



TRLIA
21st QUARTERLY WORK PLAN
FOR
UPPER YUBA RIVER LEVEE
IMPROVEMENT PROJECT

1. **21st Quarterly Work plan for quarter: October 1 to December 31, 2014**
2. **Date of Report: October 15, 2014**
3. **21st Quarter Work Plan:**

Quarterly Work Plan Summary				
Description	State Share	Local Share	Total	Local Credit Applied
Elements 7 & 9 - ROW Acquisition	\$0	\$0	\$0	\$0
Elements 1 through 6, 8, 9 & 10	\$372,687	\$159,723	\$532,410	\$0
Total	\$372,687	\$159,723	\$532,410	\$0

Quarterly Summary for Real Estate Activity	
State Share Elements 7 & 9	\$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 through 10	\$279,515
plus/minus State Share true-up for Prior Quarters [1]	\$587,895
Total Advance for State Share at Start of 21st Quarter	\$867,411

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

Quarterly Local Credit Summary for Non-Real Estate Activity	
Local Credit Elements 1 through 6 & 8 through 10	\$0
plus/minus Local Credit true-up for Prior Quarters [1]	\$13,028
Total Advance for Local Credit at Start of 21st Quarter	\$13,028

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction
As of 20th Quarter - State Share: Based on 19th QPR plus 20th QWP
(as adjusted for schedule and other factors)

Total Non-Real Estate Non-Creditable Expenses (Elements 1 – 6, 8 – 10) through 19th Quarter [1]	\$22,846,806
20th Quarter Total Non-Real Estate Forecasted Expenses [2]	\$599,500
Total Expenses Forecasted through 20th Quarter	\$23,446,306
State Share True-Up Calculations	
Total State Share of Above Expenses	\$16,272,559
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$14,645,303
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
14th Quarter True-Up	\$692,148
15th Quarter Advance	\$267,234
2nd Quarter revised True-Up	\$92,631
16th Quarter True-Up	\$37,164
17th Quarter True-Up	\$153,917
18th Quarter Advance	\$87,124
20th Quarter Advance	\$197,925
Total State Share Funding Received	\$14,057,408
Estimated State Share Construction Funding Due as of 20th Quarter	\$587,895

**As of 20th Quarter - Local Share: Based on 19th QPR plus 20th QWP
(as adjusted for schedule and other factors)**

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$7,173,747
Total Local Funding Credit Due	\$7,173,747
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
Local Credit True-Up (from 14th Quarter)	\$329,594
Local Credit True-Up (from 16th Quarter)	\$88,880
Local Credit True-Up (from 17th Quarter)	\$73,294
Local Credit Advanced (from 18th Quarter)	\$49,785
Local Credit Advanced (from 20th Quarter)	\$489,104
Total Credit Funding Received	\$6,606,588
Local Credit Due as of 20th Quarter [1]	\$13,028

[1] 19th Quarter QPR Costs Subject to review by DWR., 20th QWP adjusted for actual expenses. Local Credit is limited to available credit.

4. Project Element Information:

- The UYLIP 3rd Funding Agreement Amendment was approved on September 24th Quarter. The 3rd Amendment added Project Elements 9 and 10, and extended the agreement date to June 30, 2016. This work plan reflects this amendment.
- On November 21, 2013 the UYLIP funding agreement was amended for the 2nd time to extend the agreement date to September 30, 2015. The extension was due to the time needed to close real estate.
- During the 16th quarter the Department of Finance began a financial audit of the UYLIP EIP funding agreement. The Audit was completed in the 20th quarter. No items were found by the audit team. The audit results are posted on the TRLIA.
- 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: TRLIA will continue work on this feature during the 21st Quarter. See Element 7 below for property acquisition information.
- Feature 4 Construction Management: This feature is **completed**.
- Feature 5 Construction: This feature is **completed**.
- Feature 6: O&M Manual: The existing O&M Manual was revised to add the completed work and submitted to DWR and CVFPB for their review on February 14, 2013. TRLIA requested any comments by April 15, 2013. TRLIA coordinated with these agencies to determine the status of review. CVFPB commented that USACE Section 408 requirement for the UYLIP required that all O&M Addendums prepared by TRLIA for the recent RD 784 levee system improvements be combined into one comprehensive addendum for the RD 784 levee system. TRLIA revised and combined all O&M Addendums into a Comprehensive Addendum that was submitted to

CVFPB and DWR in the 18th quarter. A meeting between USACE, CVFPB, DWR, TRLIA, and DWR was held on April 29, 2014. USACE has concerns with elements that they do not consider to be part of the Federal Project being in the combined manual. USACE is preparing their draft version of what the combined addendum should be and will submit that to CVFPB as the manual to follow for maintenance of the Federal Project. The draft combined O&M Addendum submitted to USACE included O&M for areas for which TRLIA has committed to provide O&M. These portions of the draft Manual will need to be captured and followed in order to meet past commitments. RD 784 will continue to use the revised June 2013 O&M addendum for ongoing O&M until the CVFPB issues a revised combined O&M Addendum. The USACE version of the federal Combined O&M Manual is expected to be issued in the 20th Quarter.

- **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 (Project Elements 1 to 8): TRLIA real estate and legal consultants will be active during the 21st quarter finalizing right of way needs for the project. See Element 7 below for property acquisition information.
 - Feature 1 Design: This feature is **completed.**
 - Feature 2 Permitting: This feature is **completed.**
 - 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: Limited activity is anticipated to occur during the 21st quarter to address items required by settlement of eminent domain settlements (e.g. Dan Luis settlement), and to oversee PG&E power line relocation work that is being done to support a TRLIA eminent domain settlement. The PG&E work is being done under CVFPB encroachment permit 18695.
 - Feature 5 Environmental Mitigation:
 - The additional elderberry seedling plantings were planted in the 14th quarter. Maintenance to ensure their establishment will continue in the 21st quarter. Maintenance for the additional seedlings will continue until April 2016. Monitoring will continue until 2018.
 - Feature 6 O&M Manual Addendum: The existing O&M Manual was revised to add the completed work and submitted to DWR and CVFPB for their review on February 14, 2013. TRLIA requested any comments by April 15, 2013. TRLIA coordinated with these agencies to determine the status of review. CVFPB commented that USACE Section 408 requirement for the UYLIP required that all O&M Addendums prepared by TRLIA for the recent RD 784 levee system improvements be combined into one comprehensive addendum for the RD 784 levee system. TRLIA revised and combined all O&M Addendums into a Comprehensive Addendum that was submitted to CVFPB and DWR in the 18th quarter. A meeting between USACE, CVFPB, DWR, TRLIA, and DWR was held on April 29, 2014. USACE has concerns with elements that they do not consider to be part of the Federal Project being in the combined manual. USACE is preparing their draft version of what the combined addendum should be and will submit that to CVFPB as the manual to follow for maintenance of the Federal Project. The draft combined O&M Addendum submitted to USACE included O&M for areas for which TRLIA has committed to provide O&M. These portions of the draft Manual will need to be captured and followed in order to meet past commitments. RD 784 will continue to use the revised June 2013 O&M addendum for ongoing O&M until the CVFPB issues a revised combined O&M Addendum. The USACE version of the federal Combined O&M Manual is expected to be issued in the 20th Quarter.
- **Element 4:Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Station 102+50 to 303+59**
- Feature 1 Construction: The TRLIA portion of this feature has been **completed**
 - PG&E has been requested to schedule the final relocation of the waterside power line to 15 feet from the levee toe. A portion of this relocation will be underground. This work will be done by PG&E under CVFPB Permit

