



February 13, 2015

Paul R. Larson, 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 9/1/2014 TO 11/30/2014 AND INVOICE NO. SCGATE-05

Enclosed for your review is an invoice and progress report for the above-noted period.

Expenses for September 1, 2014 through November 30, 2014 totaled \$332,611.10. Because these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$166,305.55. After deducting the required 10% retention (\$16,630.55), the State's cost-share for this quarter totals \$149,675.00.

State Progress Payment Three in the amount of \$177,397.83 received on October 21, 2014, did not include payment for August 2014 expenses (\$14,419.13). Therefore, SJAFCA is requesting payment in the amount \$164,094.13 (\$149,675.00 quarterly expenses + \$14,419.13 August expenses).

Please see the enclosed "Disbursement Request Summary" which encapsulates SJAFCA invoices and the State's payments.

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 to the above-noted progress report and invoice, enclosed please find a work plan for the period covering December 1, 2014 through February 28, 2015.

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

ROGER CHURCHWELL
DEPUTY EXECUTIVE DIRECTOR

RC:JJN:dc

Enclosures

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

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INVOICE

Bill to:

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

Invoice No.: SCGATE-05**Invoice Date:** Feb 2, 2015

<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 9/1/2014 thru 11/30/2014 accompanies this invoice.		
Total Expenses	\$ 332,611.10	
Cost Share (50%)	\$166,305.55	
Retention Amount (10%)	\$(16,630.55)	
• 9/1/20/2014 thru 11/30/2014 Disbursement Request		\$ 149,675.00
• August 1 thru August 30/2014 Disbursement Request.		<u>\$ 14,419.13</u>
Total Request		\$ 164,094.13

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: \$ 164,094.13

Monthly Statement of Costs

Smith Canal Gate Project							
September 1, 2014 through November 30, 2014							
Task	Description	Budget	PROPOSED Quarterly costs	ACTUAL Monthly Costs (9/1 - 11/30)			TOTAL ACTUAL Quarterly Costs
				SEP	OCT	NOV	
1	Program Management	\$ 709,000	\$68,653.00	\$17,431.96	\$17,472.07	\$13,664.31	\$48,568.34
2	Engineering Design	\$ 2,250,000	\$0.00				
3	Independent Review	\$ 300,000	\$15,000.00	\$1,997.50	\$2,210.00	\$3,029.10	\$7,236.60
4	Environmental Review and Permitting	\$ 1,375,000	\$232,675.00	\$54,349.72	\$146,962.31	\$75,494.13	\$276,806.16
5	Real Estate Planning & Acquisition	\$ 141,000					
6	Public Outreach	\$ 50,000	\$4,125.00				
TOTALS		\$ 4,825,000	\$320,453.00	\$73,779.18	\$166,644.38	\$92,187.54	\$332,611.10

Task 1 -Breakdown

Task Description	Work Performed By	Budget	PROPOSED Quarterly costs (9/1 - 11/30)	ACTUAL SEP	ACTUAL OCT	ACTUAL NOV	TOTAL ACTUAL Quarterly Costs (9/1 - 11/30)
1 Program Manage ment	SJAFA - Program Mgt		\$30,000.00	\$5,956.82	\$6,138.32	\$5,993.79	\$18,088.93
	SJAFA - Legal Counsel	\$ 709,000	\$5,000.00				
	PBI - Design Team		\$33,653.00	\$11,475.14	\$11,333.75	\$7,670.52	\$30,479.41
Task 1 TOTAL		\$ 709,000	\$68,653.00	\$17,431.96	\$17,472.07	\$13,664.31	\$48,568.34

**PROGRESS
REPORT
9/1/14 – 11/30/14**

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: 9/1/14 thru 11/30/14

SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document continued, including performing water quality modeling for three alternative alignments and continuing the Administrative Draft EIR development. 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	- Oversee and coordinate consultant work, and public outreach activities. - Work on general project activities and requests from other agencies - Coordinated permitting activities for in-water geotechnical investigation
	Legal	Ongoing	Supported environmental and general project issues
	Design Team	Ongoing	- Conducted monthly project development team meetings on 9/16/14 and 11/24/14 - Conducted bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		On Hold	Scoping for final design
Task 3: Independent Review		Ongoing	Developed scope of work for IPE team members
Task 4: Environmental Review and Permitting		Ongoing	- Continued development of the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality benefits for Chapter 3 (Affected Environment) of the CEQA document - Finalize Chapter 1 (Introduction) for the Administrative Draft EIR - Continued development of Chapter 2 (Alternatives) for the Administrative Draft EIR

Design Phase Task	Status	Major Accomplishments during the Progress Period
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	

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

Schedule

Scheduling issues did arise during this progress period. The need for additional peer review of the CEQA water quality modeling as well as additional required modeling of CEQA project alternatives and improvements has delayed the completion of the project descriptions portion of the EIR from September 2014 to January 2015. The water quality modeling needs to be finalized to assist with the selection of the proposed project alternative and the water quality enhancements.

