



April 30, 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 12/1/2014 TO 2/28/2015 AND INVOICE NO. SCGATE-06

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

Expenses for December 1, 2014 through February 28, 2015 totaled \$152,096.67. Because these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$76,048.34. After deducting the required 10% retention (\$7,604.83), the State's cost-share for this quarter totals \$68,443.51.

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 March 1, 2015 through May 31, 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-06
Invoice Date: April 30, 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 12/1/2014 thru 2/28/15 accompanies this invoice.		
Total Expenses	\$ 152,096.67	
Cost Share (50%)		\$76,048.34
Retention Amount (10%)		\$(7,604.83)
Total Request		\$ 68,443.51

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: \$ 68,443.51

Monthly Statement of Costs

Smith Canal Gate Project								
December 1, 2014 through February 28, 2015								
Task	Description	Budget	PROPOSED Quarterly costs	ACTUAL Monthly Costs (9/1 - 11/30)			TOTAL ACTUAL Quarterly Costs	
				DEC	JAN	FEB		
1	Program Management	\$ 709,000	\$62,053.00	\$9,697.97	\$17,426.28	\$12,060.04	\$39,184.29	
2	Engineering Design	\$ 2,250,000						
3	Independent Review	\$ 300,000	\$15,000.00	\$2,932.50	\$2,890.00	\$1,275.00	\$7,097.50	
4	Environmental Review and Permitting	\$ 1,375,000	\$378,042.00	\$54,022.13	\$44,577.74	\$7,215.01	\$105,814.88	
5	Real Estate Planning & Acquisition	\$ 141,000						
6	Public Outreach	\$ 50,000	\$4,125.00					
	TOTALS	\$ 4,825,000	\$459,220.00	\$66,652.60	\$64,894.02	\$20,550.05	\$152,096.67	

Task 1 - Breakdown

Task Description	Work Performed By	Budget	PROPOSED Quarterly costs (12/1 - 2/28)	ACTUAL DEC	ACTUAL JAN	ACTUAL FEB	TOTAL ACTUAL Quarterly Costs (12/1 - 2/28)
1 Program Management	SJAFC A - Program Mgt		\$30,000.00	\$5,189.09	\$6,081.76	\$6,775.29	\$18,046.14
	SJAFC A - Legal Counsel	\$ 709,000	\$5,000.00	\$0.00	\$123.00	\$410.00	\$533.00
	PBI - Design Team		\$27,053.00	\$4,508.88	\$11,221.52	\$4,874.75	\$20,605.15
	Task 1 TOTAL	\$ 709,000	\$62,053.00	\$9,697.97	\$17,426.28	\$12,060.04	\$39,184.29

**PROGRESS
REPORT
12/1/14 – 2/28/15**

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: 12/1/14 thru 2/28/15

SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document continued, including performing water quality modeling for three CEQA alternatives 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 1/7/15 and 2/3/15 - Conducted bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		On Hold	Continued scoping for final design
Task 3: Independent Review		Ongoing	Finalized 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 - Continued development of Chapter 2 (CEQA Alternatives) for the Administrative Draft EIR
Task 5: Real Estate Planning & Acquisition		Not Started	

Design Phase Task	Status	Major Accomplishments during the Progress Period
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

Budget

No budget issues arose during this progress period.

Schedule

No schedule issues 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 32% 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 current project schedule.

ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for March 2015 through May 2015.

Table 3. Anticipated Activities

Design Phase Task		Status	Major Accomplishments during the next quarter
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 • Review Administrative Draft EIR components
	Legal	Ongoing	• Support environmental and general project issues
	Design Team	Ongoing	• Conduct monthly project development team meetings on 3/10/15, 4/15/15 and 5/12/15 • Conduct bi-weekly team conference calls • Sub-consultant team coordination
Task 2: Engineering Design		Ongoing	• Finalize scoping for final design
Task 3: Independent Review		Ongoing	• Issue contracts for IPE team members
Task 4: Environmental Review and Permitting		Ongoing	• Finalize the Administrative Draft EIR • Start preparation of Public Draft EIR
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	• Prepare newsletter for assessment district residences

Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE
Progress Report Period (December 2014 through February 2015)