18695 that was approved on January 26, 2012. TRLIA and PG&E met in January 2014 to discuss scheduling of this work. PG&E did not want to do the work until all utility easements had been assigned to them. TRLIA cannot issue an easement to PG&E until final title on the acquired Luis parcel is filed. Potentially final title will be issued in the 20th quarter. After title is issued and easements assigned to PG&E, TRLIA will continue coordination to get final relocation of the line accomplished; possibly in the 21st quarter. TRLIA will provide construction management oversight during the PG&E work which will impact Element 3. TRLIA will provide construction management oversight during the PG&E work which will impact Element 4 above.

➤ **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.

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

- Activity is anticipated in all Features during the 21st quarter
- TRLIA has re-evaluated its overhead allocation with the start of FY 14/15. Starting with this 20th quarter work plan TRLIA is shifting the allocation of its administration and overhead expenses to reflect an apportionment of these expenses to additional work TRLIA has underway throughout the basin. The projections for expenses allocated to the UYLIP for the 21st quarter will reflect this updated allocation of TRLIA overhead. The updated allocation percentage has been updated to reflect the incorporation of Elements 9 and 10 into the UYLIP project.

➤ **Element 7: Right of Way Capital**

- Feature 7-3.3 Right of Way (Project Elements 1 to 8):
 - 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 for all UYLIP real estate work identified through the 2nd Funding Agreement. During the 19th quarter DWR advised they had reviewed the proposed Amendment No. 1 and had some questions. It is anticipated that TRLIA and BRI will have submitted a revised Amendment No. 1 in the 20th Quarter.
 - Western Aggregate: TRLIA has been in negotiations with Western Aggregates to acquire fee title to portions of the levee and O&M

corridors owned by Western Aggregates. TRLIA offered to grant back railroad easements over the land that TRLIA seeks to acquire from Western Aggregates in fee, as Western Aggregates has stated that it hopes to use that land to eventually build a railroad spur for the transportation of aggregate from the Goldfields. DWR has agreed to allow these Western Aggregate easements to remain in place.

Western Aggregate has requested TRLIA to convert their current railway easement into a floating railway easement on the properties that TRLIA seeks to acquire from Western Aggregates, but also along other sections of the Upper Yuba Project levee and O&M corridors where Western Aggregates does not currently have any ownership interest. In the 16th quarter, TRLIA met with DWR officials about this request and DWR has indicated that the CVFPB is the lead agency on this item. During the 21st quarter TRLIA will continue to negotiate with Western Aggregates on this item.

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

- **Final Accounting Packages (FAPs) and Cadastral Requirements:** Tables 1 to 6 provide the status of Real Estate Property actions and Final Accounting Packages (FAPs). TRLIA will be submitting Final Accounting Packages (FAP's) during the 21st quarter.

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

Number	CVFPB #	Parcels	Owner	DWR RE Approval Status
1	14050	020-080-009	Western Aggregates, Inc.	
2	14051	021-041-006	Clara Willis, Et al	
3	14052	021-041-007	Bernard J. Perez	
4	14053	021-041-010	Lothar S. Klug, Et Al	
5	14054	021-041-009	ROSA MARTHA VALDEZ	
6	14055	021-041-012, 021-042-014	Steve Gilbert, Et Al	
7	14056	021-042-027	Humam El Sharif	
8	14057	021-0500-001	Orest Wesely, Et Al	
9	14058	018-220-048, -049	COF Quail Hollow Land 35F LLC	
10	14059	018-210-014	Stephanie Morris	
11	14060	018-210-029	Robert G. Wood	
12	14061	018-220-007	Howard R. Miller	
13	14062	018-200-001, 018-220-030	Ajit S. Bains	

14	14063	018-200-005, -007, 018-210-035	Anthony J. Luis, Et Al
15	14064	018-200-008	Danel J. Luis
16	14065	018-190-002, 018-200-006	Richard G. Wilbur Trust
17	14066	018-140-040	Richard G. Wilbur Trust
18	14067	018-150-015, 018-190-001	Henry P. Smith Et Al
19	14068	018-190-110	Walbinder S. Sohal Living Trust
20	14069	018-190-107, 018-190-108	Sohal Family Trust
21	14070	018-150-035, 018-190-104	Michele R. Baker
22	14071	018-150-032	Shintaffer Farms, Inc.
23	14072	018-190-109	Bhajan S. Sohal, Et Al
24	14073	021-021-001	Dunning Properties, LP
25	14074	Portion of 018-220-056	Wilbur, Richard G.
26	14075	018-220-056	Western Aggregates, LLC
27	14079	020-410-001	Allen, Jason G.
28	14080	Portion of 018-150-032 and -035	Federal Fruit Exchange
29	14081	018-230-028	Orchard Growers
30	not assigned - TCE only	018-140-041	Naumes, Inc.
31	not assigned - TCE only	018-190-085	Rahul, Surjit S. & Parmjit

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

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14050	Western Aggregates, LLC	Negotiation					TRLIA has offered to grant back railroad easement over properties it seeks to acquire in fee. Western responded that it wants additional railroad easements along other properties TRILIA has acquired. Parties are negotiating.
14062	Ajit S. Bains & Maria Del Carmen	Litigation		\$38,700.00		\$15,050	Judgment entered February 10, 2014; Final Order of Condemnation recorded 6/17/14.

14063	Anthony J. & Zelma B. Luis	Settlement Reached				\$11,200	Settlement agreement signed. Agreement has contingencies that we are working on. As a result, the eminent domain action is still pending until settlement contingencies are completed.
14065	Richard G. Wilbur Trust	Litigation		\$40,000.00			Judgment entered April 23, 2014; Final Order of Condemnation recorded 6/23/14.
14066	Richard G. Wilbur Trust	Litigation				\$16,100	See comment for CVFPB 14065
14070	Michele R. Barker	Settlement Reached; not signed				\$64,750	Property owners are reviewing proposed cross-levee easement before signing the settlement agreement. The easement has been provided to the property owners' attorney.
14073	Dunning Properties, LLC	Negotiation					TRLIA has been advised Western Aggregates owns the Dunning Brothers property. Accordingly, this property has the same issues as the other Western Aggregate Properties
14074	Richard G. Wilbur	Negotiation					First Written Offer 3/7/13 Pending settlement of Eminent Domain properties
14075	Western Aggregates, LLC	Negotiation					See comment for CVFPB 14050
14079	Jason G. Allen	Settlement Reached		\$210,000.00	\$147,070.00	Not invoiced yet	Judgment entered 7/8/14.