In addition, SJAFCA decided to initiate design after completion of the CEQA documentation. This postpones the start of the design and permitting until the CEQA document is complete in November 2015.

The revised schedule that addresses both of these schedule issues is presented in Figure 1.

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 30% of our design and permitting budget, which is consistent with the amount of work completed thus far.

Changes to the budget

There have been no changes to the overall project budget to date.

SCHEDULE INFORMATION

Figure 1 presents the Updated Schedule. Completion of the last task (permitting) is scheduled for February 2017.

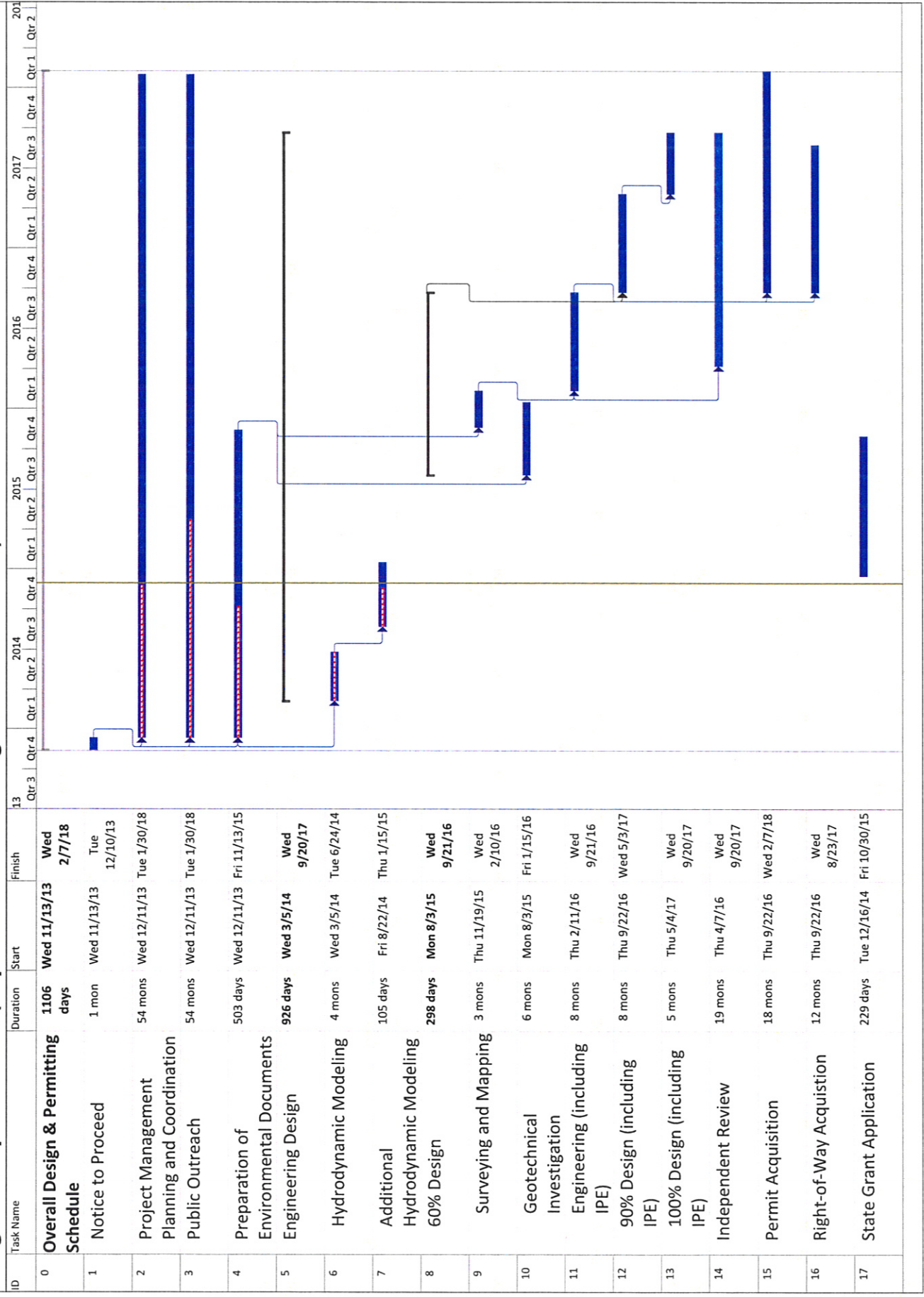
ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for December 2014 through February 2015.