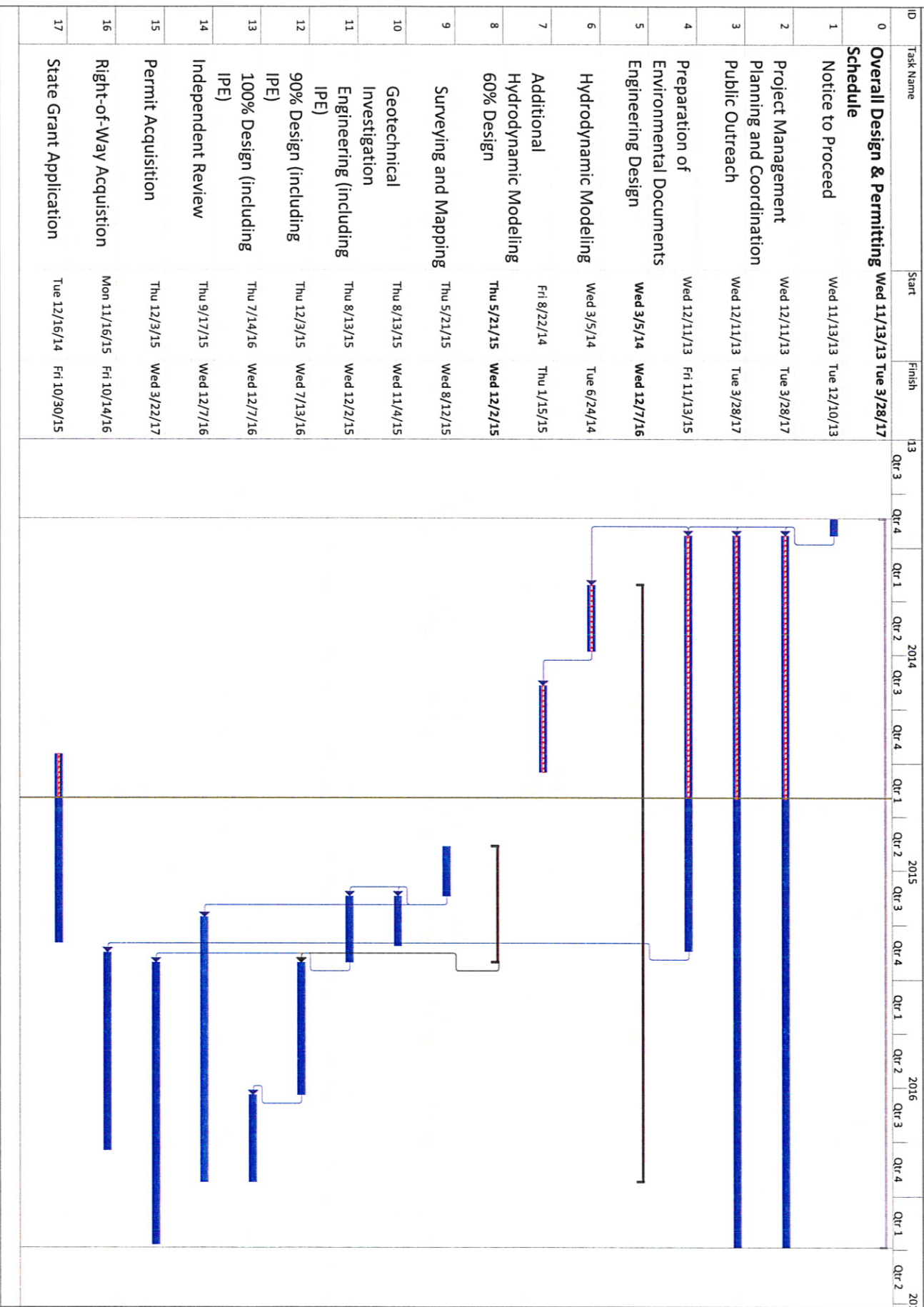


Table 2 - SUMMARY OF COSTS
Smith Canal Closure Structure
Overall Project Budget
Progress Report
Progress Period = December 1, 2014 through February 28, 2015

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	\$ 39,184	\$ 354,105	\$ 393,289	\$ 315,711	40%
2	Engineering Design	\$ 2,250,000	-	\$ 393,658	\$ 393,658	\$ 1,856,342	30%
3	Independent Review	\$ 300,000	\$ 7,098	\$ 10,339	\$ 17,437	\$ 282,564	4%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 105,815	\$ 582,939	\$ 688,754	\$ 686,246	40%
5	Real Estate Planning & Acquisition	\$ 141,000	-	-	-	\$ 141,000	0%
6	Public Outreach	\$ 50,000	-	\$ 42,572	\$ 42,572	\$ 7,428	60%
TOTALS		\$ 4,825,000	\$ 152,097	\$ 1,383,613	\$ 1,535,710	\$ 3,289,290	32%
				\$ 1,535,710	\$ 3,289,290		

