$24,000	\$77,706	\$54,394	\$23,312	\$2,294	\$1,606	\$688	3%	\$0	\$0	\$0	0%
1A.2: Permitting	70%	\$100,000	\$70,000	\$30,000	\$99,649	\$69,754	\$29,895	\$351	\$246	\$105	0%	\$0	\$0	\$0	0%
1A.3: Right of Way	70%	\$225,000	\$157,500	\$67,500	\$114,679	\$80,276	\$34,404	\$110,321	\$77,224	\$33,096	49%	\$45,000	\$31,500	\$13,500	41%
1A.4: Construction Management	70%	\$150,000	\$105,000	\$45,000	\$156,887	\$109,821	\$47,066	-\$6,887	-\$4,821	-\$2,066	-5%	\$10,000	\$7,000	\$3,000	-145%
1A.5: Construction	70%	\$275,000	\$192,500	\$82,500	\$450,047	\$315,033	\$135,014	-\$175,047	-\$122,533	-\$52,514	-64%	\$0	\$0	\$0	0%
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		\$835,000	\$584,500	\$250,500	\$898,968	\$629,278	\$269,691	-\$63,968	-\$44,778	-\$19,191	-8%	\$55,000	\$38,500	\$16,500	-86%

15QYubaElem1A

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period July/August/September 2013

ELEMENT 2

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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%	\$650,142	\$325,071	\$325,071	\$649,566	\$324,783	\$324,783	\$576	\$288	\$288	0%	\$0	\$0	\$0	0%
Subtotal Element 2		\$1,069,913	\$534,956	\$534,956	\$1,065,054	\$532,527	\$532,527	\$4,859	\$2,430	\$2,430	0%	\$0	\$0	\$0	0%

15QYubaElem2

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 3

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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%	\$2,735,767	\$1,915,037	\$820,730	\$2,693,467	\$1,885,427	\$808,040	\$42,300	\$29,610	\$12,690	2%	\$125,000	\$87,500	\$37,500	296%
3.1: Final Design	70%	\$2,279,307	\$1,605,515	\$673,792	\$2,248,121	\$1,573,685	\$674,436	\$31,186	\$31,830	-\$644	1%	\$0	\$0	\$0	0%
3.2: Permitting	70%	\$702,461	\$491,723	\$210,738	\$137,816	\$96,471	\$41,345	\$564,645	\$395,252	\$169,394	80%	\$10,000	\$7,000	\$3,000	2%
3.4: Construction Management	70%	\$2,175,000	\$1,522,500	\$652,500	\$2,157,791	\$1,510,454	\$647,337	\$17,209	\$12,046	\$5,163	1%	\$0	\$0	\$0	0%
3.5: Environmental Mitigation	70%	\$415,091	\$290,564	\$124,527	\$397,398	\$278,178	\$119,219	\$17,693	\$12,385	\$5,308	4%	\$5,000	\$3,500	\$1,500	28%
3.6: O&M Manual addendum	70%	\$189,419	\$132,593	\$56,826	\$19,777	\$13,844	\$5,933	\$169,642	\$118,750	\$50,893	90%	\$15,000	\$10,500	\$4,500	9%
Subtotal Element 3		\$10,101,168	\$7,080,817	\$3,020,350	\$9,056,607	\$6,339,625	\$2,716,982	\$1,044,561	\$741,193	\$303,368	10%	\$155,000	\$108,500	\$46,500	15%

"15QYubaElem3"

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 4

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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	\$8,771,218	\$6,139,853	\$2,631,365	\$1,028,782	\$784,147	\$244,635	10%	\$0	\$0	\$0	0%
Subtotal Element 4		\$9,800,000	\$6,924,000	\$2,876,000	\$8,771,218	\$6,139,853	\$2,631,365	\$1,028,782	\$784,147	\$244,635	10%	\$0	\$0	\$0	0%

15QYubaElem4

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 5

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
<i>Formula</i>	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%