Table 3. 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 • Coordinate permitting activities for in-water geotechnical investigation
	Legal	Ongoing	• Support environmental and general project issues
	Design Team	Ongoing	• Conduct monthly project development team meetings on 1/7/15 and 2/3/15 • Conduct bi-weekly team conference calls • Sub-consultant team coordination
Task 2: Engineering Design		On Hold	• Finalize scoping for final design
Task 3: Independent Review		Ongoing	• Finalize scope of work and hire IPE team members
Task 4: Environmental Review and Permitting		Ongoing	• Finalize the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality 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 2 (Alternatives) for the Administrative Draft EIR • Initiate Chapter 3 (Affected Environment) for the Administrative Draft EIR
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	

**Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE
Progress Report Period (September 2014 through November 2014)**



Smith Canal Closure Structure
Overall Project Budget
Budget Status through November 2014
Progress Period = September 1, 2014 through November 30, 2014

Breakdown of Funding Agreement Task 1

File No. 220635-1 Progress Report Sept - Nov

DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of February 12, 2015

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								
	March	\$77,659.86	\$38,829.93	\$3,882.99	\$34,946.94	10/21/2014	Wire transfer	\$177,397.83	
	April	\$37,961.00	\$18,980.50	\$1,898.05	\$17,082.45	10/21/2014	Wire transfer		
	May	\$135,615.40	\$67,807.70	\$6,780.77	\$61,026.93	10/21/2014	Wire transfer		
10/29/2014	SCGATE-04								
	June	\$82,867.52	\$41,433.76	\$4,143.38	\$37,290.38	10/21/2014	Wire transfer		
	July	\$60,113.61	\$30,056.81	\$3,005.68	\$27,051.12	10/21/2014	Wire transfer		
	August	\$32,042.51	\$16,021.26	\$1,602.13	\$14,419.13	10/21/2014			\$14,419.13
1/22/2015	SCGATE-05								
	September	\$73,779.18	\$36,889.59	\$3,688.96	\$33,200.63				\$33,200.63
	October	\$166,644.38	\$83,322.19	\$8,332.22	\$74,989.97				\$74,989.97
	November	\$92,187.54	\$46,093.77	\$4,609.38	\$41,484.39				\$41,484.39
Totals To Date		\$1,383,613.23	\$691,806.62	\$69,180.66	\$622,625.95			\$458,531.83	\$164,094.13

WORK PLAN
12/1/14 – 2/28/15

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: 12/1/2014 thru 2/28/15

PROJECT INFORMATION

Engineering and design matters

Select preferred alternative and scope survey, geotechnical investigation and design for initiation of design in following quarter.

Environmental matters

Continue work on Administrative Draft EIR for completion in the in following quarter.

Permit status

Continue permitting activities and address comments on CEQA Notice of Preparation from USACE, CDFW, NMFS, and USFWS.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for September 2014 through November 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 - Coordinate permitting activities for in-water geotechnical investigation
	Legal	Ongoing	Support environmental and general project issues
	Design Team	Ongoing	- Conduct monthly project development team meetings on 1/7/15 and 2/3/15 - Conduct bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		On Hold	Finalize scoping for final design
Task 3: Independent Review		Ongoing	Finalize scope of work and hire IPE team members

Design Phase Task	Status	Major Accomplishments during the next quarter
Task 4: Environmental Review and Permitting	Ongoing	• Finalize the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality 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 2 (Alternatives) for the Administrative Draft EIR • Initiate Chapter 3 (Affected Environment) for the Administrative Draft EIR
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	

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 30% 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.

SJAFCA funding expenditures

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

SCHEDULE INFORMATION

Figure 1 presents the Project Schedule through the end of the Work Plan period. No changes are anticipated to the schedule to date.