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

At BRI:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14064	Daniel J. Luis	Complete		\$46,477.00	\$32,533.90	\$5,670.00	Need Final Order of Condemnation. This parcel is part of the same eminent domain action as CVFPB 14063, and the final order will record at the same time as that parcel.
14067	Henry P. Smith	Complete		\$64,000.00	\$44,800.00	\$22,400.00	FAP in process
14071	Shintaffer Farms, Inc.	Complete		\$5,500.00	\$3,850.00	\$437.00	Received Title Policy with errors 5/8/14; requested revisions

Table 4 - At Downey Brand:

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14054	Valdez	Complete		\$5,200.00	\$3,640.00	\$1,820.00	Submitted to DB 1/17/14; resubmitted 4/24/14; DB provided comments in July 2014
14059	Stephanie Morris	In Escrow		\$7,900.00	\$5,530.00	\$4,060.00	Submitted to DB 5/1/14; DB provided comments in July 2014
14061	Howard R Miller	In Escrow		\$1,400.00	\$980.00	\$980.00	Submitted to DB 5/9/14; DB provided comments in July 2014
14069	Awtar S. Sohal & Sukhvir K. Sohal, Co-Trustees	Complete		\$41,500.00	\$29,050.00	\$21,787.50	Submitted to DB 6/2/14; DB provided comments in July 2014
not assigned - TCE only	Naumes, Inc.	Complete		\$3,000.00	\$2,100.00	\$175.00	Submitted to DB 6/6/14; DB provided comments in July 2014
not assigned - TCE only	Rahul, Surjit S. & Parmjit	Complete		\$500.00	\$350.00	\$175.00	Submitted to DB 6/6/14; DB provided comments in July 2014

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

CVFPB	OWNER	STATUS OF ACQUISITION	STATUS OF F.A.P. (target to be submitted to DWR)	SETTLEMENT AMOUNT / TOTAL CLAIMED	STATE SHARE OF SETTLEMENT	INVOICED TO DATE	COMMENTS
14051	Ronnie C. Willis	Complete	submitted	\$29,500.00	\$20,650.00	\$20,650.00	To DWR 10/11/13
14052	Bernard J. Perez	Complete	submitted	\$10,350.00	\$7,245.00	\$7,245.00	To DWR 4/17/13
14053	Lothar S. & Brigitta M. Klug	Complete	submitted	\$2,800.00	\$1,960.00	\$1,960.00	To DWR 4/17/13
14055	Steve and Denise Gilbert	Complete	submitted	\$15,700.00	\$14,840.00	\$14,840.00	To DWR 8/1/13
14055	Steve and Denise Gilbert	Complete	submitted	\$5,500.00			To DWR 8/1/13
14056	Humam El Sharif	Complete	submitted	\$2,100.00	\$1,470.00	\$1,470.00	To DWR 4/25/14
14057	Orest and Irene Wesely	Complete	submitted	\$33,000.00	\$23,100.00	\$23,100.00	To DWR 10/11/13
14058	COF Quail Hollow Land	Complete	submitted	\$34,750.00	\$24,325.00	\$24,325.00	To DWR 4/17/13
14060	Robert Glenn Wood	Complete	submitted	\$3,200.00	\$2,240.00	\$2,240.00	To DWR 4/17/13
14068	Walbinder S. Sohal Living Trust,	Complete	submitted	\$598,500.00	\$418,950.00	\$418,950.00	To DWR 1/22/14
14072	Bhajan S. & Rajwant K. Sohal	Complete	submitted	\$598,500.00	\$418,950.00	\$418,950.00	TO DWR 1/22/14
14080	Federal Fruit Distributors	Complete	submitted	\$800.00	\$560.00	\$392.00	To DWR 4/25/14
14081	Orchard Growers	Complete	submitted	\$500.00	\$350.00		To DWR 3/24/14

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

CVFPB #	Property Owner	Relocated Tenant	Status of Relocation	Amount of Relocation Benefits Paid	Comments
14064	Daniel J. Luis	Kimberly Fuller	Complete	\$42,550.47	
	Jason G. Allen	Bill and Marilyn Jensen	Complete	\$26,800.57	
	Jason G. Allen	Trevor Jensen and Sammantha Pettet	Complete	\$31,130.00	
	Jason G. Allen	Ed Widener	Complete	\$12,272.00	
	Jason G. Allen	Jack Fouse	Complete	\$0	No response from tenant, who moved from Park.

	Jason G. Allen	Les Begley	Complete	\$1,100.00	
	Jason G. Allen	Judy Cordova	Complete	\$13,672.66	
	Jason G. Allen	Sarah Fite	Complete	\$27,964.56	
	Jason G. Allen	David Haughton	Complete	\$2,402.78	
	Jason G. Allen	Jason G. Allen	Complete	\$24,754.99	

➤ **Element 8 Closeout Process:**

- 8 Feature 1: Closeout Process
 - On November 15th TRLIA submitted its initial draft of Closeout Documentation for the UYRLIP project for DWR’s review. As part of that submission, TRLIA requested a partial release of retention for the portion of the project that has been completed. As of the date of this report the DWR has not yet responded to the TRLIA request. TRLIA will continue to work with DWR on this item in the 21st quarter.

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

➤ **Element 9 WPIC 200-yr Standard:**

- On September 24, 2014 the UYLIP funding agreement was amended for the 3rd time to include this Element.
- Feature 1 Design: TRLIA through its consultants, HDR Inc. and MBK Engineers, will continue the design of the ULDC Remediation for the WPIC. Design Water Surface Elevations have been established and were presented in a MBK Technical Memorandum dated May 14, 2014. Additional geotechnical explorations and testing were accomplished in 2013 and was presented in a Geotechnical Data Report dated May 30, 2014. Both of these documents have been reviewed by the TRLIA Independent Expert Panel (IEP). HDR has completed work on a Draft Alternatives Analysis Report dated August 6, 2014. This report is under review and has been submitted to the IEP for review and to DWR. This analysis will be used to choose the final remediation locations and features. A meeting of the IEP with DWR participation is scheduled for October 8, 2014. In the 21st Quarter HDR will begin to prepare the plans and specifications for the selected remediation features.
- Feature 2 Permitting:
 - See Attachment 1 for permits listing
 - Permits status and projected: Initial estimates of potential environmental impacts are being made based on environmental resource mapping accomplished by PG&E for a power line project.

The construction area is in Giant Garter Snake Habitat and seasonal wetlands are also in the proposed construction area. Work will begin on the CEQA Document in the 21st Quarter as the remediation reaches and alternatives are finalized.

