



TRLIA
29th QUARTERLY WORK PLAN
FOR
UPPER YUBA RIVER LEVEE
IMPROVEMENT PROJECT

1. **29th Quarterly Work plan for quarter: October 1 to December 31, 2016**
2. **Date of Report: November 7, 2016**
3. **29th 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	\$433,704	\$185,873	\$619,577	\$0
Total	\$433,704	\$185,873	\$619,577	\$0

*The 27th Quarter Work Plan Summary reflected the projected construction related expenses for the entire implementation of Element 10 – WPIC work (through September 2016). The actual expenses submitted from the period April through September were less than the original projection, as a result, this advance request is net of the funding requested in the 27th Quarter Work Plan for the 10th Quarter. This ensures that TRLIA continues to not duplicate advance funding requests for the WPIC work.

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	\$325,278
plus/minus State Share true-up for Prior Quarters [1]	-\$1,671,985
Total Estimated Funding for State Share at Start of 29th Quarter (negative represents surplus funding from prior quarters)	-\$1,346,707

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

As part of the 27th Quarter Advance, DWR advanced funding for the construction on the WPIC through the 28th Quarter. Actual expenses documented to date, through the 27th Quarter (June 2016) and estimated expenses through the 28th Quarter are not expected to utilize all of the funding that has been made available. As a result, as of the start of the 29th Quarter, DWR is in an overfunding position. The analysis starting below assumes that all of the documented

expenses for the 27th Quarter and 50% of the advance construction funding provided for the WPIC is incurred through the 28th Quarter.

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]	\$0
Total Advance for Local Credit at Start of 26th Quarter	\$0

[1] See Reconciliation of Prior State Funding.

Reconciliation of State Advance Funding for Construction

As of 28th Quarter - State Share: Based on 27th QPR plus 28th QWP

(as adjusted for schedule and other factors)

Total Non-Real Estate Non-Creditable Expenses (Elements 1 – 6, 8 – 10) through 27th Quarter [1]	\$27,330,966
28 th Quarter Total Non-Real Estate Forecasted Expenses [2]	\$6,230,055
Total Expenses Forecasted through 28th Quarter	\$33,561,021
State Share True-Up Calculations	
Total State Share of Above Expenses	\$23,359,755
Total State Funding Due (net of 10% Retention on Prior Expenses)	\$21,023,779
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
18th Quarter True-Up	\$44,783
20th Quarter Advance	\$197,925
19th, 20th, 21st & WPIC True-Ups	\$706,809
22nd Quarter Advance	\$184,081
22nd Quarter True-Up	\$209,025
24 th Quarter Advance	\$1,271,711
25 th - 27 th Quarter Advance (Combined Net Payment)	\$6,221,988
Total State Share Funding Received	\$22,695,805

Estimated State Share Construction Funding Due as of 28th Quarter	-\$1,671,985
As of 28th Quarter - Local Share: Based on 27th QPR plus 28th QWP (as adjusted for schedule and other factors)	
Local Share True-Up Calculations	
Local Share of Above Forecasted Expenses	\$10,214,071
Total Local Funding Credit Due	\$6,619,616
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 True-Up (from 18th Quarter)	\$13,028
Local Credit Advanced (from 20th Quarter)	\$489,104
Total Credit Funding Received	\$6,619,616
Local Credit Due as of 28th Quarter [3]	\$0

[1] 27th Quarter QPR Costs Subject to review by DWR

[2] 27th QWP reflects full advance for construction on the WPIC. This analysis assumes that in addition to the cost submitted through the 27th Quarter, 50% of the projected construction related expenses are incurred as of the Start of the 29th Quarter.

[3] Local Credit is limited to available credit. Note: No local credit remains.

4. Project Element Information:

- During the 25th quarter (October 27, 2015) TRLIA submitted a 4th funding agreement amendment to extend the UYLIP funding agreement to December 31, 2017 to allow the land transfer and WPIC construction work to be completed. At the time of this report, DWR is processing the amendment.
- Effective the 23rd quarter the narrative text for completed Elements and Features has been deleted from the report. The deleted items will continue to be shown in the schedule and financial update portions of the report.
- 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.
- 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 website.
- 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 new Element 7: Right of Way Capital was added. This was previously Element 3: Feature 3.3. The purpose of this change was to separate Right of Way acquisition costs into a separate and distinct Element.
 - Element 2 Features 2.3, 2.4 and 2.5 (Preliminary Design, Preliminary Permitting and Preliminary Right of Way Support) have been moved to Element 3. The purpose of this change was to remove all features that were able to be funded at the full 70% cost share from Element 2 so that as a whole, all costs in Element 2 are funded at 50% and all costs in Element 3 are funded at 70% by the State.

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

- **Engineering and construction matters:**

- **Project Element 1A: Levee Landside Improvement – Station 5+80 to 9+00**
 - Feature 3 Right of Way Support: TRLIA will continue work on this feature during the 29th Quarter. See Element 7 below for property acquisition information.
 - Feature 6: O&M Manual: There are no longer separate O&M Manuals for each Element. At the request of the CVFPB and USACE, one combined O&M Manual has been prepared for the entire RD 784 levee system and is under review by the USACE. See Element 3, Feature 6 for an update on the USACE review of this combined O&M Manual.
- **Element 3: Levee Improvements (Slurry Wall and Waterside Slope Erosion Protection) Support Work**
 - Feature 2.5 Right of Way Support (Project Elements 1 to 8): TRLIA real estate and legal consultants will be active during the 29th quarter finalizing right of way needs for the project. See Element 7 below for property acquisition information.
 - 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 28th 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. The Dan Luis acquisition was recorded in the 24th Quarter. TRLIA met with PG&E in the 27th Quarter to discuss the process of issuing easements to PG&E and scheduling the final relocation work. It is anticipated that TRLIA will assign utility Easements to PG&E during the 28th or 29th Quarter; TRLIA working with PG&E on form of assignment. After easements are assigned to PG&E, TRLIA will discuss the final relocation of the power line with PG&E and get the work scheduled.