15QYubaElem5

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget

Upper Yuba

For Period July/August/September 2013

ELEMENT 6

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
<i>Formula</i>	<i>a</i>	<i>b</i>	<i>c=axb</i> <small>*Based on Overall Workplan</small>	<i>d = b-c</i>	<i>e</i>	<i>f=axe</i>	<i>g = e-f</i>	<i>h=b-e</i>	<i>i=c-f</i>	<i>j=d-g</i>		<i>k</i>	<i>l=axk</i>	<i>m=k-l</i>	
Element 6: Project Management, legal support, community relations support, land management support, and overhead															
6.1 - TRLIA Salaries/Benefits	70%	\$1,270,714	\$889,500	\$381,214	\$797,141	\$557,999	\$239,142	\$473,573	\$331,501	\$142,072	37%	\$42,000	\$29,400	\$12,600	9%
6.2 - TRLIA Consultant Exp.	70%	\$1,260,377	\$882,264	\$378,113	\$927,945	\$649,562	\$278,384	\$332,431	\$232,702	\$99,729	26%	\$6,000	\$4,200	\$1,800	2%
6.3 - TRLIA Legal Support	70%	\$1,044,235	\$730,964	\$313,270	\$348,922	\$244,245	\$104,676	\$695,313	\$486,719	\$208,594	67%	\$7,500	\$5,250	\$2,250	1%
6.4 - TRLIA Travel Expenses	70%	\$9,992	\$6,995	\$2,998	\$1,932	\$1,353	\$580	\$8,060	\$5,642	\$2,418	81%	\$1,500	\$1,050	\$450	19%
6.5 - TRLIA General Expenses	70%	\$356,643	\$249,650	\$106,993	\$115,247	\$80,673	\$34,574	\$241,397	\$168,978	\$72,419	68%	\$4,500	\$3,150	\$1,350	2%
6.6 - TRLIA Insurance	70%	\$514,119	\$359,883	\$154,236	\$494,829	\$346,380	\$148,449	\$19,290	\$13,503	\$5,787	4%	\$100,000	\$70,000	\$30,000	518%
6.7 - TRLIA Travel - Vehicle Lea	70%	\$26,714	\$18,700	\$8,014	\$13,424	\$9,397	\$4,027	\$13,290	\$9,303	\$3,987	50%	\$750	\$525	\$225	6%
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		\$4,501,913	\$3,151,339	\$1,350,574	\$2,699,440	\$1,889,608	\$809,832	\$1,802,474	\$1,261,731	\$540,742	40%	\$162,250	\$113,575	\$48,675	9%

15QYubaElem6

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 7

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (June 2013) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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	\$2,421,006	\$1,694,704	\$726,302	\$881,090	\$616,763	\$264,327	27%	\$0	\$0	\$0	0%
Subtotal Element 7		\$3,302,095	\$2,311,467	\$990,629	\$2,421,006	\$1,694,704	\$726,302	\$881,090	\$616,763	\$264,327	27%	\$0	\$0	\$0	0%

"15QYubaElem7"

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget Upper Yuba

For Period July/August/September 2013

ELEMENT 8

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	16th 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=axe <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 8: Project Closeout Efforts															
8.1 - Project Close Out Efforts	70%	\$100,000	\$70,000	\$30,000	\$1,500	\$1,050	\$450	\$98,500	\$68,950	\$29,550	99%	\$25,000	\$17,500	\$7,500	25%
Subtotal Element 8		\$100,000	\$70,000	\$30,000	\$1,500	\$1,050	\$450	\$98,500	\$68,950	\$29,550	99%	\$25,000	\$17,500	\$7,500	25%

"15QYubaElem8"

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period July/August/September 2013