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	\$ 18,046	\$ 167,911	\$ 185,957	\$ 315,710	40%
		Legal		\$ 533	\$ 5,610	\$ 6,143		
		Design Team		\$ 20,605	\$ 180,585	\$ 201,190		
	Program Management (Design Phase) TOTAL		\$ 709,000	\$ 39,184	\$ 354,106	\$ 393,290	\$ 358,904	40%

EXPENDITURE SUMMARY

EXPENDITURE SUMMARY
Design of the Smith Canal Closure Structure
SJAFCA Request No. 6

Covers the Period of December 1, 2014 to February 28, 2015

Environmental Documentation & Public Outreach -- Peterson Brustad, Inc.; Downey Brand; cbec eco engineering					
Vendor	Invoice #	Inv. Date	Work Description	Task	Eligible Costs
Peterson Brustad, Inc.	5273	01/14/15	PM, Environmental Review	1, 4	\$ 30,414.01
Peterson Brustad, Inc.	5283	01/14/15	Water Quality Improvement	4	28,117.00
Peterson Brustad, Inc.	5350	02/13/15	PM, Environmental Review	1, 4	55,799.26
Peterson Brustad, Inc.	5433	03/19/15	PM, Environmental Review	1, 4	12,089.76
Downey Brand	478964	02/20/15	PM (Legal)	1	123.00
Downey Brand	479759	03/13/15	PM (Legal)	1	410.00
cbec eco-engineering	14-1021-6	01/19/15	Independent Review	3	2,932.50
cbec eco-engineering	14-1021-7	02/17/15	Independent Review	3	2,890.00
cbec eco-engineering	14-1021-8	03/16/15	Independent Review	3	1,275.00
INVOICES TOTAL \$					134,050.53

SJAFCA Staff Support Costs (December 1, 2014 through February 28, 2015)				
Name	Job Title	Work Description	Task	Staff Costs
Biscocho, Gemma	Associate Civil Engineer	Project Manager	1	\$ 770.25
Churchwell, Roger	Deputy Executive Director	Program Management	1	2,213.16
Cooksey, Donna	Secretary	Administrative	1	-
Duncan, Marlo	Project Manager	Administrative, Financial	1	563.24
Neira, Juan	Senior Civil Engineer	Project Manager	1	13,713.50
Total \$				17,260.14
Indirect Costs Total \$				786.00
STAFF COSTS TOTAL \$				18,046.14

TOTAL EXPENSES: \$ 152,096.67

TOTAL DISBURSEMENT REQUEST: \$ 68,443.51

**STAFF COST BREAKOUT BY EMPLOYEE
SMITH CANAL CLOSURE STRUCTURE**

STAFF TIME SUMMARY - QUARTERLY REPORT

12/01/2014 to 02/28/2015

Name	Job Title	Tasks	# of Hrs	Staff Cost	^{1/} Indirect Cost	Total Staff Cost
Biscocho, Gemma	Associate Civil Engineer	Project Management: engineering & design review, budget, schedule	11.00	770.25	35.09	805.34
Churchwell, Roger	Deputy Executive Director	Program Management: oversight and review	23.00	2,213.16	100.64	2,313.80
Cooksey, Donna	Secretary	Administrative: invoice processing, document handling	0.00	-	-	-
Duncan, Marlo	Project Manager	Administrative: financial reporting, contract administration	11.00	563.24	25.69	588.92
Neira, Juan	Senior Civil Engineer	Project Management: engineering & design review, budget, schedule	176.50	13,713.50	624.58	14,338.08
TOTAL				\$ 17,260.14	\$ 786.00	\$ 18,046.14

^{1/} Indirect cost rates vary slightly from fiscal year to fiscal year and are based on the City of Stockton's Indirect Cost Plan. Below is a summary:

FY 14/15: \$33,330 total indirect cost allocation; approximately 4.71% of total direct labor costs

STAFF COST BREAKOUT BY ACCOUNT

SMITH CANAL CLOSURE STRUCTURE

STAFF TIME EXPENSES - QUARTERLY REPORT

12/01/2014 to 2/28/2015

020-0137-510.10-10	11,825.92	Salary
020-0137-510.10-21	147.80	Add Pay
020-0137-510.10-25	2,405.54	Retirement
020-0137-510.10-27	170.07	Medicare
020-0137-510.10-29	1,293.22	Health/Dental/Vision
020-0137-510.10-31	67.64	Long Term Disability
020-0137-510.10-32	11.27	Life Insurance
020-0137-510.10-33	743.55	Workers Comp
020-0137-510.10-34	22.75	Unemployment
020-0137-510.20-37	572.38	Insurance Premiums
Total:	\$ 17,260.14	

