

Three Rivers Levee Improvement Authority (TRLIA)

200-year Goldfields Levee Project

Urban Flood Risk Reduction (UFRR) Funding Agreement #4600012115

Dated: October 4, 2017

Quarter 5 Report

October – December 2018

Submitted by:

Paul G. Brunner, P.E.

Executive Director



January 23, 2019

This Page Intentionally Left Blank

Table of Contents

1.	Background.....	1
2.	Summary.....	1
3.	Project Scope of Work	2
3.1.	Element 1: Grant Application.....	3
3.2.	Element 2: Program Management.....	3
3.3.	Element 3: Design and Right-of-Way Support	3
3.4.	Element 4: Environmental Review and Permitting.....	4
3.5.	Element 5: Right-of-Way Acquisition (Post Addition to SPFC).....	5
3.6.	Element 6: Construction, Mitigation, and other Project activities (Post Addition to	5
3.7.	Element 7: Closeout Process (Post Addition to SPFC).....	6
4.	Project Schedule	6
5.	Project Budget	8
6.	Deviations in Scope, Schedule, and Budget	8
7.	Risk Analysis and Impact Discussion	Error! Bookmark not defined.
8.	Legal Issues	10
9.	Actual and Projected Costs	10
10.	Payment Requested and State Disbursements	13
11.	Tracking Tables and Deliverables Table.....	18
11.1.	Earned Value Report by Element.....	18
11.2.	Earned Value	18
11.3.	200-Year Deliverables.....	18

Tables, Figures, and Charts

Table 2-1.	TRLIA- 200-Year Goldfields Levee Project: Quarterly Payment Summary	2
Table 5-1.	TRLIA - 200-Year Goldfields Levee Project: Overall Work Plan Budget Summary	8
Table 9-1.	TRLIA - 200-Year Goldfields Levee Project Prior Quarter Actual Cost Comparison and True-Up	11
Table 9-2.	TRLIA - 200-Year Goldfields Levee Project Remaining Authorized Local Credit	12
Table 10-1.	TRLIA - 200-Year Goldfields Levee Project: 6 th and 7 th Quarter Projected Cost	14
Table 10-2.	TRLIA - 200-Year Goldfields Levee Project: True-Up Funding.....	15

Table 10-3. TRLIA - 200-Year Goldfields Levee Project: Summary of Payment Request and Comparison to State Share Budget	16
Table 10-4. TRLIA - 200-Year Goldfields Levee Project: Payment Request and State Disbursements	17
Table 11-1. Earned Value Report by Element.....	19
Table 11-2. 200-Year Deliverables.....	21

This Page Intentionally Left Blank

1. Background

As part of its 200-Year Goldfields Levee Project (Project), the Three Rivers Levee Improvement Authority (TRLIA) is constructing a new levee, approximately 2.6 miles long, to replace the deteriorating conditions of the high ground at the termination of the State Plan of Flood Control (SPFC) facility at the Yuba Goldfields. The Project is being funded by the State of California Urban Flood Risk Reduction (UFRR) Program via Funding Agreement #4600012115, which became effective on October 4, 2017. The cost of the Project, as reflected in the UFRR Funding Agreement, is \$41,265,000, with the State's cost share being \$32,600,000.

TRLIA finalized California Environmental Quality Act (CEQA) documentation and adopted a Mitigation Monitoring and Reporting Program (MMRP) on September 15, 2015. Teichert Inc. filed a CEQA lawsuit, and TRLIA subsequently entered into a CEQA settlement agreement in February 2017. Based on the settlement agreement, TRLIA is adjusting a portion of the selected alternative alignment and is completing a supplement to the original CEQA document.

A condition of the UFRR Funding Agreement is that, due to the requirements of the Proposition 1E General Obligation Bond (Pub. Resources Code, § 5096.821), the Project must be added to the SPFC. DWR has identified paths for this project to be added to the SPFC and activities that can be started prior to adoption into the SPFC. The SPFC includes flood control projects for which the Central Valley Flood Protection Board or DWR has provided assurances of nonfederal cooperation to the US Army Corps of Engineers. DWR is now able to commit funding for real estate acquisition or construction activities in addition to the already approved for funding activities of design, real estate support and CEQA/NEPA work.

2. Summary

Significant activities and milestones occurring in Quarter 5 (October - December 2018), include:

- Completion of geotechnical, interior drainage, and other engineering evaluations;
- Issuance of geotechnical basis of design, interior drainage technical report, draft civil basis of design;
- Development and issuance of draft 65% plans and specifications;
- Public review of the Draft SEIR and development of the Final SEIR;
- Congressional authorization of the Goldfields project;
- Outreach to affected parties.