- Feature 3 Right of Way Acquisition: Real Estate acquisition work will occur during this quarter
- Feature 4 Right of Way Support:
 - TRLIA will submit in the 21st quarter an UYLIP Real Estate amendment. TRLIA is in the process of obtaining updated title information for other properties in this element in order to prepare the real estate plan.
 - Prior to the UYLIP 3rd funding amendment being approved TRLIA filed an eminent domain action against Latigo Farms LLC to acquire property rights need for this element. TRLIA will continue working on this eminent domain action in the 21st quarter.
- Feature 5 Construction Management: No work is anticipated in the 21st quarter.
- Feature 6 Construction: No work is anticipated in the 21st quarter.
- Feature 7 Updated O&M Manual: No work is anticipated in the 21st quarter.
- **Element 10 ULE 86' Break Area 200-yr Standard:**
 - On September 24, 2014 the UYLIP funding agreement was amended for the 3rd time to include this Element.
 - Feature 1 Permitting:
 - See Attachment 2 for permits listing
 - An application for an encroachment permit was submitted to the CVFPB on August 14, 2014. This work will fall under a CEQA categorical exemption. The attempt will be made to also have USACE use a NEPA categorical exemption as well. Coordination has begun with USACE regarding Section 408 approval. Coordination will continue with the CVFPB and USACE during the 21st Quarter on the encroachment permit and Section 408 approval.
 - Feature 2 Geotechnical Explorations: Geotechnical explorations and testing were done in early 2014 to delineate the extent of the large rocks in the levee foundation at the 86' Break Location. This effort is finished and

no additional work for this feature is anticipated.

- Feature 3 Design: Based on the explorations the extent and cross section of the remediation feature was developed. The proposed remediation is to enlarge an existing landside stability berm in the vicinity of the 86 Break so that even if material is lost from the embankment through a slump, enough levee embankment will remain to withstand flood forces. The proposed enlargement of the existing stability berm will extend from station 2151+79 to station 2156+36 (457 linear feet (LF)). The enlarged berm will be constructed on top of an existing seepage berm and will consist of general fill. The enlarged berm top width will be 53 feet. The side slope of the berm will be 3 horizontal to 1 vertical. The top of the berm will be set at elevation 81.2 feet NAVD88 which is 3 feet above the elevation of the 200-Year flood (78.2 feet NAVD88) and will give a berm height of approximately 11 feet above the top surface of the existing seepage berm. The 1957 Design Profile Water Surface Elevation at this location is 79.1 feet NAVD88. This is a simple design and the approach will be to use very simple plans and specifications to construct. During the 21st Quarter, TRLIA will evaluate the best way to bid and construct this remediation.
- Feature 4 Construction: No work is anticipated in the 21st quarter.
- Feature 5 Construction Management: No work is anticipated in the 21st quarter.

- **Environmental matters:**

- See Project Element 3 Feature 5 Environmental Mitigation above for this information for Project Elements 1 to 8.
- See Project Element 9 Feature 2 Permitting for this information for Project Element 9.

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

- **Element 9:** See Element 9 Feature 2 above for status and attachment 1 for list.
- **Element 10:** See Element 10 Feature 1 for status and attachment 2 for list.

- **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 by the 21st quarter.

- Project Element 9 Features 3 & 4: Real Estate Plan submitted
- **Issues/concerns that have, will, or could affect the schedule or budget, with a recommendation on how to correct the matter:**
 - **Issue 1:** Western Aggregate has requested TRLIA to convert their current railway easement into a floating railway easement on the properties that TRLIA seeks to acquire from Western Aggregates, but also along other sections of the Upper Yuba Project levee and O&M corridors where Western Aggregates does not currently have any ownership interest. In the 16th quarter, TRLIA met with DWR officials about this request and DWR has indicated that the CVFPB is the lead agency on this item. During the 21st quarter TRLIA will continue to negotiate with Western Aggregates and the state on this item.

Recommended Solution: DWR support TRLIA as negotiations with the CVFPB transpire for the approval of the Western Aggregate floating easement request.
 - **Issue 2:** TRLIA has submitted an initial draft of Project Closeout materials in electronic format for DWR's review. This Project Closeout Documentation report presents a compilation of all of the required project closeout documentation that has been prepared to date. As part of this submission, TRLIA presented a request for a partial release of retention of the work completed through 15th Quarter in the amount of \$2,448,160 less credit for interest earned State Funding in the amount of \$106,799 for a net release of \$2,341,361. TRLIA is prepared to work with State to respond to any inquiries related to this request. As TRLIA continues to expend funds on the project and other efforts, a release of retention will help TRLIA to cash flow the remainder of this project.

Recommended Solution: DWR review TRLIA's request and provide comments on the request and at the same time commence the process of a partial release of retention for those elements deemed complete.
- **Describe differences between the work to be performed and the work outlined in the Overall Work Plan, including anticipated change orders:**
 - As noted above in Section 4, Elements 9 & 10 have been incorporated into the Overall Work Plan to reflect work associated 200-Year Compliance actions on the WPIC and the 1986 Break Site. QWP reflects an effective Funding Agreement Amendment No. 3.
- **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.

In the 18th quarter TRLIA shifted the remaining budget within the completed Element 1 to Element 1A to adjust for the budget exceeded within the Construction, Construction Management within Element 1A.

As Part of the 19th Quarter Work Plan, and at the same time an associated Amendment No. 3 to the Funding Agreement, TRLIA updated the Overall Work Plan Budget. 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 further updates are requested with this Work Plan.

- **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 18th 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 activities in the 21st Quarter. TRLIA plans to expend approximately \$2,000k during the 21st Quarter to continue ROW acquisition finalization. The revised overall adjusted budget is now \$1,060,000.
- **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 QWP. Upon completion of the 16th Quarter, approximately (100%) \$1,067,000 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 \$10.3 million and the amount forecasted to be expended this quarter is \$46,000. This amount, in conjunction with estimated prior expenses furthering Element 3 efforts, will result in having expended roughly 91% (\$9.4 million) of the Element's revised budget.
- **Element 4: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Construction – Sta 102+50 to 303+59**
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 89% (\$8.65 million) of the revised 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 \$119,000 of Overhead and Admin expenses in the quarter. After the quarter is complete, TRLIA will have expended roughly 78% of the amended Element 6 budget (\$4.9 million).
- **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 45% of the revised Element 7 (\$5.4 million) budget.
- **Element 8 – Project Closeout efforts:**
This element was added in the 14th quarter. TRLIA expects to continue efforts in the 18th quarter and expects to expend \$8,000 on efforts associated with responding to DWR comments and review of the initial submission (during the 17th quarter) and processing a partial release of retention.
- **Element 9 – WPIC 200-Yr Standard:**
This element was added in the 15th quarter. TRLIA expects to have commenced efforts associated with Design, Permitting, and ROW Support / Acquisition during the 18th Quarter (pending approval of the work by DWR).

In the 21st quarter TRLIA expects to expend \$241,400 as it continues Design, Planning and ROW efforts.