**Figure 1. SMITH CANAL OVERALL DESIGN & PERMITTING SCHEDULE
Work Plan Period (December 2014 through February 2015)**

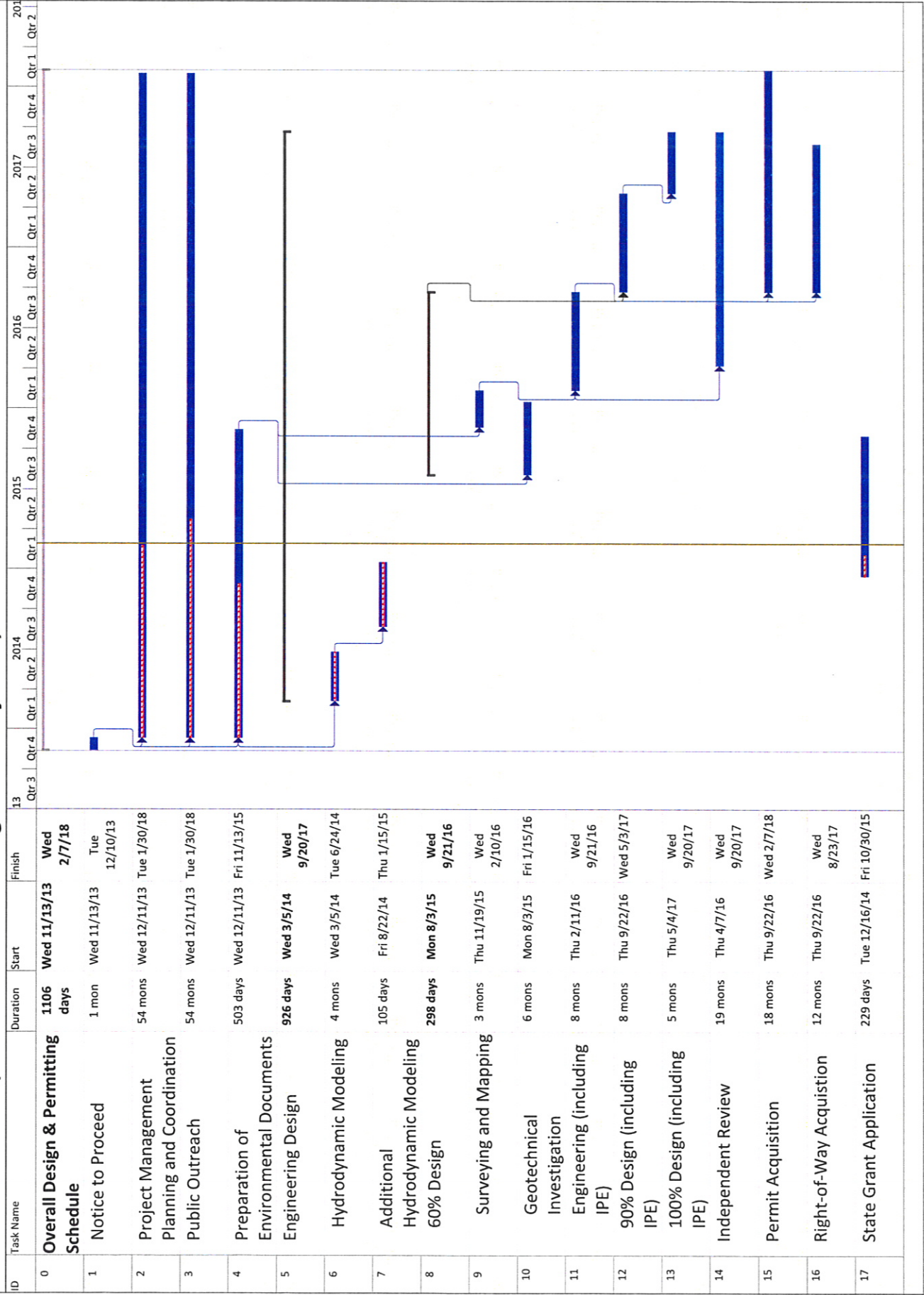


TABLE 2 - SUMMARY OF PROJECTED COSTS

Smith Canal Closure Structure
Overall Project Budget
Work Plan Budget through November 2014
Work Plan Period = December 1, 2014 through February 28, 2015

Funding Agreement Tasks

Task	Description	Budget	ESTIMATED Costs for Current Work Plan Period	Costs for Previous Periods	ESTIMATED Total Cost through Work Plan Period	ESTIMATED Budget Remaining at Completion of Work Plan Period	ESTIMATED Percent Complete at Completion of Work Plan Period
1	Program Management (Design Phase)	\$ 709,000	\$ 30,000	\$ 167,911	\$ 197,911	\$ 292,841.00	40%
			\$ 5,000	\$ 5,610	\$ 10,610		
			\$ 27,053	\$ 180,585	\$ 207,638		
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	\$ 1,856,341.75	30%
3	Independent Review	\$ 300,000	\$ 15,000	\$ 10,339	\$ 25,339	\$ 274,661.00	5%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 378,042	\$ 582,939	\$ 960,981	\$ 414,019.00	50%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000.00	0%
6	Public Outreach	\$ 50,000	\$ 4,125	\$ 42,572	\$ 46,697	\$ 3,303.00	80%
TOTALS		\$ 4,825,000	\$ 459,220	\$ 1,383,614	\$ 1,842,834	\$ 2,982,166	0%