- Feature 5 Environmental Mitigation: The additional elderberry seedling plantings were planted in the 14th quarter. Maintenance to ensure their establishment will continue in the 29th quarter. Monitoring will continue until 2018.
 - Feature 6 O&M Manual Addendum: An existing O&M Manual was revised to add the completed work and submitted to DWR and CVFPB for their review on February 14, 2013. 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. USACE has completed an internal review of the combined Addendum. USACE has concerns with elements that they do not consider to be part of the Federal Project being in a federal version of a 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 USACE Project Manager is addressing internal review comments on the combined manual. 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, presented in a separate supplement to the federal version of the combined O&M Manual, and followed in order to meet past commitments. RD 784 continues maintenance for the levee system following the directions contained in the Combined RD 784 O&M Manual. USACE provided TRLIA a draft version of their revised combined manual in the 25th quarter. TRLIA reviewed this draft and submitted comments to USACE in the 26th quarter. TRLIA will work with the CVFPB to ensure that important features that may have been left out of the USACE version continue to receive the maintenance they require. TRLIA will continue coordination with USACE in the 29th Quarter to assist USACE in revision of the Federal O&M Manual Supplement. TRLIA will ensure that any maintenance actions that USACE eliminates but are considered critical by the State and TRLIA are captured in a Local Addendum to the Federal O&M Manual Supplement.
- **Element 6:** Project Management, legal support, community relations support, land management support, and overhead

- Activity is anticipated in all Features during the 29th quarter. TRLIA has included estimated annual expenses for insurance premiums effective this quarter.
- **Element 7: Right of Way Capital**

- Feature 7-3.3 Right of Way (Project Elements 1 to 8):
 - **Land Transfer:** TRLIA will continue to work with state during the 29th quarter on land transfer of the UYLIP property. Completion of the land transfer process by June 30, 2016 (current UYLIP funding agreement date is problematic) and is anticipated to extend into 2017 and be completed by the end of 2017. On October 27, 2015 (25th quarter) TRLIA requested DWR extend the UYLIP funding agreement to December 31, 2017 to allow the land transfer process and other work identified in this report to be completed. At the time of this report DWR is processing the extension.

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

- In the 27th quarter TRLIA will continue to work with DWR on finalizing the updated and amended Real Estate Plan that submitted on August 14, 2015. The WPIC Real Estate Plan was included in this amendment in Section 2 of the plan. Early in the 27th quarter (April 14, 2016) DWR approved the amended Real Estate Plan.
- Western Aggregates: During the 29th quarter TRLIA will continue to negotiate 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, and to leave already existing railroad easements owned by Western Aggregates in place, because Western Aggregates has stated that it hopes to use its fee and easement interests along the levee to eventually build a railroad spur for the transportation of aggregate from the Goldfields. DWR has agreed to allow the existing easements owned by Western Aggregates to remain in place, and also agreed to allow TRLIA to grant new railroad easements to Western Aggregates over property that TRLIA acquires from Western Aggregates in fee.

In exchange for transferring fee title to the properties that TRLIA seeks to acquire in fee, Western Aggregates has requested TRLIA grant Western Aggregates a new floating railway easement on not only 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. TRLIA has brought on a mediator to help resolve the issues associated with this item.

In the 26th quarter TRLIA and Western Ag representatives met with senior DWR and CVFPB officials about this request. DWR is open to the proposed

concept; no definitive response received from CVFPB staff at the time of this report.

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 continue submitting Final Accounting Packages (FAP's) during the 29th quarter.

Table 1 – List of FAPS and Cadastral Approval Status

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

Number	CVFPB #	Parcels	Owner	DWR RE Approval Status	DWR Cadastral Approval Status
20	14069	018-190-107, 018-190-108	Sohal Family Trust	approved	
21	14070	018-150-035, 018-190-104	Michele R. Baker		
22	14071	018-150-032	Shintaffer Farms, Inc.	approved	
23	14072	018-190-109	Bhajan S. Sohal, Et Al	approved	
24	14073	021-021-001	Dunning Properties, LP		
25	14074	Portion of 018-220-056	R.B. Satori, LP (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	approved	
29	14081	018-230-028	Orchard Growers	approved	
30	14082	018-0220-028	Wilbur Trust	Parcel cancelled	
31	14083	018-0220-059	Green Rose		
32	14084	018-0220-060	Dunning Properties		
33	14085	018-140-041	Naumes, Inc.	approved	
34	14086	018-190-085	Rahul, Surjit S. & Parmjit	approved	
Total				23/34	1/34

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.

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
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	R.B. Satori, LP (Richard G. Wilbur)	Negotiation					TRLIA Board adopted resolution of necessity on February 2, 2016. TRLIA filed an eminent domain action in 27th Quarter and continues to discuss resolution with the property owner.
14075	Western Aggregates, LLC	Negotiation					See comment for CVFPB 14050
14082	Wilbur Trust	Negotiation					
14083	Green Rose	Negotiation					
14084	Dunning Properties	Negotiation					

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

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
14063	Anthony J. & Zelma B. Luis	Settlement Reached				\$11,200	Amending FOC for Geodetic Update
14064	Daniel J. Luis	Complete		\$46,477.00	\$32,533.90	\$5,670.00	Amending FOC for geodetic update. Preparing FAP & Relo FAP.
14070	Michele R. Barker	Complete				\$64,750	Attorney to accept payment from escrow. Settlement docs to escrow. Need 1099s signed.
14079	Jason G. Allen	Complete		\$210,000.00	\$147,070.00	Not invoiced yet	Rec'd FOC. Settlement reached 12/18/13. Processing FAP & 12 Relo FAPs.

Table 4 - 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
None							

Table 5 - Final Accounting Packages Approved:

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	approved	\$29,500.00	\$20,650.00	\$20,650.00	Approved 8/4/15
14052	Bernard J. Perez	Complete	approved	\$10,350.00	\$7,245.00	\$7,245.00	Approved 8/10/15
14053	Lothar S. & Brigitta M. Klug	Complete	approved	\$2,800.00	\$1,960.00	\$1,960.00	Approved 8/10/15
14054	Valdez	Complete	approved	\$5,200.00	\$3,640.00	\$1,820.00	Approved 8/4/15
14055	Steve and Denise Gilbert	Complete	approved	\$15,700.00	\$14,840.00	\$14,840.00	Approved 8/4/15
14055	Steve and Denise Gilbert	Complete	approved	\$5,500.00			Approved 8/4/15
14056	Humam El Sharif	Complete	approved	\$2,100.00	\$1,470.00	\$1,470.00	Approved 9/11/15
14057	Orest and Irene Wesely	Complete	approved	\$33,000.00	\$23,100.00	\$23,100.00	Approved 12/30/15
14059	Stephanie Morris	Complete	approved	\$7,900.00	\$5,530.00	\$4,060.00	Approved 8/10/15
14060	Robert Glenn Wood	Complete	approved	\$3,200.00	\$2,240.00	\$2,240.00	Approved 8/10/15
14061	Howard R Miller	Complete	approved	\$1,400.00	\$980.00	\$980.00	Approved 8/10/15
14058	COF Quail Hollow Land 148T	Complete	approved	\$34,750.00	\$24,325.00	\$24,325.00	Approved 9/11/15
14062	Ajit S. Bains & Maria Del Carmen	Complete	approved	\$48,700.00	\$34,090.00	\$15,050	Approved 9/11/15
14065	Richard G. Wilbur Trust	Complete	approved	\$48,270.00	\$33,789.00	\$16,100	Approved 9/11/15
14066	Richard G. Wilbur Trust	Complete	approved				Approved 9/11/15
14067	Henry P. Smith	Complete	approved	\$149,071.00	104,349.00	\$22,400.00	Approved 12/30/15
14068	Walbinder S. Sohal Living Trust,	Complete	approved	\$598,500.00	\$418,950.00	\$418,950.00	Approved 9/11/15

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
14069	Awtar S. Sohal & Sukhvir K. Sohal, Co-Trustees	Complete	approved	\$41,500.00	\$29,050.00	\$21,787.50	Approved 12/30/15
14071	Shintaffer Farms, Inc.	Complete	approved	\$5,500.00	\$3,850.00	\$437.00	Approved 8/10/15
14072	Bhajan S. & Rajwant K. Sohal	Complete	approved	\$598,500.00	\$418,950.00	\$418,950.00	Approved 9/11/15
14080	Federal Fruit Distributors	Complete	approved	\$800.00	\$560.00	\$392.00	Approved 9/11/15
14081	Orchard Growers	Complete	approved	\$500.00	\$350.00		Approved 8/10/15
14085	Naumes, Inc.	Complete	approved	\$3,000.00	\$2,100.00	\$175.00	Approved 8/10/15
14086	Rahul, Surjit S. & Parmjit	Complete	approved	\$500.00	\$350.00	\$175.00	Approved 8/10/15

Table 7 - 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	
14079	Jason G. Allen	Bill and Marilyn Jensen	Complete	\$26,800.57	
14079	Jason G. Allen	Trevor Jensen and Sammantha Pettet	Complete	\$31,130.00	
14079	Jason G. Allen	Ed Widener	Complete	\$12,272.00	
14079	Jason G. Allen	Jack Fouse	Complete	\$0	No response from tenant, who moved from Park.
14079	Jason G. Allen	Les Begley	Complete	\$1,100.00	
14079	Jason G. Allen	Judy Cordova	Complete	\$13,672.66	
14079	Jason G. Allen	Sarah Fite	Complete	\$27,964.56	
14079	Jason G. Allen	David Haughton	Complete	\$2,402.78	
14079	Jason G. Allen	Jason G. Allen	Complete	\$24,754.99	

➤ **Element 8 Closeout Process:**

- Feature 1: Closeout Process
 - On November 15, 2013 TRLIA submitted its initial draft of Closeout Documentation for the UYRLIP project for DWR's review. On February 16, 2016 TRLIA provided DWR an update to original request, which identified \$866,932 to be released. This request is only for expenses through 2013 and does not include the additional retention money that has been retained by DWR since that date. In response to TRLIA's 2016 request, DWR submitted comments to TRLIA on closeout related items in June, 2016. TRLIA responded to these requests on August 10, 2016.
 - The delay in TRLIA receiving retention on completed work is impacting TRLIA's cash flow for this and other flood control projects.

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

➤ **Element 9 WPIC 200-yr Standard:**

- Feature 1 Design: Design and bidding of the project was completed in the 27th quarter. No future activities associated with design are planned. Construction updates are found in Feature 6 paragraph below.
- Feature 2 Permitting:
 - See Attachment 1 for permits listing
 - As of Quarter 27, there were three outstanding permits: the USACE 408 permission and CVFPB encroachment permit (#19020) for the cutoff walls, which was heard at the May 2016 CVFPB meeting; and the Yuba County grading permit which required contractor insurance information. The Contractor has obtained the Yuba County grading permit (Quarter 28) and the USACE and CVFPB permits for 19020 are expected in mid-late Quarter 28.
- Feature 3 Right of Way Acquisition: TRLIA submitted an update to the ULIP Real Estate Plan and the WPIC Real Estate Plan to DWR in August, 2015. Early in the 27th quarter (April 14, 2016) DWR approved the amended Real Estate Plan.

The engineering requirements were revised in the WPIC area. Appraisals have been updated and new offers were made. We anticipate that negotiations will continue into the next quarter.

Table 7 – List of FAPS and Cadastral Approval Status

Number	CVFPB #	OWNER	Number of Parcels	DWR RE Approval Status	DWR Cadastral Approval Status
1	14087	Miller-Belza-Peck	1		approved
2	14088	Rue & Forsman Real Estate LLC	1		approved
3	14089	Latigo Farms LLC (Includes Uneconomic Remnant)	2		approved
4	14090	Alfaro Family Trust (Includes Uneconomic Remnant)	5		approved
			9	0	4

Table 8 – Property Acquisition Status

CVFPB	APN	OWNER	ESA Completed	Receipt of Legals and Plats (or revision)	Appraisal submitted to TRLIA	Appraisal submitted to DWR	Appraisal Approved by DWR	Just Compensation Approved	Offer Made	Comments
14090	014-270-084 014-270-105 014-270-106 014-350-065 014-360-002	Alfaro Family Trust	12/29/2014	1/28/2015	1/23/2015	1/23/2015		1/23/2015		Right of Entry was signed June 2016. Revised offer was made; negotiations continue
14089	014-360-011 014-360-013	Latigo Farms, LLC	12/29/2014		8/31/2012				4/8/2013 9/25/2013	Suit filed; Property owners have stipulated to possession; trial scheduled for January 2016.
14088	016-050-023	Rue & Forsman Real Estate, LLC	12/24/2014	1/28/2015						Right of Entry was signed 5/17/16; negotiations continue
14087	016-070-018	Miller-Belza-Peck	12/24/2014	1/28/2015	9/12/2014	10/21/2014		10/3/2014	10/15/2014	Right of Entry was signed 5/7/16; negotiations continue

- **Land Transfer:** TRLIA will continue to work with the State during the 29th quarter on land transfer of the WPIC properties. Completion of the land transfer process by June 30, 2016 (current UYLIP funding agreement date is problematic) and is anticipated to extend into 2017 and be completed by the end of 2017. On October 27, 2015 (25th quarter) TRLIA requested DWR extend the UYLIP funding agreement to December 31, 2017 to allow the land transfer process and other work identified in this report to be completed.