As shown in Table 2-1 and further detailed in Sections 9 & 10, TRLIA is requesting an advance payment for the 6th & 7th Quarters' projected work in the amount of: \$340,593,

covering the period of January 2019, through June 2019. While TRLIA’s Quarter 4 report requested advance funding covering the 6-month period through March 2019 (Quarters 5 & 6), no additional advance funding was provided based on that request due to the fact that TRLIA had not documented sufficient expenses as part of that Quarterly Report demonstrating that additional advance funding was warranted. TRLIA’s request, summarized below and detailed further within this report, again covers the 6th Quarter (January to March 2019) as well as the 7th Quarter (April to June 2019). This report demonstrates that, when taking into consideration advance funds previously provided as well as documented expenses through the 4th Quarter (October to December 2018), additional advance funding is now warranted.

Table 2-1. TRLIA- 200-Year Goldfields Levee Project: Quarterly Payment Summary

**Table 2-1
 TRLIA - 200-Year Goldfields Levee Project
 Quarterly Payment Summary**

Description	Amount
90% of State Share for Elements 1-7 [1]	\$217,895
Local Credit True-Up [2]	\$122,697
Total Quarterly Advance Request	\$340,593

[1] Represents Quarters 6 & 7 net of True-Up for previously advanced

[2] Represents Quarter 4 Local Credit True-Up

Section 7 of this report has been retitled from “Risk Analysis and Impact Discussion” to “Special Topics”.

3. Project Scope of Work

This report covers the following quarters:

- Previous Quarter July – September 2018 (Quarter 4)
- Current Quarter October – December 2018 (Quarter 5)
- Next Quarter January – March 2019 (Quarter 6)

The following is a discussion of the work completed in the Previous Quarter, work occurring in the Current Quarter, and work planned for the Next Quarter.

3.1. Element 1: Grant Application

Complete. UFRR Funding Agreement #4600012115 was executed in October 2017.

3.2. Element 2: Program Management

Previous Quarter. TRLIA continues to support program implementation, which includes advancing design; acquiring permits; right of acquisition; performing public outreach; adding the Project to the SPFC; working towards execution of an Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R) agreement; financial reporting; and grant and funding agreement administration, throughout the duration of the Project.

Current Quarter. Same as previous quarter.

Next Quarter. Same as previous quarter.

3.3. Element 3: Design and Right-of-Way Support

Previous Quarter.

Design: Design activities occurring during the previous quarter included developing the geotechnical data report and geotechnical basis of design; evaluating borrow needs and sources and final borrow site design and condition; evaluating utility, irrigation and transportation challenges; evaluating wind setup and wave run-up; evaluating drainage requirements and opportunities; developing the 65% DWSE and hydraulic basis of design; and developing 65% plans and specifications.

Right-of-Way Support: ROW activities occurring during the previous quarter included meeting with the impacted property owner and performing appraisals. Once the levee alignment and borrow site locations become more formalized, TRLIA will begin preparation of the UFRR Real Estate Plan.

Current Quarter.

Design: Design activities planned for the next quarter include completing the draft 65% basis of design, plans, and specifications. Outreach to the utility owners has begun and is expected to continue for the foreseeable future.

Right-of-Way Support: ROW activities for the current quarter include continued outreach to property owners in the area and meetings with the owners to keep them informed of the progress of the project.

Next Quarter.

Design: Design activities planned for the next quarter include completing the 65% design package and submitting the package to reviewing agencies and independent panel. Outreach to the utility owners is expected to continue for the foreseeable future.

Right-of-Way Support: Development of the Real Estate Plan will begin in the next quarter, once the CEQA Supplemental EIR and 65% design are completed.

3.4. Element 4: Environmental Review and Permitting

Previous Quarter.

Environmental Review: Significant activities related to development of the SEIR occurred in the previous quarter. The SEIR was released for public review on September 24th.

On May 18, 2018 Richard G. Wilbur, and Wilbur Packing Company filed a petition for writ of mandate and complaint for declaratory and injunctive relief with Yuba County Superior Court regarding TRLIA's compliance with CEQA. After discussions with Mr. Wilbur the petition was dropped during this Quarter.

Permitting: Very limited activities occurred during previous quarter. Now that DWR has identified paths for this project to be added to the SPFC, the critical path for permitting is the completion of the 65% design.

Current Quarter.

Environmental Review: Significant activities related to development of the SEIR are occurring during the current quarter. The SEIR was released for public review in the previous quarter and the review period closed October 29. The team is reviewing and considering comments received on the SEIR. The Final SEIR is being developed and certification is expected in Quarter 6.

Members of the community (Wilbur Packing and Barker) affected by the proposed re-alignment approached the TRLIA Board in October and asked the Board to reconsider the alignment that shows the proposed levee crossing their property. They presented an alternative alignment. The TRLIA Board formed an Ad Hoc Group and met with the community members. The conclusion of the Ad Hoc

Group was that the proposed community alignment had been reviewed before and was screened out due to cost and portions of the alignment as not being technical feasible.