Per Employee	Total Expenses	Remove Non-Direct Labor	Direct Labor Cost Only	1/ Indirect Costs	Total
Biscocho, Gemma	770.25	(25.21)	745.04	35.09	805.34
Churchwell, Roger	2,213.16	(76.37)	2,136.79	100.64	2,313.80
Cooksey, Donna	-	-	-	-	-
Duncan, Marlo	563.24	(17.87)	545.37	25.69	588.92
Neira, Juan	13,713.50	(452.93)	13,260.57	624.58	14,338.08
Total:	17,260.14	\$ (572.38)	\$ 16,687.77	786.00	\$ 18,046.14

^{1/} Indirect cost rates vary from fiscal year to fiscal year and are based on the City of Stockton's Indirect Cost Plan. Below is a summary:
FY 14/15: \$33,330 total indirect costs allocated; approximately 4.71% of total direct labor costs.

INDIRECT COST BREAKDOWN

SMITH CANAL CLOSURE STRUCTURE 12/01/2014 to 02/28/2015 - QUARTERLY REPORT

Dates Covered:	Direct Labor Charges	Indirect Cost Rate	Total Indirect Costs
12/01/2014-12/31/2014:	\$ 4,798.48	4.71%	\$ 226.01
01/01/2015-01/31/2015:	5,623.44	4.71%	264.87
02/01/2015-02/28/2015:	6,265.85	4.71%	295.12
			\$ 786.00

CONSULTANT INVOICES**

****Copies of invoices were previously provided
with monthly reports.**

DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of April 22, 2015

SIAFCA 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	164,094.12	
	July	\$60,113.61	\$30,056.81	\$3,005.68	\$27,051.12	10/21/2014	Wire transfer		\$0.00
	August	\$32,042.51	\$16,021.26	\$1,602.13	\$14,419.13	10/21/2014	Wire transfer		
1/22/2015	SCGATE-05								
	September	\$73,779.18	\$36,889.59	\$3,688.96	\$33,200.63	4/22/2015	Wire transfer		
	October	\$166,644.38	\$83,322.19	\$8,332.22	\$74,989.97	4/22/2015	Wire transfer		
	November	\$92,187.54	\$46,093.77	\$4,609.38	\$41,484.39	4/22/2015	Wire transfer		\$0.00
4/21/2015	SCGATE-06								
	December	\$66,652.60	\$33,326.30	\$3,332.63	\$29,993.67				\$29,993.67
	January	\$64,894.02	\$32,447.01	\$3,244.70	\$29,202.31				\$29,202.31
	February	\$20,550.05	\$10,275.03	\$1,027.50	\$9,247.52				\$9,247.52
Totals To Date		\$1,535,709.90	\$767,854.95	\$76,785.50	\$691,069.46			\$622,625.95	\$68,443.50

WORK PLAN

3/1/15 – 5/31/15

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: 3/1/15 thru 5/31/15

PROJECT INFORMATION

Engineering and design matters

Finalize scope for final design activities.

Environmental matters

Finalize Administrative Draft EIR for completion and start work on the Public Draft EIR to be completed at the beginning of following quarter.

Permit status

Continue permitting activities for in-water geotechnical investigation to be performed in late summer 2015.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for March 1, 2015 through May 31, 2015.

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 - Review Administrative Draft EIR components
	Legal	Ongoing	Support environmental and general project issues
	Design Team	Ongoing	- Conduct monthly project development team meetings on 3/10/15, 4/15/15 and 5/12/15 - Conduct bi-weekly team conference calls - Sub-consultant team coordination
Task 2: Engineering Design		Ongoing	Finalize scoping for final design
Task 3: Independent Review		Ongoing	Issue contracts for IPE team members
Task 4: Environmental Review and Permitting		Ongoing	- Finalize the Administrative Draft EIR - Start preparation of Public Draft EIR
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	Prepare newsletter for assessment district residences

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 37% 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.