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

- Feature 4 Right of Way Support:
 - The engineering requirements were revised in the WPIC area. Appraisals have been updated and revised offers were made. Three rights of entry have been obtained. Additionally, 4 new Temporary Construction Easements have

been acquired. The property owners have requested TRLIA to provide them with easements/rights for the levee area so that they can enforce security measures and reduce trespassing. TRLIA is working with DWR to obtain approval of appropriate language.

- 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 26th quarter. The trial in this action is scheduled to begin January 31, 2016. The parties have already exchanged valuation data.
- Receipt of executed Consent Agreement is expected in June 2016. No additional coordination, except that related to flagging during construction, is expected.
- Feature 5 Construction Management: Construction management activities have begun. Weekly construction meetings on-site will continue in Quarter 29.
- Feature 6 Construction: Construction of the landside fill work (permit #19020-1) will continue in Quarter 29. Construction of the conventional cutoff wall work will be postponed to 2017 due to challenges in securing 408 permission from HQUSACE. Construction of the DMM wall has been postponed to 2017 due to challenges in securing 408 permission from HQUSACE.
- Feature 7 Updated O&M Manual: This work is not anticipated to begin until Quarter 29.
- **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.
- **Major accomplishments planned for the quarter (i.e. tasks to be completed, milestones to be met, meetings to be held or attended, etc.):**
 - WPIC construction underway.
- **Issues/concerns that have, will, or could affect the schedule or budget, with a recommendation on how to correct the matter:**

- **Issue 1:** On October 27, 2015 TRLIA submitted a funding agreement request asking for the agreement to be extended to December 31, 2017

Recommend Solution: DWR amend funding agreement to support the WPIC real property acquisition and construction.

- **Issue 2:** 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 26th quarter, TRLIA met with DWR and CVFPB Senior officials about this request. TRLIA has brought on a mediator to help resolve the issues associated with this item.

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

- **Issue 3:** As noted above, on February 16, 2016 TRLIA provided DWR with an updated partial release of retention request for completed work. This request only represented expenses through 2013 and did not include the additional retention money that has been retained by DWR since that date. DWR provided comments to TRLIA in June 2016 and TRLIA responded to these comments in August 2016. DWR's delay in responding to TRLIA original request is impacting TRLIA's cash flow for this other flood control projects. TRLIA requests that DWR release the requested retention. As TRLIA continues to incur expenses, DWR should be satisfied that it can recoup any released retention should issues arise in the future.

Recommended Solution: DWR make the requested partial retention payment to TRLIA

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

- TRLIA updated the OAWP Budget for DWR's review during 25th Quarter. The forecasted work for the quarter is reflective of this updated budget.
- On October 27, 2015 (25th quarter) TRLIA requested DWR extend the UYLIP funding agreement to December 31, 2017 to allow the land transfer process and other work identified in this report to be completed.

- **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.

With the 25th Quarter Work Plan, based on actual costs incurred to date and updated project budgets for the WPIC and 1986 Break Site work, TRLIA shifted budget between elements.

This 29th Quarter 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 Additional changes noted within 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 29th Quarter. TRLIA plans to expend approximately \$1,000 during the 29th Quarter to continue ROW acquisition finalization.

- **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%) \$1,065,000 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 are minimal. This amount, in conjunction with estimated prior expenses furthering Element 3 efforts, will result in having expended roughly 92% (\$9.5 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 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 \$27,000 of Overhead and Admin expenses in the quarter. After the quarter is complete, TRLIA will have expended roughly 93% of the amended Element 6 budget (\$4.6 million).

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

Right of Way acquisition activity will continue this Quarter. TRLIA has not forecasted expenditures this quarter, however, the timing of actual expenditures could change. After the quarter is complete, TRLIA will have expended roughly 54% (\$2.7 million) 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 29th quarter and expects to expend \$15,000 on efforts associated with TRLIA request to process a partial release of retention. TRLIA plans to continue elevating this issue during the quarter with DWR to process this release of retention.

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

This element was added in the 15th quarter and the budget has been revised during this 25th Quarter. In the 29th quarter TRLIA expects to continue construction. TRLIA is requested that the advance provided at the start of the 27th quarter be reflective of the entire amount of construction expenses (through September 2016). This advance was provided and ensured that TRLIA, at the outset of entering into a construction contract has sufficient funds to meet the cash flow requirements of the construction contract. This quarter work plan does not reflect construction related expenses and the expenses were included in the 27th & 28th Quarter work plans. Net of previously

projected construction expenses, TRLIA expects to expend approximately \$576,500 primarily associated with construction management and ROIW support expenses.

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

This element was added during the 20th quarter and the budget has been revised down this quarter based on actual construction contracts let to date. The total budget for this Element is now \$870,000. In the 28th quarter TRLIA does not expect to expend any funds as the Element is deemed **complete**.

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 29th 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	\$433,704	\$185,873	\$619,577	\$0
Total	\$433,704	\$185,873	\$619,577	\$0

*The 27th Quarter Work Plan Summary reflected the projected construction related expenses for the entire implementation of Element 10 – WPIC work (through September 2016). The actual expenses submitted from the period April through September were less than the original projection, as a result, this advance request is net of the funding requested in the 27th Quarter Work Plan for the 10th Quarter. This ensures that TRLIA continues to not duplicate advance funding requests for the WPIC work.