During this quarter WRDA 2018 was signed, which authorized the proposed levee to be part of the Federal system. This authorization affects the NEPA environmental review. See Section 6 and 7 of this report for additional details.

Permitting: No activity; awaiting the completion of the 65% design in order to complete permit applications.

During this quarter WRDA 2018 was signed, which authorized the proposed levee to be part of the Federal system. This authorization affects the Federal permitting actions for this project. See Section 6 and 7 of this report for additional details.

Next Quarter.

Environmental Review: Environmental review activities planned for the next quarter will be limited. Certification of the SEIR is expected early in the quarter.

TRLIA staff will continue to work with USACE and DWR staff on completing the needed Federal NEPA documents for an authorized levee.

Permitting: Permitting activities will begin in the next quarter upon completion of the 65% design package.

3.5. Element 5: Right-of-Way Acquisition (Post Addition to SPFC)

Previous Quarter. No Activity.

Current Quarter. No Activity.

Next Quarter. No Activity.

3.6. Element 6: Construction, Mitigation, and other Project activities (Post Addition to SPFC)

Previous Quarter. No Activity.

Current Quarter. No Activity.

Next Quarter. No activity.

3.7. Element 7: Closeout Process (Post Addition to SPFC)

Previous Quarter. No Activity

Current Quarter. No Activity

Next Quarter. No activity.

4. Project Schedule

TRLIA anticipates delivering the Project within the original timeframe (2021), and prior to the expiration of the UFRR Funding Agreement (2022).

Figure 4-1. Schedule of 200-Year Goldfields Project

GOLDFIELDS 200-YEAR PROJECT

ID	Task Name	Duration	Start	Finish	2018		2019		2020		2021		2022	
					Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
1	Element 1: Grant Application	26 days	Fri 5/15/15	Fri 6/19/15										
2	Feature 1: Grant Application Efforts	26 days	Fri 5/15/15	Fri 6/19/15										
3	Element 2: Program Management	1838 days	Fri 5/15/15	Tue 5/31/22										
4	Feature 1: Government Salaries, Benefits and General Expenses	1838 days	Fri 5/15/15	Tue 5/31/22										
5	Feature 2: Program Consultant Expenses	1838 days	Fri 5/15/15	Tue 5/31/22										
6	Feature 3: Legal Support	1838 days	Fri 5/15/15	Tue 5/31/22										
7	Element 3: Design and Right of Way Support	1271 days	Mon 9/19/16	Mon 8/2/21										
8	Feature 1: Design	901 days	Mon 9/19/16	Mon 3/2/20										
9	Feature 2: Right of Way Support	1154 days	Wed 3/1/17	Mon 8/2/21										
10	Element 4: Environmental Review and Permitting	770 days	Wed 1/18/17	Tue 12/31/19										
11	Feature 1: CEQA and NEPA Process	565 days	Mon 5/1/17	Fri 6/28/19										
12	Feature 2: Permitting and Addition to the SPFC	770 days	Wed 1/18/17	Tue 12/31/19										
13	Element 5: Right of Way Acquisition (Post Addition to SPFC)	260 days	Tue 8/6/19	Mon 8/3/20										
14	Feature 1: Right of Way Capital Cost	260 days	Tue 8/6/19	Mon 8/3/20										
15	Element 6: Construction, Mitigation, and Other Project Activities (Post Addition to SPFC)	476 days	Tue 11/5/19	Tue 8/31/21										
16	Feature 1: Construction	189 days	Wed 4/1/20	Mon 12/21/20										
17	Feature 2: Construction Management	234 days	Wed 4/1/20	Mon 2/22/21										
18	Feature 3: Environmental Mitigation	107 days	Tue 11/5/19	Wed 4/1/20										
19	Feature 4: O&M Manual Addendum	329 days	Wed 3/4/20	Mon 6/7/21										
20	Feature 5: Certification	151 days	Tue 2/2/21	Tue 8/31/21										
21	Element 7: Closeout Process (Post Addition to SPFC)	346 days	Mon 2/1/21	Tue 5/31/22										
22	Feature 1: Closeout Work	16.13 emons	Mon 2/1/21	Tue 5/31/22										

5. Project Budget

The current Overall Work Plan Budget is summarized in Table 5-1. There are no changes to the budget proposed within this Quarterly Report.