➤ **Element 10 – Yuba ULDC Remediation 1986 Break Site:**

This element was added during the 20th quarter. The total budget for this Element is \$1,500,000. In the 21st quarter TRLIA expects to expend \$35,000 as it continues the design and project management efforts.

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 20th Quarter Work Plan:

Quarterly Work Plan Summary				
Description	State Share	Local Share	Total	Local Credit Applied
Elements 7 & 9 - ROW Acquisition	\$0	\$0	\$0	\$0
Elements 1 through 6, 8, 9 & 10	\$372,687	\$159,723	\$532,410	\$0
Total	\$372,687	\$159,723	\$532,410	\$0

Quarterly Summary for Real Estate Activity	
State Share Elements 7 & 9	\$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 through 10	\$279,515
plus/minus State Share true-up for Prior Quarters [1]	\$587,895
Total Advance for State Share at Start of 21st Quarter	\$867,411

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

Quarterly Local Credit Summary for Non-Real Estate Activity	
Local Credit Elements 1 through 6 & 8 through 10	\$0
plus/minus Local Credit true-up for Prior Quarters [1]	\$13,028
Total Advance for Local Credit at Start of 21st Quarter	\$13,028

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction
As of 20th Quarter - State Share: Based on 19th QPR plus 20th QWP
(as adjusted for schedule and other factors)

Total Non-Real Estate Non-Creditable Expenses (Elements 1 – 6, 8 – 10) through 19th Quarter [1]	\$22,846,806
20th Quarter Total Non-Real Estate Forecasted Expenses [2]	\$599,500
Total Expenses Forecasted through 20th Quarter	\$23,446,306
State Share True-Up Calculations	
Total State Share of Above Expenses	\$16,272,559
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$14,645,303
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
14th Quarter True-Up	\$692,148
15th Quarter Advance	\$267,234
2nd Quarter revised True-Up	\$92,631
16th Quarter True-Up	\$37,164
17th Quarter True-Up	\$153,917
18th Quarter Advance	\$87,124
20th Quarter Advance	\$197,925
Total State Share Funding Received	\$14,057,408
Estimated State Share Construction Funding Due as of 20th Quarter	\$587,895

**As of 20th Quarter - Local Share: Based on 19th QPR plus 20th QWP
(as adjusted for schedule and other factors)**

Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$7,173,747
Total Local Funding Credit Due	\$7,173,747
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
Local Credit True-Up (from 14th Quarter)	\$329,594
Local Credit True-Up (from 16th Quarter)	\$88,880
Local Credit True-Up (from 17th Quarter)	\$73,294
Local Credit Advanced (from 18th Quarter)	\$49,785
Local Credit Advanced (from 20th Quarter)	\$489,104
Total Credit Funding Received	\$6,606,588
Local Credit Due as of 20th Quarter [1]	\$13,028

[1] 19th Quarter QPR Costs Subject to review by DWR., 20th QWP adjusted for actual expenses. Local Credit is limited to available credit.

The following tables present Element and Feature level details for the 21st Quarterly Work Plan.

Summary of TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

SUMMARY ALL ELEMENTS

Elements and Features	Overall Budget [1]			Estimated Cumulative Expenses [2]			Forecasted Remaining Budget			Quarterly Forecast			Advance	
	Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share	Total	State	Local	State Share	
Formula	a	b	c = a-b	d	e	f = d-e	g = a-d	h = b-e	i = c-f	j	k	l=j-k	l=k*75%	
Quarterly Advance Request Elements (Not Including Real Estate)														
Element 1: Flatten Waterside Levee Slope	\$782,007	\$547,405	\$234,602	\$728,160	\$509,712	\$218,448	\$53,847	\$37,693	\$16,154	\$0	\$0	\$0	\$0	
Element 1A: Land Side Improvement (Shadpad)	\$1,060,000	\$742,000	\$318,000	\$1,024,607	\$717,225	\$307,382	\$35,393	\$24,775	\$10,618	\$2,000	\$1,400	\$600	\$1,050	
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	\$10,301,168	\$7,210,817	\$3,090,350	\$9,327,271	\$6,529,089	\$2,798,181	\$973,897	\$681,728	\$292,169	\$46,000	\$32,200	\$13,800	\$24,150	
Element 4: Levee Improvements Construction	\$9,800,000	\$6,860,000	\$2,940,000	\$8,773,919	\$6,141,743	\$2,632,176	\$1,026,081	\$718,257	\$307,824	\$75,000	\$52,500	\$22,500	\$39,375	
Element 6: Admin & Overhead	\$4,901,913	\$3,431,339	\$1,470,574	\$3,715,935	\$2,601,155	\$1,114,781	\$1,185,978	\$830,184	\$355,793	\$119,000	\$83,300	\$35,700	\$62,475	
Element 8: Project Closeout Efforts	\$200,000	\$140,000	\$60,000	\$15,872	\$11,111	\$4,762	\$184,128	\$128,889	\$55,238	\$8,000	\$5,600	\$2,400	\$4,200	
Element 9: WPIC 200-Yr Standard (net of ROW)	\$14,150,000	\$9,905,000	\$4,245,000	\$583,587	\$408,511	\$175,076	\$13,566,413	\$9,496,489	\$4,069,924	\$241,410	\$168,987	\$72,423	\$126,740	
Element 10: Yuba ULDC Remediation 1986 Brea	\$1,500,000	\$1,050,000	\$450,000	\$141,813	\$99,269	\$42,544	\$1,358,187	\$950,731	\$407,456	\$41,000	\$28,700	\$12,300	\$21,525	
Sub-Total Elements 1 through 4, 6, 8 & 9	\$43,765,000	\$30,421,517	\$13,343,483	\$25,376,217	\$17,550,341	\$7,825,876	\$18,388,783	\$12,871,176	\$5,517,607	\$532,410	\$372,687	\$159,723	\$279,515	
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	\$0	\$0	\$0	\$9,760,791	\$6,832,554	\$2,928,237	-\$9,760,791	-\$6,832,554	-\$2,928,237					
Real Estate Forecast for Quarter														
Element 7: Land Acquisition	\$5,373,838	\$3,761,687	\$1,612,151	\$2,592,020	\$1,814,414	\$777,606	\$2,781,818	\$1,947,272	\$834,545	\$0	\$0	\$0	\$0	
Element 9, Feature 9.3: WPIC - ROW Acquisition	\$1,000,000	\$700,000	\$300,000	\$17,644	\$12,351	\$5,293	\$982,356	\$687,649	\$294,707	\$0	\$0	\$0	\$0	
Subtotal Real Estate Forecast	\$6,373,838	\$4,461,687	\$1,912,151 #	\$2,609,665	\$1,826,765	\$782,899 #	\$3,764,173	\$2,634,921	\$1,129,252	\$0	\$0	\$0	\$0	
Local Credit Reconciliation														
Quarterly Advance Calculation										Total Local Share of Eligible Expenses this Quarter				\$159,723 (From Above)
75% of State Share of Eligible Elements										Estimated Total Local Credit				\$6,619,616 (Approved Local Credit Amount)
plus Local Share Subject to Credit														
Total														\$279,515
Note: Payments are subject to true-up for actual expenses.														
										Local Credit Advanced (from 1st Quarter)				\$410,772
										Local Credit Advanced (from 2nd Quarter)				\$343,623
										Local Credit Advanced (from 3rd Quarter)				\$1,533,856
										Local Credit True-Up (from 2nd Quarter)				\$152,747
										Local Credit Advanced (from 4th Quarter)				\$2,622,994
										Local Credit True-Up (from 13th Quarter)				\$511,939
										Local Credit True-Up (from 14th Quarter)				\$329,594
										Local Credit True-Up (from 16th Quarter)				\$88,880
										Local Credit True-Up (from 17th Quarter)				\$73,294
										Local Credit Advance (from 18th Quarter)				\$49,785
										Local Credit Advance (from 20th Quarter)				\$489,104
										Total Local Credit Received				\$6,606,588
										Remaining Local Credit Approved				\$13,028
										Cumulative Prior Credit Due				\$13,028
										Requested Local Credit to be Paid with Advance				\$0 (Limited to remaining credit available)
										Credit Remaining After Advance				\$0