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	\$325,278
plus/minus State Share true-up for Prior Quarters [1]	-\$1,671,985
Total Estimated Funding for State Share at Start of 29th Quarter (negative represents surplus funding from prior quarters)	-\$1,346,707

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

The following tables present Element and Feature level details for the 29th Quarterly Work Plan:

Summary of TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October / November / December 2016

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	\$1,059,990	\$741,993	\$317,997	\$10	\$7	\$3	\$1,000	\$700	\$300	\$525
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	\$9,525,209	\$6,667,646	\$2,857,563	\$775,959	\$543,171	\$232,788	\$0	\$0	\$0	\$0
Element 4: Levee Improvements Construction	\$9,800,000	\$6,860,000	\$2,940,000	\$8,698,919	\$6,089,243	\$2,609,676	\$1,101,081	\$770,757	\$330,324	\$0	\$0	\$0	\$0
Element 6: Admin & Overhead	\$4,901,913	\$3,431,339	\$1,470,574	\$4,554,858	\$3,188,401	\$1,366,457	\$347,055	\$242,939	\$104,117	\$27,000	\$18,900	\$8,100	\$14,175
Element 8: Project Closeout Efforts	\$200,000	\$140,000	\$60,000	\$8,997	\$6,298	\$2,699	\$191,003	\$133,702	\$57,301	\$15,000	\$10,500	\$4,500	\$7,875
Element 9: WPIC 200-Yr Standard (net of ROW)	\$15,457,000	\$10,819,900	\$4,637,100	\$13,540,528	\$9,478,369	\$4,062,158	\$1,916,472	\$1,341,531	\$574,942	\$576,577	\$403,604	\$172,973	\$302,703
Element 10: Yuba ULDC Remediation 1986 Break	\$870,000	\$609,000	\$261,000	\$420,685	\$294,480	\$126,206	\$449,315	\$314,520	\$134,794	\$0	\$0	\$0	\$0
Sub-Total Elements 1 through 4, 6, 8 & 9	\$44,442,000	\$30,895,417	\$13,546,583	\$39,602,399	\$27,508,668	\$12,093,730	\$4,839,601	\$3,386,749	\$1,452,852	\$619,577	\$433,704	\$185,873	\$325,278
<i>Element 5 Credit [Additional Credit to Come from other Element Expenses Incurred Prior to October 20, 2009 not Shown Here]</i>													
Element 5: Prior Completed Work	\$7,682,162	\$5,377,514	\$2,304,649	\$9,760,791	\$6,832,554	\$2,928,237	-\$2,078,629	-\$1,455,040	-\$623,589				
Real Estate Forecast for Quarter													
Element 7: Land Acquisition	\$5,373,838	\$3,761,687	\$1,612,151	\$2,716,410	\$1,901,487	\$814,923	\$2,657,428	\$1,860,199	\$797,228	\$0	\$0	\$0	\$0
Element 9, Feature 9.4: WPIC - ROW Acquisition	\$323,000	\$226,100	\$96,900	\$228,853	\$160,197	\$68,656	\$94,147	\$65,903	\$28,244	\$0	\$0	\$0	\$0
Subtotal Real Estate Forecast	\$5,696,838	\$3,987,787	\$1,709,051 #	\$2,945,264	\$2,061,685	\$883,579 #	\$2,751,574	\$1,926,102	\$825,472	\$0	\$0	\$0	
Local Credit Reconciliation													
Quarterly Advance Calculation							Local Credit Reconciliation						
75% of State Share of Eligible Elements	\$325,278						Total Local Share of Eligible Expenses this Quarter			\$185,873 (From Above)			
plus Local Share Subject to Credit	\$0						Estimated Total Local Credit			\$6,619,616 (Approved Local Credit Amount)			
Total	\$325,278												
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 True-Up (from 18th Quarter)			\$13,028			
							Local Credit Advance (from 20th Quarter)			\$502,132			
							Total Local Credit Received			\$6,632,644			
							Cumulative Prior Credit Due			\$0			
							Requested Local Credit to be Paid with Advance			\$0 (Limited to remaining credit available)			
							Credit Remaining After Advance			\$0			

"29Q YubaSumm"

[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 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

Completed Element Tables have been removed from this Report. These Elements Include Elements 1, 2, 4 & 5

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October / November / December 2016

ELEMENT 1A

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	29th 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	\$101,848	\$71,294	\$30,554	\$3,152	\$2,206	\$946	3%	\$0	\$0	\$0	0%
1A.3: Right of Way	70%	\$240,000	\$168,000	\$72,000	\$198,754	\$139,128	\$59,626	\$41,246	\$28,872	\$12,374	17%	\$1,000	\$700	\$300	2%
1A.4: Construction Management	70%	\$175,000	\$122,500	\$52,500	\$200,428	\$140,299	\$60,128	-\$25,428	-\$17,799	-\$7,628	-15%	\$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	\$1,059,990	\$741,993	\$317,997	\$10	\$7	\$3	0%	\$1,000	\$700	\$300	9728%

"29QYubaElem1A"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th 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 2016

ELEMENT 3

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2016) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	29th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local Share	Total	State Share	Local Share		Total	State	Local	
		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	
<i>Formula</i>	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	
<small>*Based on Overall Workplan</small>															
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	\$3,039,174	\$2,127,422	\$911,752	-\$103,407	-\$72,385	-\$31,022	-4%	\$0	\$0	\$0	0%
3.1: Final Design	70%	\$2,279,307	\$1,595,515	\$683,792	\$2,237,490	\$1,566,243	\$671,247	\$41,818	\$29,272	\$12,545	2%	\$0	\$0	\$0	0%
3.2: Permitting	70%	\$702,461	\$491,723	\$210,738	\$172,703	\$120,892	\$51,811	\$529,758	\$370,831	\$158,927	75%	\$0	\$0	\$0	0%
3.4: Construction Management	70%	\$2,175,000	\$1,522,500	\$652,500	\$2,179,552	\$1,525,686	\$653,866	-\$4,552	-\$3,186	-\$1,366	0%	\$0	\$0	\$0	0%
3.5: Environmental Mitigation	70%	\$415,091	\$290,564	\$124,527	\$439,626	\$307,738	\$131,888	-\$24,535	-\$17,174	-\$7,360	-6%	\$0	\$0	\$0	0%
3.6: O&M Manual addendum	70%	\$189,419	\$132,593	\$56,826	\$54,427	\$38,099	\$16,328	\$134,991	\$94,494	\$40,497	71%	\$0	\$0	\$0	0%
Subtotal Element 3		\$10,301,168	\$7,210,817	\$3,090,350	\$9,525,209	\$6,667,646	\$2,857,563	\$775,959	\$543,171	\$232,788	8%	\$0	\$0	\$0	0%