Table 5-1. TRLIA - 200-Year Goldfields Levee Project: Overall Work Plan Budget Summary

Element	Description	Funding Agreement Budget	Current Budget	State Share \$ [1]
1	Grant Application	\$25,100	\$25,100	\$19,829
2	Program Management	\$2,250,000	\$2,250,000	\$1,777,501
3	Design & ROW Support	\$5,892,300	\$5,892,300	\$4,654,920
4	Environmental Review & Permitting	\$1,015,700	\$1,015,700	\$802,403
5	ROW Acquisition (Post Add to SPFC)	\$8,327,100	\$8,327,100	\$6,578,413
6	Construction, Mitigation, & Other Project Activities	\$23,659,900	\$23,659,900	\$18,691,331
7	Closeout Process (Post Add to SPFC)	\$95,700	\$95,700	\$75,603
Total		\$41,265,800	\$41,265,800	\$32,600,000

[1] State cost share is 85%. State Budget shown here is reduced to reflect State share of eligible portion of Total Budget capped proportionately reduced to reflect the funding Agreement Limit of \$32,600,000.

During the current quarter (September 21, 2018) TRLIA asked DWR to consider and approve the following item. When the project funding agreement was executed last year the state cost share was established at 85%; however, the state only had, at that time, funding for 79% (\$32,600,000). The funding agreement allows DWR to increase the state allocation to the full 85% should additional state funds become available. The additional state funds added to the project would be \$2,475,930. DWR is considering this request.

6. Deviations in Scope, Schedule, and Budget

There are no schedule deviations at the time of this report; however, there are scope and budget deviations to report.

The primary scope deviation is related to the Congressional authorization of the project, discussed in Section 7. The Federal permitting and environmental disclosure (i.e., Section 408, Section 404, Section 7, Section 106, NEPA) approach is significantly different than originally anticipated now that the project has been federally authorized. Specifically, permitting and NEPA will be limited to the portion of the project impacting Waters of the United States, and NEPA will be accomplished by USACE. Although there is now no Section 408 permission, and federal permitting is limited, there is instead a likely significant effort associated with developing a new approach and processing the project with the USACE.

Therefore, while the scope has changed, no deviation in budget is currently proposed for this item.

Additionally, during the current quarter, at the request of DWR, TRLIA estimated the potential of project cost increases. TRLIA's estimate was approximately \$9.5M. The most significant increase, \$4.8M, is related to the potential for an inflated bidding climate in 2020 given the significant construction planned by USACE as a result of 2018 supplemental appropriations. Another potential increase, \$3.9M was in land acquisition. There are no changes to the budget proposed within this Quarterly Report at this time. TRLIA is currently awaiting feedback from DWR.

7. Special Topics

7.1. Adoption Into the SPFC

A condition of the UFRR Funding Agreement is that, due to the requirements of the Proposition 1E General Obligation Bond (Pub. Resources Code, § 5096.821), the Project must be added to the SPFC. The SPFC includes flood control projects for which the Central Valley Flood Protection Board or DWR has provided assurances of nonfederal cooperation to the US Army Corps of Engineers.

During Quarter 4, in a letter to TRLIA, dated August 16, 2018, DWR identified paths for this project to be added to the SPFC and activities that can be started prior to adoption into the SPFC. In addition to the design, real estate support and CEQA/NEPA activities already approved for funding, the letter allows DWR to also fund real estate acquisition and construction activities.

However, since that time, the project was federally authorized, thus providing a firmer path for the project to be adopted into the SPFC.

7.2. Federal Authorization of the Project

The project was federally authorized in November 2018 as part of the America's Water Infrastructure Act of 2018. The authorization supersedes the need for Section 408 permission. TRLIA met with USACE twice in Quarter 5 to discuss how to implement the now Federal project. At those meetings, in which DWR participated, there was consensus to continue progressing the project and provide funding to the USACE for its review through its Floodplain Management Services (FPMS) Program. The intent is to utilize the existing DWR contract once scopes of work have been developed. Additionally, USACE indicated that no NEPA or Federal permitting would be required, except that which was required for Section 404 permitting. During Quarter 6, TRLIA will be working with DWR staff and USACE to execute a FPMS task order and facilitate Section 404 permitting.

8. Legal Issues

There are currently no pending legal actions associated with the project. Wilbur Packing has implied CEQA litigation could occur should the TRLIA Board adopt a levee alignment that transects their property.

9. Actual and Projected Costs

Credit Period: On October 23, 2017, TRLIA submitted a credit request totaling \$597,062.03 for the State's review and approval. A detailed statement of actual costs and a signed invoice were provided in the October 2017 TRLIA credit request. This initial request covered costs incurred through August 2017. A supplemental request was submitted on March 31, 2018 covering costs after the initial credit request to October 3, 2017. The State's share was \$585,204.87. On June 20, 2018 TRLIA submitted a revised supplemental credit request adjusting ENGEO's reimbursable expenses markup from 20% down to 5%. The State's share of the supplemental request is \$561,909.92.