"21QYubaSumm"

[1] As reflected in the 19th Quarterly Work Plan and Proposed Amendment No. 3 for the Upper Yuba Project.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget

Upper Yuba

For Period October/November/December 2014

ELEMENT 1

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
Element 1: Flatten Waterside Levee Slope – Sta 3+00 to 33+50															
1.1: Design	70%	\$199,279	\$139,495	\$59,784	\$198,854	\$139,198	\$59,656	\$424	\$297	\$127	0%	\$0	\$0	\$0	0%
1.2: Permitting	70%	\$49,134	\$34,394	\$14,740	\$869	\$608	\$261	\$48,265	\$33,786	\$14,480	98%	\$0	\$0	\$0	0%
1.3: Right of Way	70%	\$24,285	\$16,999	\$7,285	\$23,731	\$16,612	\$7,119	\$553	\$387	\$166	2%	\$0	\$0	\$0	0%
1.4: Construction Management	70%	\$180,492	\$126,345	\$54,148	\$179,455	\$125,618	\$53,836	\$1,037	\$726	\$311	1%	\$0	\$0	\$0	0%
1.5: Construction	70%	\$325,250	\$227,675	\$97,575	\$325,250	\$227,675	\$97,575	\$0	\$0	\$0	0%	\$0	\$0	\$0	0%
1.6: O&M Manual addendum	70%	\$3,567	\$2,497	\$1,070	\$0	\$0	\$0	\$3,567	\$2,497	\$1,070	100%	\$0	\$0	\$0	0%
Subtotal Element 1		\$782,007	\$547,405	\$234,602	\$728,160	\$509,712	\$218,448	\$53,847	\$37,693	\$16,154	7%	\$0	\$0	\$0	0%

"21QYubaElem1"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 1A

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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 1A: Land Side Levee Improvement															
- Sta 7+00 to 8+20 (Shadpad Road)															
1A.1: Design	70%	\$80,000	\$56,000	\$24,000	\$78,792	\$55,155	\$23,638	\$1,208	\$845	\$362	2%	\$0	\$0	\$0	0%
1A.2: Permitting	70%	\$105,000	\$73,500	\$31,500	\$99,649	\$69,754	\$29,895	\$5,351	\$3,746	\$1,605	5%	\$0	\$0	\$0	0%
1A.3: Right of Way	70%	\$240,000	\$168,000	\$72,000	\$187,118	\$130,983	\$56,135	\$52,882	\$37,017	\$15,865	22%	\$2,000	\$1,400	\$600	4%
1A.4: Construction Management	70%	\$175,000	\$122,500	\$52,500	\$178,880	\$125,216	\$53,664	-\$3,880	-\$2,716	-\$1,164	-2%	\$0	\$0	\$0	0%
1A.5: Construction	70%	\$455,000	\$318,500	\$136,500	\$480,168	\$336,117	\$144,050	-\$25,168	-\$17,617	-\$7,550	-6%	\$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		\$1,060,000	\$742,000	\$318,000	\$1,024,607	\$717,225	\$307,382	\$35,393	\$24,775	\$10,618	3%	\$2,000	\$1,400	\$600	6%

"21QYubaElem1A"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
 Upper Yuba

For Period October/November/December 2014

ELEMENT 2

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
Formula	a	b	c=axb	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g	k	l=axk	m=k-l		
Element 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%

"21QYubaElem2"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
 Upper Yuba

For Period October/November/December 2014

ELEMENT 3

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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%	\$2,935,767	\$2,055,037	\$880,730	\$2,879,852	\$2,015,897	\$863,956	\$55,915	\$39,140	\$16,774	2%	\$40,000	\$28,000	\$12,000	72%
3.1: Final Design	70%	\$2,279,307	\$1,595,515	\$683,792	\$2,249,271	\$1,574,490	\$674,781	\$30,036	\$21,025	\$9,011	1%	\$0	\$0	\$0	0%
3.2: Permitting	70%	\$702,461	\$491,723	\$210,738	\$161,190	\$112,833	\$48,357	\$541,271	\$378,890	\$162,381	77%	\$0	\$0	\$0	0%
3.4: Construction Management	70%	\$2,175,000	\$1,522,500	\$652,500	\$2,163,414	\$1,514,390	\$649,024	\$11,586	\$8,110	\$3,476	1%	\$3,000	\$2,100	\$900	26%
3.5: Environmental Mitigation	70%	\$415,091	\$290,564	\$124,527	\$422,511	\$295,757	\$126,753	-\$7,420	-\$5,194	-\$2,226	-2%	\$3,000	\$2,100	\$900	-40%
3.6: O&M Manual addendum	70%	\$189,419	\$132,593	\$56,826	\$48,796	\$34,157	\$14,639	\$140,623	\$98,436	\$42,187	74%	\$0	\$0	\$0	0%
Subtotal Element 3		\$10,301,168	\$7,210,817	\$3,090,350	\$9,327,271	\$6,529,089	\$2,798,181	\$973,897	\$681,728	\$292,169	9%	\$46,000	\$32,200	\$13,800	5%

"21QYubaElem3"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 4

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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	\$6,860,000	\$2,940,000	\$8,773,919	\$6,141,743	\$2,632,176	\$1,026,081	\$718,257	\$307,824	10%	\$75,000	\$52,500	\$22,500	7%
Subtotal Element 4		\$9,800,000	\$6,860,000	\$2,940,000	\$8,773,919	\$6,141,743	\$2,632,176	\$1,026,081	\$718,257	\$307,824	10%	\$75,000	\$52,500	\$22,500	7%

