



July 18, 2014

Paul Morrison, P.E.
Division of Flood Management
Department of Water Resources
3464 El Camino Avenue, Suite 200
Sacramento, California 95821

SMITH CANAL GATE PROJECT – FUNDING AGREEMENT NO. 4600009799
PROGRESS REPORT FROM 3/1/2014 TO 5/31/2014 AND INVOICE NO. SCGATE-03

Enclosed for your review are the invoice and progress report for the above period. In addition, enclosed is the work plan for the period covering June 1, 2014 through August 31, 2014.

Expenses for the period March 1, 2014 through May 31, 2014 total \$251,236.26. As these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$125,618.13. Deducting the required 10% retention (\$12,561.81) from State's cost-share, SJAFCA is requesting payment in the amount of \$113,056.32. In support of this request, an expenditure summary is attached.

I certify that we have verified that the costs and work performed are consistent with the costs and scope of work approved by the State. In addition, a disbursement request summary is enclosed for your reference.

If you have any questions or need more information, please contact Juan Neira at (209) 937-8113 or by e-mail at juan.neira@stocktongov.com

A handwritten signature in blue ink that reads "Roger Churchwell". The signature is fluid and cursive, with the first name "Roger" and last name "Churchwell" clearly distinguishable.

ROGER CHURCHWELL
DEPUTY EXECUTIVE DIRECTOR

RC:JJN:dc

Enclosures

emc: Kelly Fucciolo, Department of Water Resources
Juan Neira, Senior Civil Engineer, Project Manager

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INVOICE

Bill to:

State of California
Department of Water Resources
Division of Flood Management
Attention: Paul Morrison
3464 El Camino Ave., Suite 200
Sacramento, CA 95821-9000

Invoice No.: SCGATE-03**Invoice Date:** July 15, 2014

<u>Description</u>	<u>Amount</u>	<u>Subtotal</u>
Agreement No. 4600009799, Smith Canal Closure Structure Design The Expenditure Summary Report covering the work period From 3/1/2014 thru 5/31/2014 accompanies this invoice.		
Total Expenses	\$ 251,236.26	
Cost Share (50%)	\$125,618.13	
Retention Amount (10%)	\$(12,561.81)	
Total Disbursement Request		\$ 113,056.32

Please send payment to:

San Joaquin Area Flood Control Agency
22 E. Weber Ave., Room 301
Stockton, CA 95202-2317
Attn: Roger Churchwell

Total Balance Due: \$ 113,056.32

Smith Canal Closure Structure
Overall Project Budget
Budget Status through May 2014
Progress Period = March 1, 2014 through May 31, 2014

Funding Agreement Tasks

Task	Description	Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management	\$ 709,000	\$ 66,199	\$ 160,785	\$ 226,983	\$ 482,017	33%
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	\$ 1,856,342	30%
3	Independent Review	\$ 300,000	\$ -	\$ -	\$ -	\$ 300,000	0%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 152,636	\$ 66,339	\$ 218,975	\$ 1,156,025	15%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000	0%
6	Public Outreach	\$ 50,000	\$ 32,401	\$ 3,960	\$ 36,361	\$ 13,639	50%
TOTALS		\$ 4,825,000	\$ 251,236	\$ 624,742	\$ 875,978	\$ 3,949,022	18%

Breakdown of Funding Agreement Task 1

Task	Description	Work Performed By	Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management (Design Phase)	SJA/CA	\$ 709,000	\$ 12,750	\$ 122,955	\$ 135,705	\$ 482,017	33%
		Legal		\$ 1,376	\$ 3,079	\$ 4,454		
		Design Team		\$ 52,073	\$ 34,751	\$ 86,824		
Program Management (Design Phase) TOTAL			\$ 709,000	\$ 66,199	\$ 160,785	\$ 226,983	\$ 482,017	33%