Table 9-1 on the following page provides a summary of the previously projected costs for Quarters 4 (from the 4th Quarter Report¹) as compared to the actual Costs for Quarter 4 based on the 5th Quarter Report SOC. The 5th Quarter Report SOC presents the costs for Quarters 1 through 4. **Table 9-1** also shows the State Share True-Up amount and Local Credit True-Up amounts for the actual costs incurred for Quarter 4.

Table 9-2 provides a reconciliation of the approved credit and approved and projected credit payments.

¹ Table 10-1 from the 3rd Quarter Report included a two-quarter projection for Quarters 3 and 4. Table 9-1 below shows only the portion of that projection related to Quarter 4. Going forward, based upon feedback from DWR, Table 10-1 will provide a breakdown of any two quarter projection provided so that information can be appropriately reflected in Table 9-1.

Table 9-1. TRLIA - 200-Year Goldfields Levee Project Prior Quarter Actual Cost Comparison and True-Up

Element	Description	State Cost Share A	Previously	Actual Costs for Quarter 4[2] C	Difference	Actual State Cost Share E = C x A	Retention on	Payment By State G = E - F	Local Creditable Cost Share H = C x (1 - A)
			Projected Costs [1] B		between QTR and Actual D = B - C		Actual State Cost Share (10%) F = E x 10%		
1	Grant Applicatoin	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 124,418.57	\$ 134,718.46	\$ (10,299.89)	\$ 114,510.69	\$ 11,451.07	\$ 103,059.62	\$ 20,207.77
3	Design & ROW Support	85%	\$ 159,063.59	\$ 499,925.72	\$ (340,862.13)	\$ 424,936.86	\$ 42,493.69	\$ 382,443.18	\$ 74,988.86
4	Environmental Review & Permitting	85%	\$ 78,916.61	\$ 183,336.66	\$ (104,420.05)	\$ 155,836.16	\$ 15,583.62	\$ 140,252.54	\$ 27,500.50
5	ROW Acquisition	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6	Construction, Mitigation, & Other Project	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
7	Closeout Process	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ 362,398.78	\$ 817,980.84	\$ (455,582.06)	\$ 695,283.71	\$ 69,528.37	\$ 625,755.34	\$ 122,697.13

[1] Projected costs for Quarter 4

[2] Reference Quarter 4 SOC subject to DWR Review

Table 9-2. TRLIA - 200-Year Goldfields Levee Project Remaining Authorized Local Credit

Total Use of Credit	Amount
Initial Starting Credit Request	\$575,808
Supplemental Credit Request	\$561,910
Authorized Local Credit by DWR (to date)	\$1,137,718
less Credit Payments received (Credit Payment No. 1)	N/A
Quarter 2 local share paid by State	\$52,037
Quarter 3 local share paid by State	\$96,436
Pending Quarter 4 local share	\$122,697
Remaining Authorized Local Credit	\$866,548

10. Payment Requested and State Disbursements

This section of the report has been updated to include an accounting of quarterly costs incurred from the prior quarter as documented within the submitted quarterly Statements of Cost and any requested true-up funding. This requested funding is summarized in the following four tables listed below.

Based on the projected costs for Quarter 6 and Quarter 7, TRLIA requests an advance of \$217,895 covering 90% of the State's share for the next two-quarters less funding received and not expended from prior advances. (reference Tables 10-1 & 10-2 on the following pages).

Table 10-1 shows next two quarters projected costs and associated advance request net of any true-up against prior advances.

Table 10-2 provides the detail of any excess funding (or funding due) shown on Table 10-1. Excess funding (or funding due) is determined based on the State's share of the prior Advance Payments as compared to the State's Share of expenses (net of retention) documented within TRLIA's Statement of Costs.

Table 10-3 shows the remaining State budget after prior State payments (both State Share and Local Credit) as well as the projected remaining budget after the payment request shown on Table 10-1.

Table 10-4 shows a ledger of payments made to date and the remaining grant balance.

Table 10-1. TRLIA - 200-Year Goldfields Levee Project: 6th and 7th Quarter Projected Cost

Element	Description	State Cost Share A	Projected Costs		State Share (85%) D = (B + C) x A	State Withholding on Advance (10%) E = D x 10%	Advance State Share Funding Requested F = D - E	Excess from Prior Advances [2] G	Remaning Advanced Request H = G + F
			Quarter 6 B	Quarter 7 C					
1	Grant Applicatoin	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 123,591.87	\$ 124,144.50	\$ 210,575.91	\$ 21,057.59	\$ 189,518.32	\$ (56,671.16)	\$ 132,847.16
3	Design & ROW Support	85%	\$ 155,252.22	\$ 127,780.77	\$ 240,578.03	\$ 24,057.80	\$ 216,520.23	\$ (265,385.98)	\$ (48,865.75)
4	Environmental Review & Permitting	85%	\$ 75,058.80	\$ 70,377.83	\$ 123,621.13	\$ 12,362.11	\$ 111,259.02	\$ 22,654.96	\$ 133,913.98
5	ROW Acquisition	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6	Construction, Mitigation, & Other Project	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
7	Closeout Process	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ 353,902.88	\$ 322,303.09	\$ 574,775.08	\$ 57,477.51	\$ 517,297.57	\$ (299,402.18)	\$ 217,895.39