"29QYubaElem3"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th 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 2016

ELEMENT 6

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2016) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	29th 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	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f		j=d-g	k	l=axk	
<i>Formula</i>															
		<small>*Based on Overall Workplan</small>													
Element 6: Project Management, legal support, community relations support, land management support, and overhead															
6.1 - TRLIA Salaries/Benefits	70%	\$1,750,714	\$1,225,500	\$525,214	\$1,637,717	\$1,146,402	\$491,315	\$112,996	\$79,097	\$33,899	6%	\$21,667	\$15,167	\$6,500	19%
6.2 - TRLIA Consultant Exp.	70%	\$1,090,377	\$763,264	\$327,113	\$1,002,286	\$701,600	\$300,686	\$88,090	\$61,663	\$26,427	8%	\$2,000	\$1,400	\$600	2%
6.3 - TRLIA Legal Support	70%	\$364,235	\$254,964	\$109,270	\$344,020	\$240,814	\$103,206	\$20,215	\$14,150	\$6,064	6%	\$333	\$233	\$100	2%
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%	\$256,643	\$179,650	\$76,993	\$213,173	\$149,221	\$63,952	\$43,470	\$30,429	\$13,041	17%	\$2,667	\$1,867	\$800	6%
6.6 - TRLIA Insurance	70%	\$1,384,119	\$968,883	\$415,236	\$1,337,887	\$936,521	\$401,366	\$46,232	\$32,363	\$13,870	3%	\$0	\$0	\$0	0%
6.7 - TRLIA Travel - Vehicle Leas	70%	\$26,714	\$18,700	\$8,014	\$19,680	\$13,776	\$5,904	\$7,034	\$4,923	\$2,110	26%	\$333	\$233	\$100	5%
6.8 - TRLIA Memberships	70%	\$19,119	\$13,383	\$5,736	\$0	\$0	\$0	\$19,119	\$13,383	\$5,736	100%	\$0	\$0	\$0	0%
Subtotal Element 6		\$4,901,913	\$3,431,339	\$1,470,574	\$4,554,858	\$3,188,401	\$1,366,457	\$347,055	\$242,939	\$104,117	7%	\$27,000	\$18,900	\$8,100	8%

"29Q YubaElem6"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th 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 2016

ELEMENT 7

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative Expenses (September 2016) [2]			Forecasted Remaining Budget			% of Total Budget Remaining	29th 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	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g		k	l=axk	m=k-l	
<small>*Based on Overall Workplan</small>															
Element 7: Right of Way Capital															
7-3.3 - Right of Way Capital	70%	\$5,373,838	\$3,761,687	\$1,612,151	\$2,716,410	\$1,901,487	\$814,923	\$2,657,428	\$1,860,199	\$797,228	49%	\$0	\$0	\$0	0%
Subtotal Element 7		\$5,373,838	\$3,761,687	\$1,612,151	\$2,716,410	\$1,901,487	\$814,923	\$2,657,428	\$1,860,199	\$797,228	49%	\$0	\$0	\$0	4%

"29Q YubaElem7"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th 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 2016

ELEMENT 8

Elements and Features	State Share Percentage	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	29th 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	d = b-c	e	f=axe	g = e-f	h=b-e	i=c-f	j=d-g	k	l=axk	m=k-l		
<small>*Based on Overall Workplan</small>															
Element 8: Project Closeout Efforts															
8.1 - Project Close Out Efforts	70%	\$200,000	\$140,000	\$60,000	\$8,997	\$6,298	\$2,699	\$191,003	\$133,702	\$57,301	96%	\$15,000	\$10,500	\$4,500	8%
Subtotal Element 8		\$200,000	\$140,000	\$60,000	\$8,997	\$6,298	\$2,699	\$191,003	\$133,702	\$57,301	96%	\$15,000	\$10,500	\$4,500	8%

"29QYubaElem8"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

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ELEMENT 9

Elements and Features	State Share	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	29th 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%	\$1,371,000	\$959,700	\$411,300	\$1,403,739	\$982,617	\$421,122	-\$32,739	-\$22,917	-\$9,822	-2%	\$0	\$0	\$0	0%
9.2 - Permitting & Environmental	70%	\$759,000	\$531,300	\$227,700	\$832,589	\$582,812	\$249,777	-\$73,589	-\$51,512	-\$22,077	-10%	\$0	\$0	\$0	0%
9.3 - Right of Way Support	70%	\$609,000	\$426,300	\$182,700	\$39,850	\$27,895	\$11,955	\$569,150	\$398,405	\$170,745	93%	\$19,997	\$13,998	\$5,999	4%
9.4 - Right of Way Acquisition	70%	\$323,000	\$226,100	\$96,900	\$228,853	\$160,197	\$68,656	\$94,147	\$65,903	\$28,244	29%	\$0	\$0	\$0	0%
9.5 - Construction Management	70%	\$1,501,000	\$1,050,700	\$450,300	\$577,400	\$404,180	\$173,220	\$923,600	\$646,520	\$277,080	62%	\$556,580	\$389,606	\$166,974	60%
9.6 - Construction	70%	\$11,167,000	\$7,816,900	\$3,350,100	\$10,686,950	\$7,480,865	\$3,206,085	\$480,050	\$336,035	\$144,015	4%	\$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		\$15,780,000	\$11,046,000	\$4,734,000	\$13,769,381	\$9,638,567	\$4,130,814	\$2,010,619	\$1,407,433	\$603,186	13%	\$576,577	\$403,604	\$172,973	29%

"29QYubaElem9"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

Note: Construction expenses have been excluded from this quarter projection due to the fact that the 27th QWP reflected projected expenses through September 2016.