"21QYubaElem4"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 5

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
		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	
Element 5: Prior Completed Work															
5.1 - Prior Completed Work	70%	\$0	\$0	\$0	\$9,760,791	\$6,832,554	\$2,928,237	-\$9,760,791	-\$6,832,554	-\$2,928,237	#DIV/0!	\$0	\$0	\$0	0%
Subtotal Element 5		\$0	\$0	\$0	\$9,760,791	\$6,832,554	\$2,928,237	-\$9,760,791	-\$6,832,554	-\$2,928,237	#DIV/0!	\$0	\$0	\$0	0%

"21QYubaElem5"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 6

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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 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	\$1,147,870	\$803,509	\$344,361	\$122,844	\$85,991	\$36,853	10%	\$100,000	\$70,000	\$30,000	81%
6.2 - TRLIA Consultant Exp.	70%	\$1,360,377	\$952,264	\$408,113	\$968,408	\$677,886	\$290,522	\$391,969	\$274,378	\$117,591	29%	\$8,000	\$5,600	\$2,400	2%
6.3 - TRLIA Legal Support	70%	\$1,044,235	\$730,964	\$313,270	\$340,951	\$238,666	\$102,285	\$703,284	\$492,299	\$210,985	67%	\$1,000	\$700	\$300	0%
6.4 - TRLIA Travel Expenses	70%	\$9,992	\$6,995	\$2,998	\$94	\$66	\$28	\$9,898	\$6,929	\$2,970	99%	\$0	\$0	\$0	0%
6.5 - TRLIA General Expenses	70%	\$356,643	\$249,650	\$106,993	\$157,211	\$110,047	\$47,163	\$199,433	\$139,603	\$59,830	56%	\$10,000	\$7,000	\$3,000	5%
6.6 - TRLIA Insurance	70%	\$814,119	\$569,883	\$244,236	\$1,085,996	\$760,197	\$325,799	-\$271,877	-\$190,314	-\$81,563	-33%	\$0	\$0	\$0	0%
6.7 - TRLIA Travel - Vehicle Lease	70%	\$26,714	\$18,700	\$8,014	\$15,406	\$10,784	\$4,622	\$11,308	\$7,915	\$3,392	42%	\$0	\$0	\$0	0%
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		\$4,901,913	\$3,431,339	\$1,470,574	\$3,715,935	\$2,601,155	\$1,114,781	\$1,185,978	\$830,184	\$355,793	24%	\$119,000	\$83,300	\$35,700	10%

"21QYubaElem6"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
 Upper Yuba

For Period October/November/December 2014

ELEMENT 7

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2014) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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%	\$5,373,838	\$3,761,687	\$1,612,151	\$2,592,020	\$1,814,414	\$777,606	\$2,781,818	\$1,947,272	\$834,545	52%	\$0	\$0	\$0	0%
Subtotal Element 7		\$5,373,838	\$3,761,687	\$1,612,151	\$2,592,020	\$1,814,414	\$777,606	\$2,781,818	\$1,947,272	\$834,545	52%	\$0	\$0	\$0	0%

"21QYubaElem7"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 8

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	21st 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 8: Project Closeout Efforts															
8.1 - Project Close Out Efforts	70%	\$200,000	\$140,000	\$60,000	\$15,872	\$11,111	\$4,762	\$184,128	\$128,889	\$55,238	92%	\$8,000	\$5,600	\$2,400	4%
Subtotal Element 8		\$200,000	\$140,000	\$60,000	\$15,872	\$11,111	\$4,762	\$184,128	\$128,889	\$55,238	92%	\$8,000	\$5,600	\$2,400	4%

"21QYubaElem8"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

TRLIA Quarterly Work Plan Budget
 Upper Yuba

For Period October/November/December 2014

ELEMENT 9

Elements and Features	State Share	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	21st Quarterly Forecast			% of Remaining Budget
		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	
Element 9: WPIC 200-Yr Standard															
9.1 - Design	70%	\$800,000	\$560,000	\$240,000	\$488,156	\$341,709	\$146,447	\$311,844	\$218,291	\$93,553	39%	\$120,000	\$84,000	\$36,000	38%
9.2 - Permitting & Environmental C	70%	\$300,000	\$210,000	\$90,000	\$45,432	\$31,802	\$13,629	\$254,568	\$178,198	\$76,371	85%	\$68,077	\$47,654	\$20,423	27%
9.3 - Right of Way Acquisition	70%	\$1,000,000	\$700,000	\$300,000	\$17,644	\$12,351	\$5,293	\$982,356	\$687,649	\$294,707	98%	\$0	\$0	\$0	0%
9.4 - Right of Way Support	70%	\$200,000	\$140,000	\$60,000	\$50,000	\$35,000	\$15,000	\$150,000	\$105,000	\$45,000	75%	\$53,333	\$37,333	\$16,000	36%
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	\$601,232	\$420,862	\$180,369	\$14,548,768	\$10,184,138	\$4,364,631	96%	\$241,410	\$168,987	\$72,423	2%

"21QYubaElem9"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.
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TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October/November/December 2014