[1] Covers period from 1/1/19 to 3/31/19 (Q6)

[2] Covers period from 4/1/19 to 6/30/19 (Q7)

[2] Reference **Table 10-2**

Table 10-2. TRLIA - 200-Year Goldfields Levee Project: True-Up Funding

Element	Description	True Up Costs	True Up Cost QTR	Total True Up	State Share of	Retention on	State Share of	Payments	True Up Funding
		QTR 4 [1]	1-3 [2]	Costs	True Up Costs	State Share of	True Up Costs to	Received to Date	(Excess)
		A	B	C = A + B	D = 0.85 * C	(10%)	be Immediately	[3]	F = D - E
						E = D x 10%	Funded	E	F = D - E
							F = D - E		
1	Grant Applicatoin	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	\$ 134,718.46	\$ 317,257.16	\$ 451,975.62	\$ 384,179.28	\$ 38,417.93	\$ 345,761.35	\$ 402,432.51	\$ (56,671.16)
3	Design & ROW Support	\$ 499,925.72	\$ 1,201,714.75	\$ 1,701,640.47	\$ 1,446,394.40	\$ 144,639.44	\$ 1,301,754.96	\$ 1,567,140.94	\$ (265,385.98)
4	Environmental Review & Permitting	\$ 183,336.66	\$ 167,178.49	\$ 350,515.15	\$ 297,937.88	\$ 29,793.79	\$ 268,144.09	\$ 245,489.13	\$ 22,654.96
5	ROW Acquisition	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6	Construction, Mitigation, & Other Project	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
7	Closeout Process	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 817,980.84	\$ 1,686,150.40	\$ 2,504,131.24	\$ 2,128,511.55	\$ 212,851.16	\$ 1,915,660.40	\$ 2,215,062.58	\$ (299,402.18)

[1] Reference **Table 9-1**, Total Subject to DWR Review

[2] Reference Previsouly Approved DWR Statement of Costs for QTR1-3

[3] Reference **Table 10-4**

Table 10-3. TRLIA - 200-Year Goldfields Levee Project: Summary of Payment Request and Comparison to State Share Budget

Element	Description	Prior State Payments			Pending		
		(Advances and True Ups) [1] A	State Share Budget B	Remaining Budget C = B - A	Advanced Request [2] D	Advance Request Quarter 6 & 7 E	Remaining Budget F = C - D
1	Grant Applicatoin	\$ -	\$ 19,829.00	\$ 19,829.00	\$ -	\$ -	\$ 19,829.00
2	Program Management	\$ 451,923.51	\$ 1,777,501.00	\$ 1,325,577.49	\$ 34,816.33	\$ 153,054.93	\$ 1,137,706.23
3	Design & ROW Support	\$ 1,616,631.94	\$ 4,654,920.00	\$ 3,038,288.06	\$ 34,816.33	\$ 26,123.11	\$ 2,977,348.62
4	Environmental Review & Permitting	\$ 294,980.13	\$ 802,403.00	\$ 507,422.87	\$ 34,816.33	\$ 161,414.48	\$ 311,192.06
5	ROW Acquisition	\$ -	\$ 6,578,413.00	\$ 6,578,413.00	\$ -	\$ -	\$ 6,578,413.00
6	Construction, Mitigation, & Other Project	\$ -	\$ 18,691,331.00	\$ 18,691,331.00	\$ -	\$ -	\$ 18,691,331.00
7	Closeout Process	\$ -	\$ 75,603.00	\$ 75,603.00	\$ -	\$ -	\$ 75,603.00
		\$ 2,363,535.58	\$ 32,600,000.00	\$ 30,236,464.42	\$ 104,448.99	\$ 340,592.52	\$ 29,791,422.91

[1] Includes all State Payments to Date

[2] Request pending (Quarter 5 & 6)

[2] Request this report (Quarter 6 & 7)

Table 10-4. TRLIA - 200-Year Goldfields Levee Project: Payment Request and State Disbursements