Monthly Statement of Costs

Smith Canal Gate Project						
March 1, 2014 through May 31, 2014						
Task	Description	PROPOSED Quarterly costs (3/1 - 5/31)	ACTUAL Monthly Costs (3/1 - 5/31)			TOTAL ACTUAL Quarterly Costs (3/1 - 5/31)
			MARCH	APRIL	MAY	
1	Program Management	\$75,629.00	\$23,830.43	\$14,760.28	\$27,607.87	\$66,198.58
2	Engineering Design	\$32,620.75	\$0.00			\$0.00
3	Independent Review	\$0.00	\$0.00			\$0.00
4	Environmental Review and Permitting	\$156,220.60	\$47,938.33	\$1,712.66	\$102,985.23	\$152,636.22
5	Real Estate Planning & Acquisition	\$0.00	\$0.00			\$0.00
6	Public Outreach	\$25,671.20	\$5,891.10	\$21,488.06	\$5,022.30	\$32,401.46
	TOTALS	\$290,141.55	\$77,659.86	\$37,961.00	\$135,615.40	\$251,236.26

Task 1 -Breakdown

Task	Description	Work Performed By	PROPOSED Quarterly costs (3/1 - 5/1)	ACTUAL MARCH	ACTUAL APRIL	ACTUAL MAY	TOTAL ACTUAL Quarterly Costs (3/1 - 5/31)
1	Program Management	SJAFA - Program Mgt	\$25,000.00	\$4,367.30	\$5,056.64	\$3,326.49	\$12,750.43
		SJAFA - Legal Counsel	\$5,000.00	\$420.00	\$105.00	\$850.50	\$1,375.50
		PBI - Design Team	\$45,629.00	\$19,043.13	\$9,598.64	\$23,430.88	\$52,072.65
	Task 1 TOTAL		\$75,629.00	\$23,830.43	\$14,760.28	\$27,607.87	\$66,198.58

**PROGRESS
REPORT
3/1/14 – 5/31/14**

QUARTERLY PROGRESS REPORT for the DESIGN of the SMITH CANAL CLOSURE STRUCTURE

Project Sponsor: San Joaquin Area Flood Control Agency (SJAFCFA)

Contract Agreement No.: 4600009799

Progress Period: 3/1/14 thru 5/31/14

SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document continued, including development of the Project Purpose, Objectives and Needs as well as the Project Description. Public informational meetings were held. The Notice of Preparation was prepared for the CEQA document. Work also continued to assemble the Independent Panel of Experts to review the Project's design documents.

PROJECT INFORMATION

Major accomplishments during the progress period

Table 1 presents a summary of design phase tasks and the associated accomplishments completed during the progress period.

Table 1. Project Accomplishments during the Progress Period

Design Phase Task		Status	Major Accomplishments during the Progress Period
Task 1: Program Management	SJAFCFA	Ongoing	- Coordinated consultant and public outreach activities - Worked on general project activities and requests from other agencies Design & Environmental effort
	Legal	Ongoing	Supported environmental and general project issues
	Design Team	Ongoing	- Conducted monthly project development team meetings on 3/13/14, 4/8/14, and 5/9/14 - Conducted bi-weekly team conference calls - Sub-consultant team coordination - Initiated scoping and permitting for geotechnical investigation
Task 2: Engineering Design		Not Started	
Task 3: Independent Review		Ongoing	Submitted additional information for proposed IPE team members to DWR
Task 4: Environmental Review and Permitting		Ongoing	- Finalized alignments and closure gate types for Chapter 2 of CEQA document - Completed a preliminary development of hydrodynamic model and evaluated water quality impacts of the project for Chapter 3 (Affected Environment) of the CEQA document - Continued evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document

Design Phase Task	Status	Major Accomplishments during the Progress Period
		• Prepared draft Chapter 1 (Introduction) of CEQA document
Task 4: Environmental Review and Permitting (continued)	Ongoing	• Prepared data needs for draft Chapter 2 (Alternatives) of CEQA document • Prepared Notice of Preparation for CEQA document
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	• Held meeting 4/3/14 with Atherton Cove waterfront homeowners to inform regarding the project's purpose, need and schedule • Held meeting 4/17/14 with Assessment District homeowners to inform regarding the project's purpose, need and schedule • Held meeting 5/29/14 with Atherton Island homeowners to inform regarding the project's purpose, need and schedule • Set up Scoping Meeting for CEQA document

Legal matters

No legal matters arose during this progress period.

Engineering and design matters

No engineering and/or design matters arose during this progress period.

Environmental matters

No environmental matters arose during this progress period.