ELEMENT 9

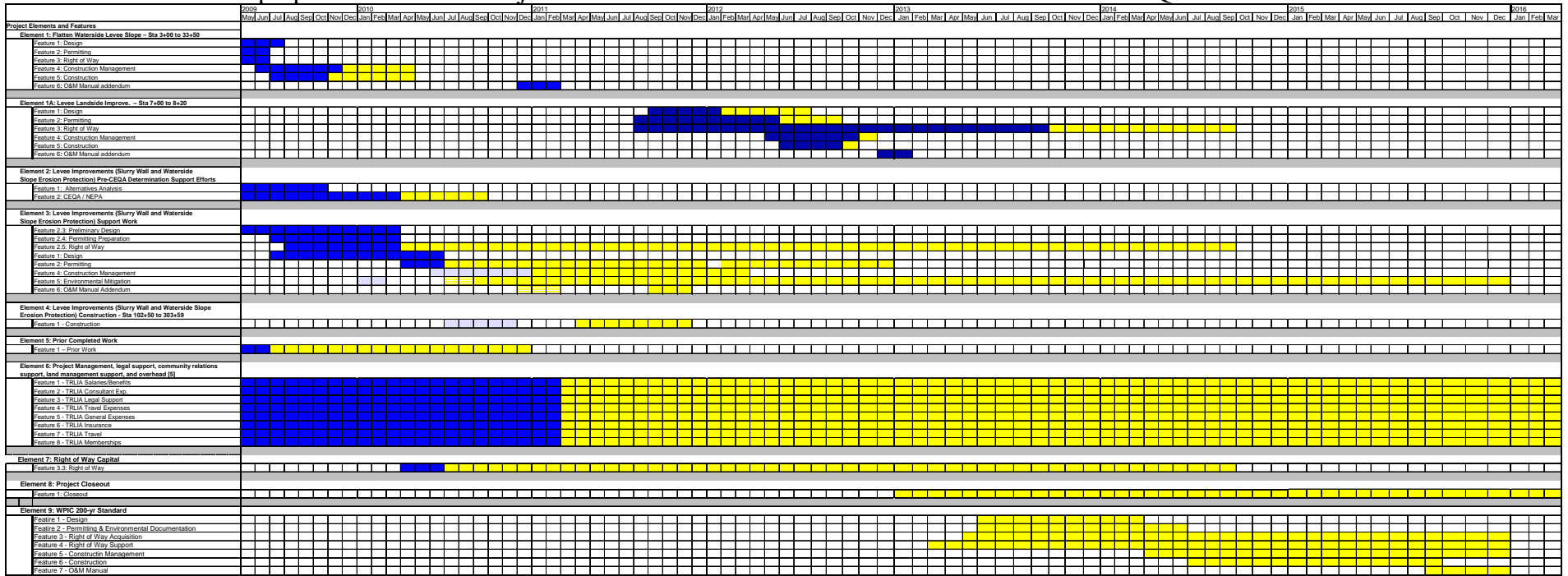
Elements and Features	State Share	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	16th Quarterly Forecast			% of Remaining
		Total	State	Local	Total	State Share	Local	Total	State	Local		Total	State	Local	
Formula	a	b	c=axb <small>Overall Workplan</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	g
Element 9: WPIC 200-Yr Standard															
9.1 - Design	70%	\$800,000	\$560,000	\$240,000	\$0	\$0	\$0	\$800,000	\$560,000	\$240,000	100%	\$120,000	\$84,000	\$36,000	15%
9.2 - Permitting & Environment	70%	\$300,000	\$210,000	\$90,000	\$22,222	\$15,555	\$6,667	\$277,778	\$194,445	\$83,333	93%	\$40,000	\$28,000	\$12,000	14%
9.3 - Right of Way Acquisition	70%	\$1,000,000	\$700,000	\$300,000	\$11,111	\$7,778	\$3,333	\$988,889	\$692,222	\$296,667	99%	\$100,000	\$70,000	\$30,000	10%
9.4 - Right of Way Support	70%	\$200,000	\$140,000	\$60,000	\$0	\$0	\$0	\$200,000	\$140,000	\$60,000	100%	\$33,333	\$23,333	\$10,000	17%
9.5 - Construction Management	70%	\$800,000	\$560,000	\$240,000	\$0	\$0	\$0	\$800,000	\$560,000	\$240,000	100%	\$0	\$0	\$0	0%
9.6 - Construction	70%	\$12,000,000	\$8,400,000	\$3,600,000	\$0	\$0	\$0	\$12,000,000	\$8,400,000	\$3,600,000	100%	\$0	\$0	\$0	0%
9.7 - O&M Manual addendum	70%	\$50,000	\$35,000	\$15,000	\$0	\$0	\$0	\$50,000	\$35,000	\$15,000	100%	\$0	\$0	\$0	0%
Subtotal Element 9		\$15,150,000	\$10,605,000	\$4,545,000	\$33,333	\$23,333	\$10,000	\$15,116,667	\$10,581,667	\$4,535,000	100%	\$293,333	\$205,333	\$88,000	2%

"15QYubaElem6"

[1] Revised per this Upper Yuba 15th Quarterly Work Plan.