ELEMENT 10

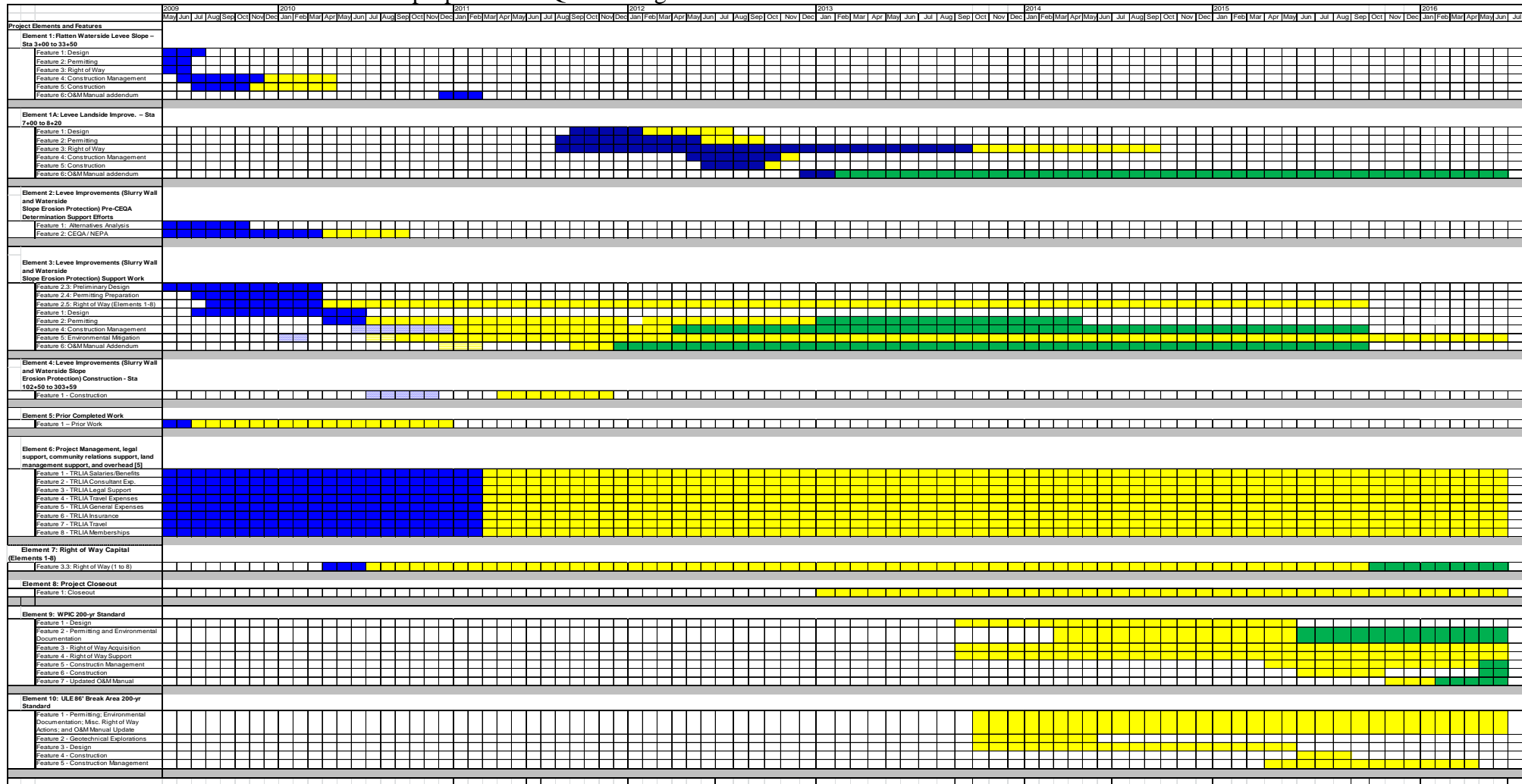
Elements and Features	State Share	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	21st Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local	Total	State	Local		Total	State	Local	
Formula	a	b	c=axb <small>UPPER YUBA 19th 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 10: Yuba ULDC Remediation 1986 Break Site															
10.1 - Project Management	70%	\$190,000	\$133,000	\$57,000	\$7,046	\$4,932	\$2,114	\$182,955	\$128,068	\$54,886	96%	\$6,000	\$4,200	\$1,800	3%
10.2 - Geotechnical Explorations	70%	\$60,000	\$42,000	\$18,000	\$134,404	\$94,083	\$40,321	-\$74,404	-\$52,083	-\$22,321	-124%	\$0	\$0	\$0	0%
10.3 - Design	70%	\$40,000	\$28,000	\$12,000	\$363	\$254	\$109	\$39,637	\$27,746	\$11,891	99%	\$35,000	\$24,500	\$10,500	88%
10.4 - Construction	70%	\$1,100,000	\$770,000	\$330,000	\$0	\$0	\$0	\$1,100,000	\$770,000	\$330,000	100%	\$0	\$0	\$0	0%
10.5 - Construction Management	70%	\$110,000	\$77,000	\$33,000	\$0	\$0	\$0	\$110,000	\$77,000	\$33,000	100%	\$0	\$0	\$0	0%
Subtotal Element 10		\$1,500,000	\$1,050,000	\$450,000	\$141,813	\$99,269	\$42,544	\$1,358,187	\$950,731	\$407,456	91%	\$41,000	\$28,700	\$12,300	3%

"21QYubaElem10"

[1] Revised per this Upper Yuba 19th Quarterly Work Plan with the addition of Element 10.

[2] Reflects estimated expenses through the 20th Quarter based on prior actual expenses through June 30, 2014 (19th QPR) and estimated of expenses from July to September 2014 based on the 20th 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), that includes Amendment 3 and proposed 21st QWP changes.



Blue: Original **Pattern:** Not Viable **Yellow:** Prior Quarter Adjustments and Amendments **Green:** Proposed Changes

- **A discussion on how the projected schedule compares to original or last reported schedule:**
 - Project Element 1A Feature 6, and Project Element 3, Features 2, 4, and 6 are shown green to reflect that these items are still open. Also, proposed Amendment 3 indicates that these items are still open.
 - Project Element 7 Feature 3.3 is extended to the end of the funding agreement to allow for property acquisitions to complete
 - Project Element 9 Feature 2 was extended to accommodate recently identified environmental permitting requirements
 - Project Element 9 Features 5 & 6 were extended to accommodate recently identified time needed for construction
 - Project Element 9 Feature 7 was extended to allow for construction to be completed so that the O&M manual can reflect finished work.

7. Attachments:

1. Updated Overall Work plan Tab D Project Element 9: WPIC 200-Yr Standard permit list
2. Updated Overall Work plan Tab D Project Element 10: ULE 86' Break Area 200-yr Standard permit list

Attachment 1
Tab D: Project Element and Features Permits & Environmental Documents
WPIC 200-yr Standard (added by Amendment 3)

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	Status
Central Valley Flood Protection Board	Encroachment Permit	Yes	<ul style="list-style-type: none"> Permit No. 17782 BD was issued by the CVFPB (Reclamation Board) on May 19, 2005 for the original WPIC work. A new permit will be requested for the proposed ULDC Remediation Work.
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 Wildlife (DFW)	California Endangered Species Act Compliance (2081)	Yes	<ul style="list-style-type: none"> Consultation with the DFW will occur during preparation of the CEQA Document

DFW	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 Assistant 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

Attachment 2
ULE 86' Break Area 200-yr Standard (added by Amendment 3)

PERMITTING AGENCY	PERMIT	PERMIT NEEDED (Y/N)	Status
Central Valley Flood Protection Board	Encroachment Permit	Pending	<ul style="list-style-type: none"> Permit No. 17921 GM was issued by the CVFPB (Reclamation Board) on July 21, 2005 for the original Yuba work. This permit will either be modified or a new permit issued for the remediation. An application for an encroachment permit was submitted to the CVFPB on August 14, 2014
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"> Waters of the United States will not be impacted
Corps	Wetlands Delineation	No	<ul style="list-style-type: none"> Waters of the United States will not be impacted
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	No	<ul style="list-style-type: none"> Waters of the United States will not be impacted
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)	No	<ul style="list-style-type: none"> The project will avoid take of listed endangered species
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 Wildlife (DFW)	California Endangered Species Act Compliance (2081)	No	<ul style="list-style-type: none"> The project will avoid take of listed endangered species and will be constructed under a Categorical Exclusion

DFW	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	No	<ul style="list-style-type: none"> The project will be constructed under a Categorical Exclusion
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	No	<ul style="list-style-type: none"> The project will be constructed under a Categorical Exclusion
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. The RD 784 board of Directors endorsed the encroachment permit application on August 5, 2014.
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	No	<ul style="list-style-type: none"> The project will be constructed under a Categorical Exclusion
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 Assistant 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
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