Issues or concerns that affect the schedule or budget

No issues or concerns arose during this progress period.

Differences between work performed and work outlined in Overall Project Work Plan

No deviations from the Overall Project Work Plan occurred during this progress period.

COST INFORMATION

Costs incurred to date

There are no changes to the total costs presented in the original design budget.

Table 2 (attached) presents an itemized cost breakdown by task for this progress period as well as an overall summary for the costs to date.

At this time we have spent approximately 18% of our design budget, which is consistent with the amount of work completed thus far.

Changes to the budget

There have been no changes to the design budget to date.

SCHEDULE INFORMATION

Figure 1 presents a comparison of the Current Schedule and the activities performed during this progress period.

ANTICIPATED ACTIVITIES NEXT QUARTER

Table 4 presents the anticipated activities for June 2014 through August 2014.

Table 4. Anticipated Activities

Design Phase Task		Status	Major Accomplishments during the next quarter
Task 1: Program Management	SJAFC	Ongoing	- Oversee and coordinate consultant work, and public outreach activities. - Work on general project activities and requests from other agencies
	Legal	Ongoing	Support environmental and general project issues
	Design Team	Ongoing	- Conduct monthly project development team meetings on 6/11/14, 7/9/14, and 8/7/14 - Conduct bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		Start	Complete survey and geotechnical investigation tasks for 60% design
Task 3: Independent Review		Ongoing	Finalize selection of IPE team members with DWR
Task 4: Environmental Review and Permitting		Ongoing	- Distribute Notice of Preparation for CEQA document - Conduct Scoping Meeting 7/16/14 for CEQA document - Contract with independent water quality model reviewer - Further develop the hydrodynamic model to provide detailed evaluation the water quality impacts of the project and potential associated benefits for Chapter 3 (Affected Environment) of the CEQA document - Complete evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document - Finalize Chapter 1 (Introduction) for the Administrative Draft EIR - Continue to develop Chapter 2 (Alternatives) for the Administrative Draft EIR
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	Send out newsletter to Assessment District homeowners

Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE

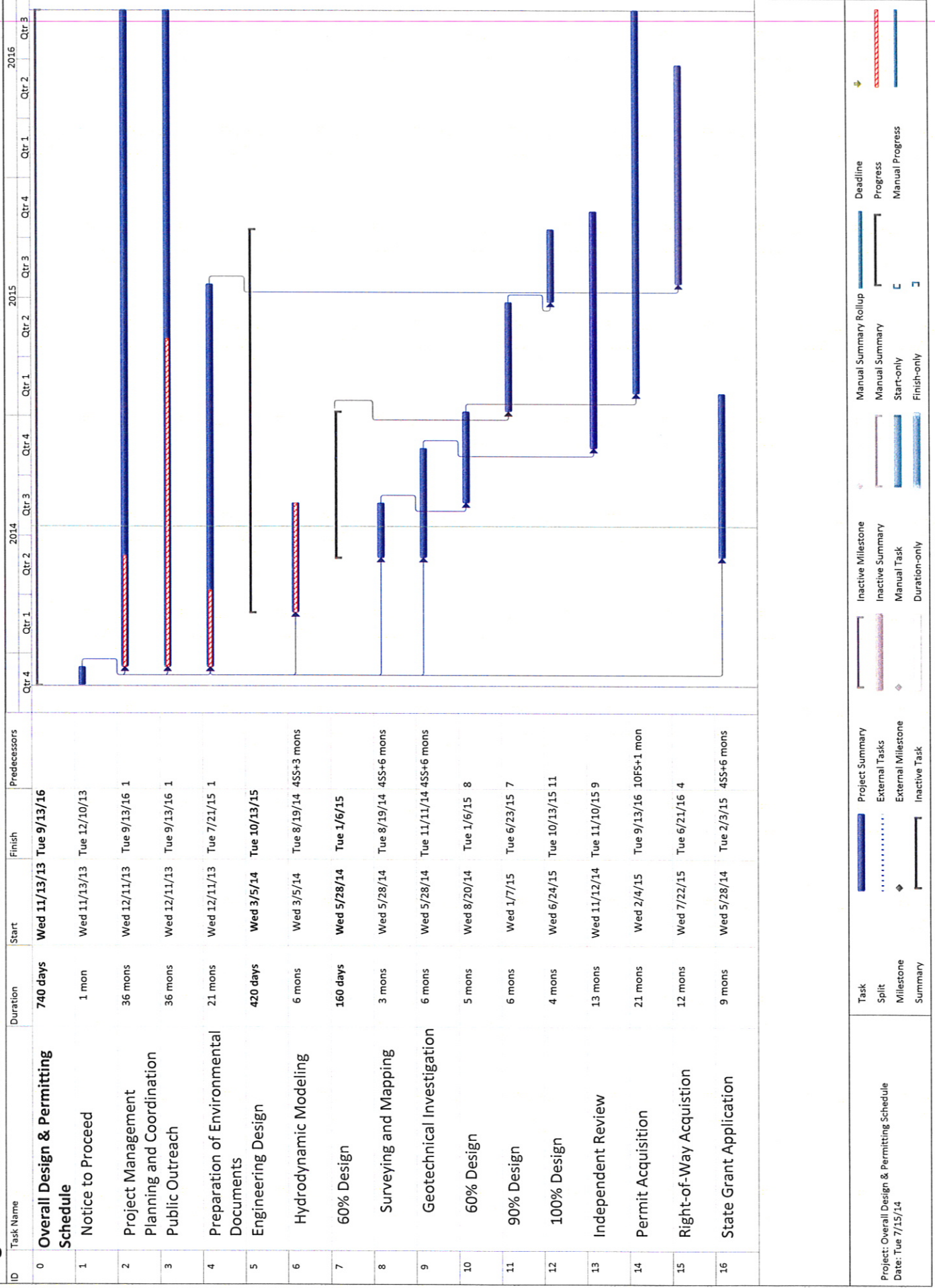


TABLE 2 - SUMMARY OF COSTS

Smith Canal Closure Structure
Overall Project Budget
Budget Status through May 2014
Progress Period = March 1, 2014 through May 31, 2014

Funding Agreement Tasks							
Task	Description	Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management	\$ 709,000	\$ 66,199	\$ 160,785	\$ 226,983	\$ 482,017	33%
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	\$ 1,856,342	30%
3	Independent Review	\$ 300,000	\$ -	\$ -	\$ -	\$ 300,000	0%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 152,636	\$ 66,339	\$ 218,975	\$ 1,156,025	15%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000	0%
6	Public Outreach	\$ 50,000	\$ 32,401	\$ 3,960	\$ 36,361	\$ 13,639	50%
TOTALS		\$ 4,825,000	\$ 251,236	\$ 624,742	\$ 875,978	\$ 3,949,022	18%

Breakdown of Funding Agreement Task 1

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		Legal		\$ 1,376	\$ 3,079	\$ 4,454		
		Design Team		\$ 52,073	\$ 34,751	\$ 86,824		
	Program Management (Design Phase) TOTAL		\$ 709,000	\$ 66,199	\$ 160,785	\$ 226,983	\$ 482,017	33%

WORK PLAN

6/1/14 – 8/31/14

QUARTERLY WORK PLAN for the DESIGN of the SMITH CANAL CLOSURE STRUCTURE

Project Sponsor: San Joaquin Area Flood Control Agency (SJAFCA)

Contract Agreement No.: 4600009799

Work Plan Period: 6/1/2014 thru 8/31/14

PROJECT INFORMATION

Engineering and design matters

Scoping survey and geotechnical investigation for initiation of 60% in following quarter.

Environmental matters

Issuing Notice of Preparation for CEQA document, preparing for CEQA Scoping Meeting and initiating the Administrative Draft EIR in following quarter.

Permit status

Formal permitting activities to start with the issuance of the CEQA Notice of preparation with USACE, CDFW, NMFS, and USFWS.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for June 2014 through August 2014.