Report Justifying Payment	Payment Request Date	Payment Type	Payment Receipt Date	Credit Portion	State Portion	Total Payment Amount	Notes
Q1	2/23/2018	Advance	3/9/2018		\$1,051,439	\$1,051,439	Q1&Q2 Advance
Q2	3/28/2018	Payment	8/17/2018	\$52,037	\$489,201	\$541,238	QPR2 Payment
Q3	6/12/2018	Payment	8/21/2018	\$96,436	\$674,422	\$770,858	QPR3 Payment
Q4	12/28/2018	Payment					
Cumulative Payments				\$148,473	\$2,215,063	\$2,363,536	
Total Grant Amount				\$8,665,800	\$32,600,000	\$41,265,800	
Grant Amount Remaining				\$8,517,327	\$30,384,937	\$38,902,264	

11. Tracking Tables and Deliverables Table

11.1. Earned Value Report by Element

Table 11-1 on the following page, provides a summary of the costs expended to date, as compared to earned value.

11.2. Earned Value

Chart 11-1 tracks the planned costs, earned value, and actual costs for the Project. Commencing with start of Quarter 1, the Planned Cost, Earned Value, and Actual Costs, as shown in the chart, have been aligned as a starting point for tracking. Moving forward, the chart will show the Earned Value and Actual Costs incurred, relative to Planned Costs over time.

11.3. 200-Year Deliverables

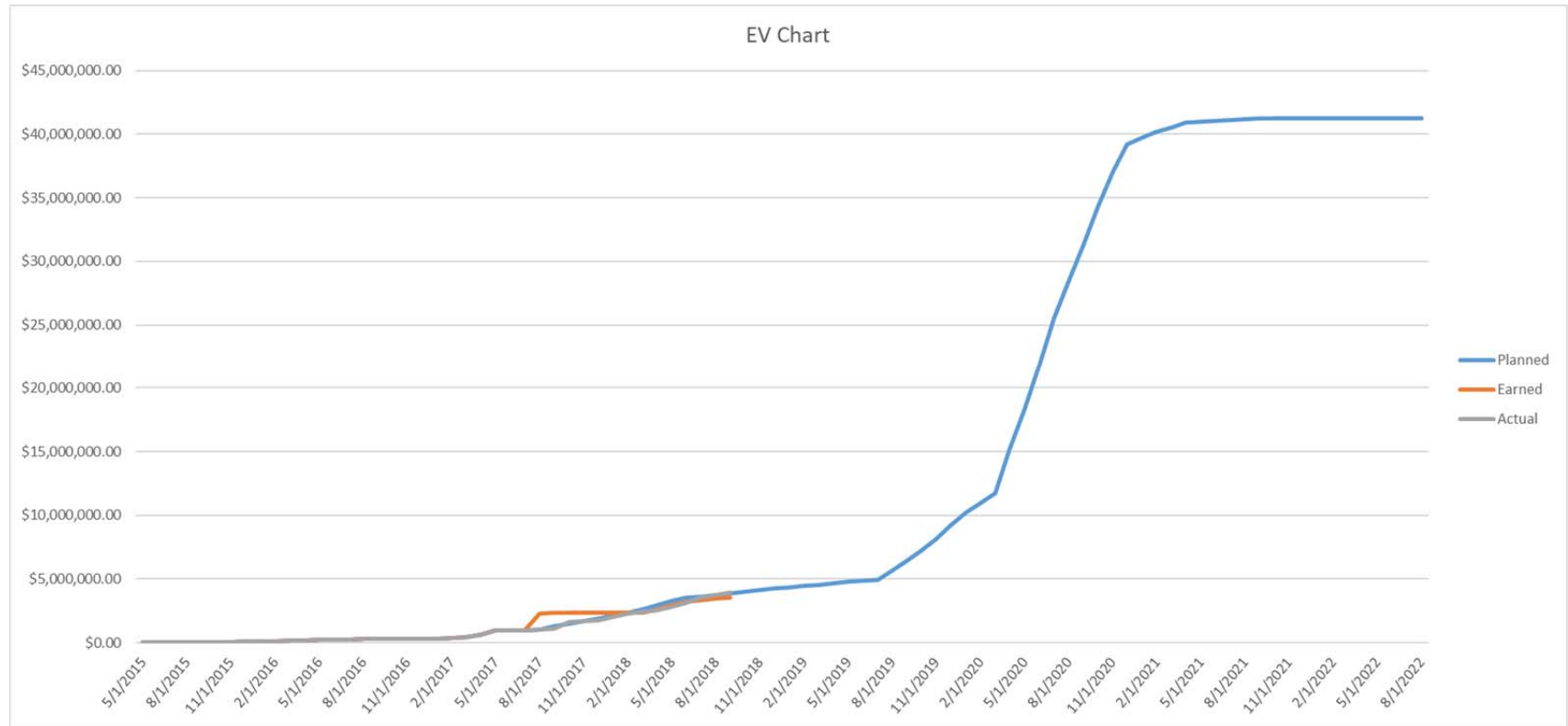
Table 11-2 lists the deliverables associated with the project and each deliverables planned date of submittal. The final two columns indicate placeholders for each deliverables' projected date of submittal and acceptance to DWR.