TRLIA Quarterly Work Plan Budget
Upper Yuba

For Period October / November / December 2016

ELEMENT 10

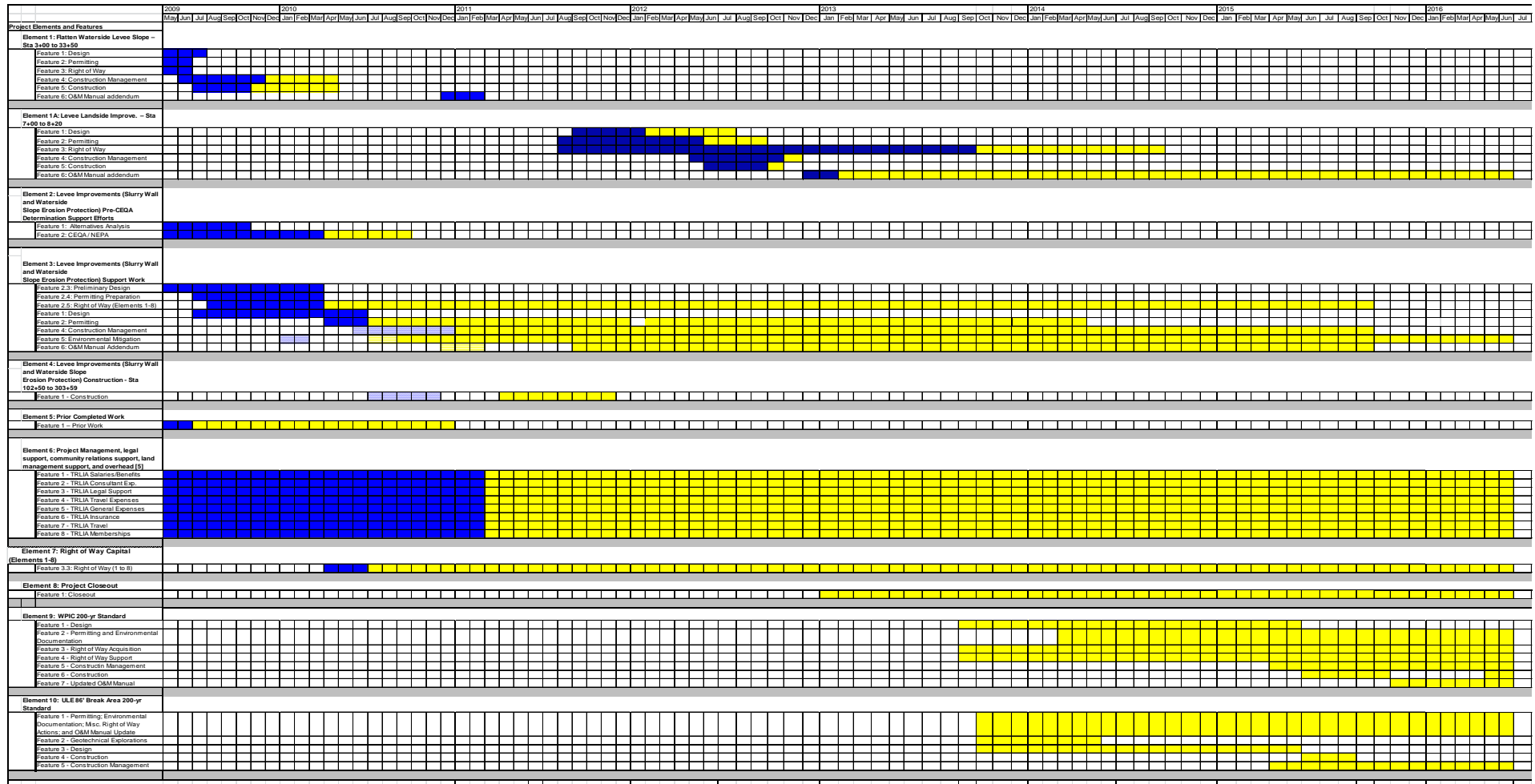
Elements and Features	State Share	Revised Overall Budget [1]			Estimated Cumulative			Forecasted Remaining Budget			% of Total Budget Remaining	29th Quarterly Forecast			% of Remaining Budget
		Total	State	Local	Total	State Share	Local	Total	State	Local		Total	State	Local	
Formula	a	b	c=axb <small>Overall 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 10: Yuba ULDC Remediation 1986 Break Site															
10.1 - Project Management	70%	\$110,000	\$77,000	\$33,000	\$20,487	\$14,341	\$6,146	\$89,513	\$62,659	\$26,854	81%	\$0	\$0	\$0	0%
10.2 - Geotechnical Exploration:	70%	\$135,000	\$94,500	\$40,500	\$134,404	\$94,083	\$40,321	\$596	\$417	\$179	0%	\$0	\$0	\$0	0%
10.3 - Design	70%	\$40,000	\$28,000	\$12,000	\$363	\$254	\$109	\$39,637	\$27,746	\$11,891	99%	\$0	\$0	\$0	0%
10.4 - Construction	70%	\$475,000	\$332,500	\$142,500	\$252,122	\$176,485	\$75,637	\$222,878	\$156,015	\$66,863	47%	\$0	\$0	\$0	0%
10.5 - Construction Management	70%	\$110,000	\$77,000	\$33,000	\$13,308	\$9,316	\$3,992	\$96,692	\$67,684	\$29,008	88%	\$0	\$0	\$0	0%
Subtotal Element 10		\$870,000	\$609,000	\$261,000	\$420,685	\$294,480	\$126,206	\$449,315	\$314,520	\$134,794	52%	\$0	\$0	\$0	0%

"29Q YubaElem10"

[1] Revised per this Upper Yuba 25th Quarterly Work Plan.