Table 1. Anticipated Activities

Design Phase Task		Status	Major Accomplishments during the next quarter
Task 1: Program Management	SJAFCA	Ongoing	- Oversee and coordinate consultant work, and public outreach activities. - Work on general project activities and requests from other agencies
	Legal	Ongoing	Support environmental and general project issues
	Design Team	Ongoing	- Conduct monthly project development team meetings on 6/11/14, 7/9/14, and 8/7/14 - Conduct bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		Start	Complete survey and geotechnical investigation tasks for 60% design
Task 3: Independent Review		Ongoing	Finalize selection of IPE team members with DWR

Design Phase Task	Status	Major Accomplishments during the next quarter
Task 4: Environmental Review and Permitting	Ongoing	• Distribute Notice of Preparation for CEQA document • Conduct Scoping Meeting 7/16/14 for CEQA document • Contract with independent water quality model reviewer • Further develop the hydrodynamic model to provide detailed evaluation the water quality impacts of the project and potential associated benefits for Chapter 3 (Affected Environment) of the CEQA document • Complete evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document • Finalize Chapter 1 (Introduction) for the Administrative Draft EIR • Continue to develop Chapter 2 (Alternatives) for the Administrative Draft EIR
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	• Send out newsletter to Assessment District homeowners

Issues or concerns that affect the schedule or budget

There are no issues or concerns that could affect the schedule/budget at this time.

Differences between work performed and work outlined in Overall Project Work Plan

No deviations from the Overall Project Work Plan are anticipated during this work plan period.

Legal issues

There are no legal issues related to the project at this time.

COST INFORMATION

Projected Costs

Table 2 (attached) presents an itemized cost breakdown by task for this progress period as well as an overall summary for the costs to date.

The projected costs show that we will have spent approximately 25% of our budget, which is consistent with the amount of work anticipated for completion thus far.

Changes to the budget

There have been no changes to the design budget to date.

Advance funds sought

No advance funds are sought by SJAFCA.

Advance funds sought

No advance funds are sought by SJAFCA.

SJAFCA funding expenditures

SJAFCA will fund 50% of the projected costs shown in Table 2.

SCHEDULE INFORMATION

No changes are anticipated to the schedule to date.