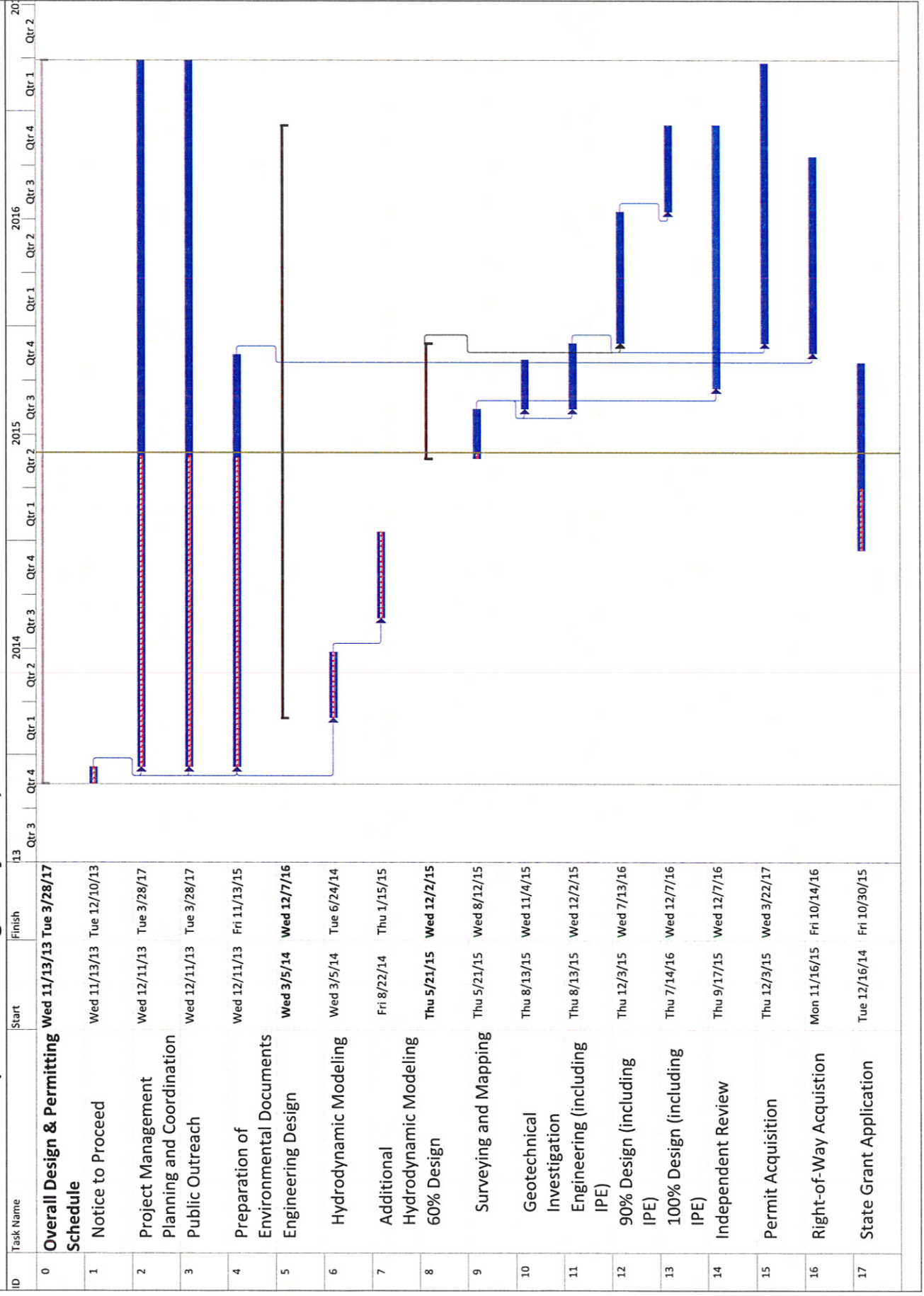
SJAFCA funding expenditures

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 GATE OVERALL DESIGN & PERMITTING SCHEDULE
Work Plan Period (March through May 2015)**



PROJECTED COSTS

Smith Canal Closure Structure
 ESTIMATED Overall Project Budget
 Progress Rpt Budget through February, 2015
 Progress Report = March 1, 2015 through May 31, 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	\$ 20,000	\$ 185,957	\$ 205,957	263,461	42%
			\$ 2,500	\$ 6,143	\$ 8,643		
			\$ 29,749	\$ 201,190	\$ 230,939		
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	1,856,342	30%
3	Independent Review	\$ 300,000	\$ -	\$ 17,437	\$ 17,437	282,564	4%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 168,734	\$ 688,754	\$ 857,488	517,512	50%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	141,000	0%
6	Public Outreach	\$ 50,000	\$ 6,188	\$ 42,572	\$ 48,760	1,240	70%
TOTALS		\$ 4,825,000	\$ 227,171	\$ 1,535,711	\$ 1,762,882	3,062,118	37%