Table 11-1. Earned Value Report by Element

Element	Description	OAWP Budget	Cost incurred [1]	% Spent	% Progress	Planned Value	% Schedule Elapsed	Earned [1] Value
1	Grant Application	\$25,100	\$25,040	99.8%	100.0%	\$25,040	99.8%	\$25,100
2	Program Management	\$2,250,000	\$733,238	32.6%	39.0%	\$769,640	34.2%	\$877,500
3	Design & ROW Support	\$5,892,300	\$2,451,336	41.6%	40.0%	\$2,325,158	39.5%	\$2,356,920
4	Envrionmental Review & Permitting	\$1,015,700	\$720,604	70.9%	26.0%	\$739,430	72.8%	\$264,082
5	ROW Acquisition (Post Add to SPFC)	\$8,327,100	\$5,000	0.1%	0.0%	\$0	0.0%	\$0
6	Construction, Mitigation, & Other Project Acti	\$23,659,900	\$750	0.0%	0.0%	\$0	0.0%	\$0
7	Closeout Process (Post Add to SPFC)	\$95,700	\$0	0.0%	0.0%	\$0	0.0%	\$0
		\$41,265,800	\$3,935,967	9.5%	8.5%	\$3,859,268	9.4%	\$3,523,602

[1] As of September 2018; Based on costs **prior** to DWR Review

Chart 11-1. Earned Value



[1] As of August 2017 Planned, Earned, and Actual Costs are aligned.

Table 11-2. 200-Year Deliverables

Required Deliverable	Planned Date of Submittal	Date Submitted to DWR	Date DWR Accepted
Project Real Estate Plan	Q7. 2019	Not Submitted	Not Accepted.
Real Estate Appraisals	Rolling. Q3-Q7. 2018-2019	Not Submitted	Not Accepted.
Real Estate Environmental Site Assessments	Q7. 2019	Not Submitted	Not Accepted.
Final Real Estate Accounting Packages (FAP's)	Rolling. Q6-Q17. 2019-2021	Not Submitted	Not Accepted.
Property Transfer to SSJDD (via DWR & CVFPB)	Rolling. Q14-Q19. 2021-2022	Not Submitted	Not Accepted.
Section 221 Credit MOU	Not applicable	Not Submitted	Not Accepted.
Basis of Design Report	Q6. 2018	Not Submitted	Not Accepted.
65% Design Drawings	Q6. 2019	Not Submitted	Not Accepted.
90% Design Drawings	Q9. 2019	Not Submitted	Not Accepted.
Final Design Drawings and Specifications	Q10. 2020	Not Submitted	Not Accepted.
Construction Bid Documents	Q10. 2020	Not Submitted	Not Accepted.
CEQA Supplement	Q7. 2019	Not Submitted	Not Accepted.
AB 52 Consultation	Q7. 2019	Not Submitted	Not Accepted.
RWQCB 401 Permit	Q9. 2019	Not Submitted	Not Accepted.
DFW 1602 SAA	Q9. 2019	Not Submitted	Not Accepted.
2081 Permit	Not Required.		
USFWS Section 7	Q8. 2019	NA	Not Accepted.
SHPO Section 106	Q8. 2019	NA	Not Accepted.
USACE NEPA Document	Q8. 2019	NA	Not Accepted.
404 Permit	Q8. 2019	NA	Not Accepted.
408 Permission	Not Required.		
Encroachment Permit	Q10. 2020	Not Submitted	Not Accepted.
Clear Path to SPFC Requirement	Q5. 2018	Q5. 2018	Q5. 2018
Addition to the SPFC	Q9. 2019	Not Submitted	Not Accepted.
OMRR&R Agreement	Q10. 2020	Not Submitted	Not Accepted.
Interim OMRR&R Manual	Q12. 2020	Not Submitted	Not Accepted.
OMRR&R Draft Manual	Q12. 2020	Not Submitted	Not Accepted.
OMRR&R Final Manual	Q15. 2021	Not Submitted	Not Accepted.
As-Built Drawings	Q15. 2021	Not Submitted	Not Accepted.
Construction Completion Report	Q15. 2021	Not Submitted	Not Accepted.
Project Completion Report	Q16. 2021	Not Submitted	Not Accepted.
Flood Risk Resolution	Q7. 2018	Not Submitted	Not Accepted.
Safety and Emergency Response Plan ("Flood Safety Plan")	Q15. 2021	Not Submitted	Not Accepted.