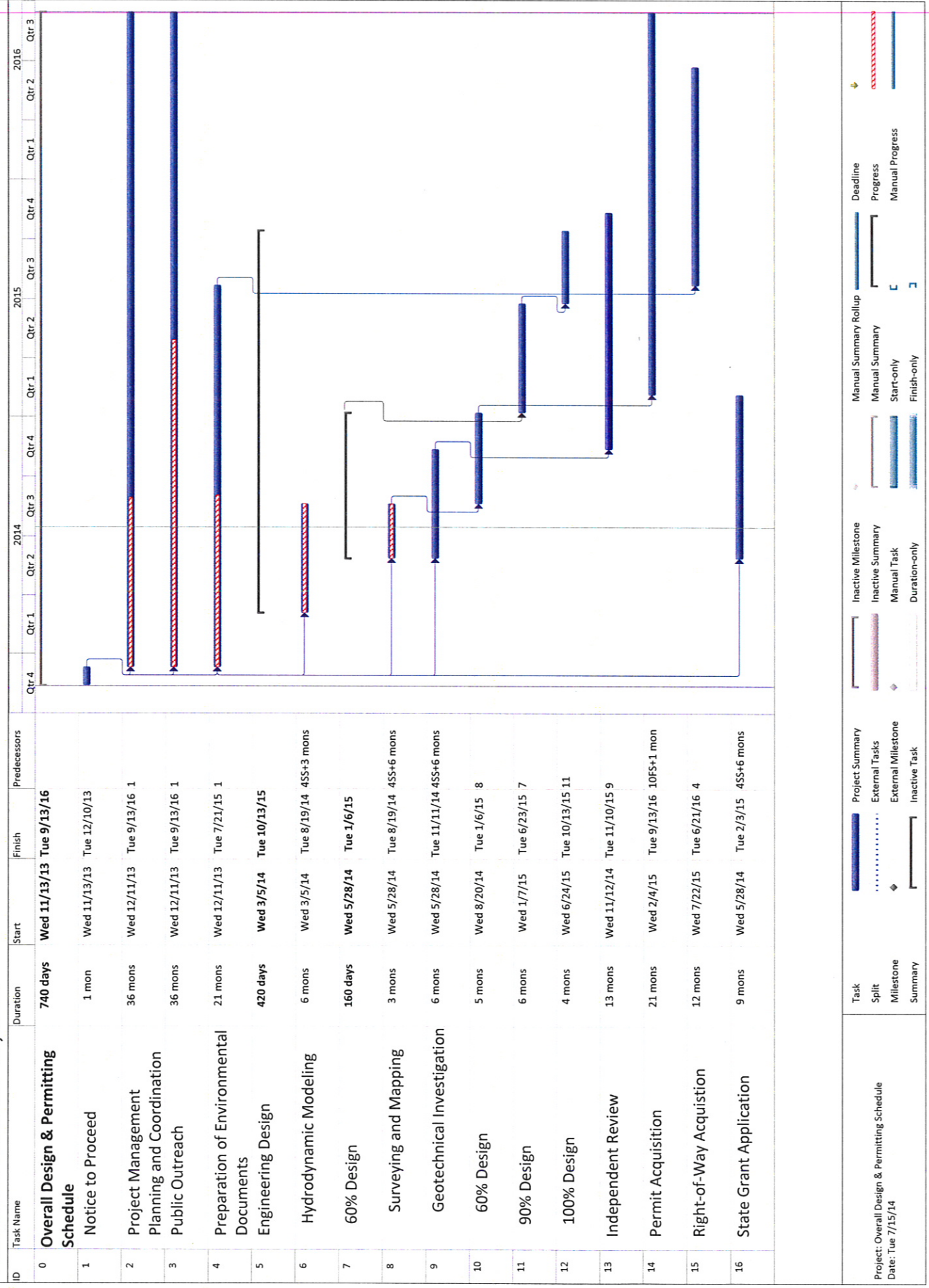
TABLE 2 - SUMMARY OF PROJECTED COSTS

Smith Canal Closure Structure
Overall Project Budget
Work Plan Budget through August 2014
Work Plan Period = June 1, 2014 through August 31, 2014

Funding Agreement Tasks

Task	Description	Budget	Costs for Current Work Plan Period	Costs for Previous Periods	Total Cost through Work Plan Period	Budget Remaining at Completion of Work Plan Period	Percent Complete at Completion of Work Plan Period
1	Program Management (Design Phase)	\$ 709,000	\$ 30,000	\$ 135,705	\$ 165,705	\$ 421,275	36%
			\$ 5,000	\$ 4,454	\$ 9,454		
			\$ 25,742	\$ 86,824	\$ 112,566		
2	Engineering Design	\$ 2,250,000	\$ 31,761	\$ 393,658	\$ 425,419	\$ 1,824,581	30%
3	Independent Review	\$ 300,000	\$ -	\$ -	\$ -	\$ 300,000	0%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 238,998	\$ 218,975	\$ 457,973	\$ 917,027	30%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000	0%
6	Public Outreach	\$ 50,000	\$ 8,250	\$ 36,361	\$ 44,611	\$ 5,389	80%
TOTALS		\$ 4,825,000	\$ 339,751	\$ 875,978	\$ 1,215,729	\$ 3,609,271	25%

Figure 1. SMITH CANAL GATE ANTICIPATED OVERALL DESIGN & PERMITTING SCHEDULE THROUGH AUGUST 31, 2014



DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of February 28, 2014

SJA/CA Request Date	Invoice No.	Total Expenses	Cost-Share (50%)	Retention (10%)	Amount Requested	DWR Disbursement Date	State Warrant No.	Disbursed Amount	Balance
9/28/2012	SCGATE-01	\$499,352.87	\$249,676.44	\$24,967.64	\$224,708.79	9/17/2013	Wire transfer	\$224,708.79	\$0.00
4/11/2014	SCGATE-02	\$125,389.36	\$62,694.68	\$6,269.47	\$56,425.21	7/8/2014	Wire transfer	\$56,425.21	\$0.00
7/16/2014	SCGATE-03	\$251,236.25	\$125,618.13	\$12,561.81	\$113,056.32				\$113,056.32
			\$0.00	\$0.00	\$0.00				
			\$0.00	\$0.00	\$0.00				
			\$0.00	\$0.00	\$0.00				
			\$0.00	\$0.00	\$0.00				
Totals To Date		\$875,978.48	\$437,989.25	\$43,798.92	\$394,190.32			\$281,134.00	\$113,056.32