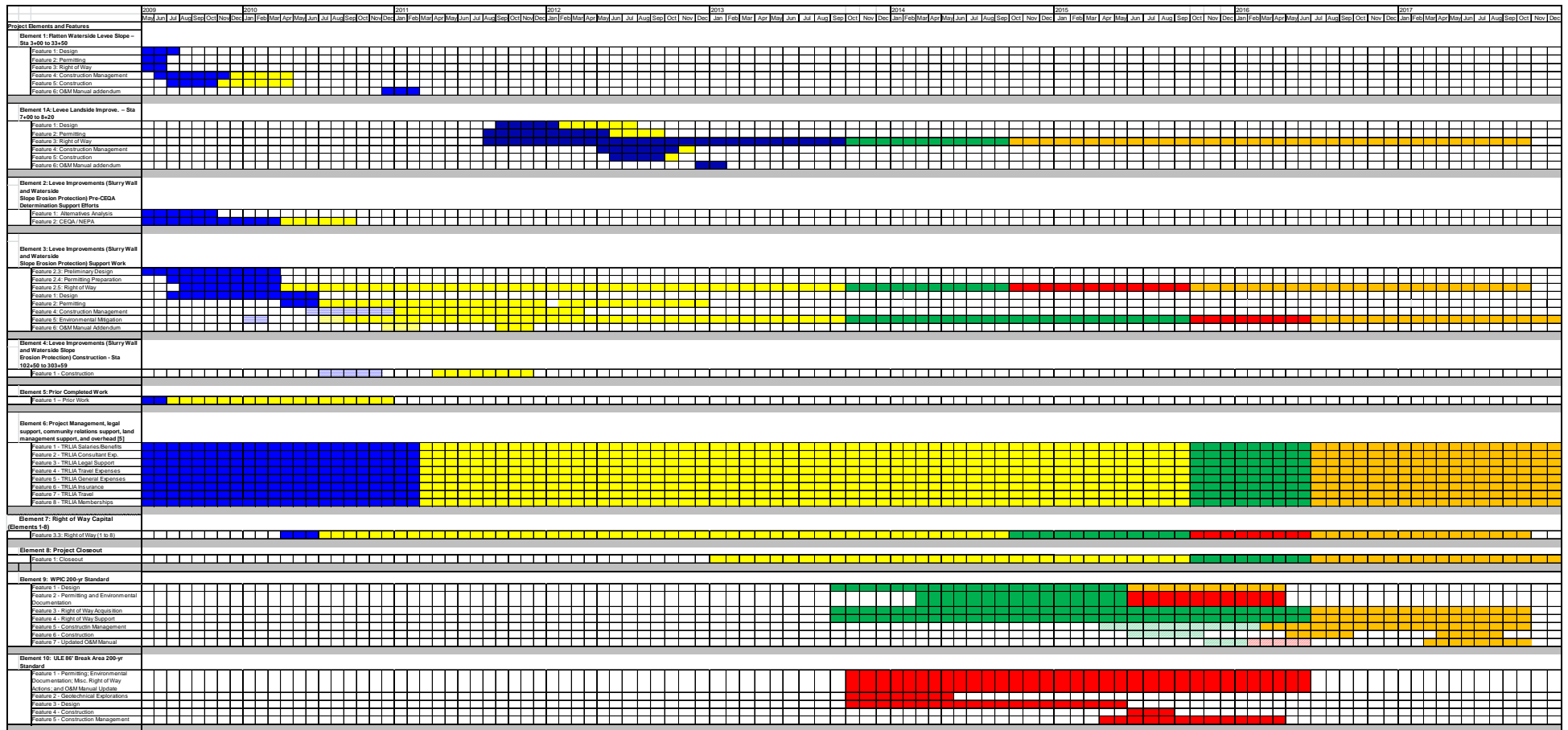
[2] Reflects estimated expenses through the 26th Quarter based on prior actual expenses through March 31, 2016 (26th QPR) and estimated of expenses from April to July 2016 based on the 27th Quarterly Work Plan with any necessary adjustments for actual expenses incurred or changes in schedule.

5. Schedule Information by Project Element: Shown in the figure below is the current Exhibit A (overall project schedule). This is the schedule shown in the 21st Quarterly Work Plan



Blue: Original **Pattern:** Not Viable **Yellow:** Prior Quarter Adjustments and Amendments **Green:** Changes Proposed in the 25th QWP

Shown in the figure below is the proposed Exhibit A in the requested 4th Amendment that was submitted on October 27, 2015



Blue: Original **Pattern:** Original, Not Viable **Yellow:** Amend 1 Change **Green:** Amend 2 Change **Red:** Amend 3 Change **Orange:** Amend 4 Change

- **A discussion on how the projected schedule compares to the original or last reported schedule:** The proposed schedule in Amendment 4 extends the agreement date to December 31, 2017.

7. Attachments:

1. Updated Overall Work plan Tab D Project Element 9: WPIC 200-Yr Standard permit list

Attachment 1
Tab D: 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"> Encroachment permit 19020-1 (landside fill) was issued in June 2016. CVFPB conditionally approved encroachment permit 19020 (cutoff walls) pending USACE 408 permission in May 2016.
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"> A 404 Individual Permit for the 19020-1 work was executed in June 2016.
Corps	Wetlands Delineation	Yes	<ul style="list-style-type: none"> Wetland delineation has been completed.
Corps	408 approval of project levee alteration	Yes	<ul style="list-style-type: none"> SPK issued a letter of permission for the for 19020-1 on May 10, 2016. HQUSACE approval is required for 19020; the 408 package was submitted to HQUSACE by SPD in June 2016 .
Regional Water Quality Control Board (RWQCB); Central Valley Region (Region 5)	Section 401 Water Quality Certification	Yes	<ul style="list-style-type: none"> CVRWQCB issued a 401 certification in May 2016.
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) were submitted to the SMARTS website.
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"> Formal consultation with USFWS is complete.
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"> The ITP was executed in May 2016.

DFW	Streambed Alteration Agreement	Yes	<ul style="list-style-type: none"> The SAA was executed in April 2016.
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 (Cal-Trans)	Encroachment on or across a State highway	No	<ul style="list-style-type: none"> The project design was refined to avoid encroaching upon Cal-Trans right-of-way, therefore Cal-Trans permit is no longer required..
Native American Heritage Commission (NAHC)	Evaluation of effects on Native American burials or artifacts	No	<ul style="list-style-type: none"> Coordination with the NAHC is underway as part of Section 106 and CEQA.
State Office of Historic Preservation (SHPO)	Evaluation of effects on historic and cultural resources	Yes	<ul style="list-style-type: none"> Coordination with the SHPO as part of Section 106 is complete.
Reclamation District 784 (RD 784)	Encroachment Permit	Yes	<ul style="list-style-type: none"> Coordination with RD 784 is underway as part of construction.
Yuba County	Grading Permit	Yes	<ul style="list-style-type: none"> A grading permit from Yuba County will be obtained prior to construction. TRLIA has submitted the required materials, with exception of those required from contractor.
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"> The Final IS/MND and MMRP was adopted by the TRLIA Board in April 2016.
NEPA	EA/FONSI	Yes	<ul style="list-style-type: none"> USACE has completed NEPA for 19020-1. Completion of NEPA for 19020 is dependent on completion of HQUSACE review.
Section 221 Credit	Credit under Section 221, as amended	No	<ul style="list-style-type: none"> The proposed work is not eligible for Section 221 credit as it is not being considered as part of an ongoing or authorized Federal project.