[2] Reflects estimated expenses through the 15th Quarter based on prior actual expenses through March 31, 2013 (14th QPR) and estimated of expenses from April to June, 2013 based on the 15th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

6. Schedule Information by Project Element: Shown in the figure below is an updated Exhibit A (overall project schedule), which includes the proposed addition of Project Element 9. This is the same schedule shown in the 15th QWP



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. Updated Overall Work plan Tab D Project Element 2 & 3: Remaining Work permit list
2. Proposed Addition: Overall Work plan Tab D Project Element 9: WPIC 200-yr Standard

Attachment 2
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"> CVFPB issued permit April 11, 2011 (# 18577 BD)
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 18577-1 approved by CVFPB at January 26, 2012 Meeting.
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 18695 approved by CVFPB at January 26, 2012 Meeting..
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 July28, 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
Central Valley Flood Protection Board	Additional Anderson Elderberry Site Encroachment Permit	Yes	<ul style="list-style-type: none"> Application submitted April 2012. CVFPB Approved September 28, 2012; issued October 19, 2012
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 District Permission letter issued March 24, 2011
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 Authority issued June 2011
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)	Yes	<ul style="list-style-type: none"> F&WS is amending B.O. to include dormant season elderberry shrub transplant Amendment issued in August 2011
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
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 ASA-CW denied May 5, 2011
Section 103 Credit	Credit under Section 2003	Yes	<ul style="list-style-type: none"> MOU signed between USACE and CVFPB on June 30, 2010

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

WPIC 200-yr Standard

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	PROJECTED START and COMPLETION DATES
Central Valley Flood Protection Board	WPIC 200-yr Standard	Yes	<ul style="list-style-type: none"> Permit No. 17782 BD was issued by the CVFPB (Reclamation Board) on Mary 19, 2005 for the original WPIC work. This permit will either be modified or a new permit issued.
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	Yes	<ul style="list-style-type: none"> Waters of the United States will be impacted
Corps	Wetlands Delineation	Yes	<ul style="list-style-type: none"> A wetland delineation will be prepared during preparation of CEQA and NEPA Documents
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> A request will be made to CVFPB to Initiate the Section 408 Process
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	Yes	<ul style="list-style-type: none"> The 404 Permit will require Water Quality Certification
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"> 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	<ul style="list-style-type: none"> Contractor will submit required documentation prior to construction.
U.S. Fish and Wildlife Service	Endangered Species Act Compliance (Biological Opinion)	Yes	<ul style="list-style-type: none"> Consultation with the USFWS will occur during preparation of the NEPA Document
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)	Yes	<ul style="list-style-type: none"> Consultation with the DFG will occur during preparation of the CEQA Document

DFG	Streambed Alteration Agreement	No	<ul style="list-style-type: none"> All ground disturbances are above the WPIC 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 WPIC 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"> Coordination with the NAHC will occur during preparation of CEQA and NEPA Documents
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	Yes	<ul style="list-style-type: none"> Coordination with the NAHC will occur during preparation of CEQA and NEPA Documents
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> Coordination with RD 784 will occur during design and while requesting a CVFPB encroachment permit
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> A grading permit from Yuba County will be obtained prior to construction
State Mining and Geology Board (SMGB)	SMARA Permit	No	<ul style="list-style-type: none"> Contractor will use existing commercial sources as needed
CEQA	IS/MND	Yes	<ul style="list-style-type: none"> CEQA documentation will commence during final design as remediation project is defined
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> NEPA documentation will commence after the CVFPB initiates the Section 408 process with USACE
Section 104 Credit	Future federal projects cost sharing	No	<ul style="list-style-type: none"> No longer applicable per Secretary of the Army
Section 103 Credit	Credit under Section 2003	Yes	<ul style="list-style-type: none"> MOU signed between USACE and CVFPB on June 30, 2010. Credit documentation to be determined