

December 10, 2015

Eric Martinez, Project Manager 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 6/1/2015 TO 8/31/2015 AND INVOICE NO. SCGATE-08

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

Expenses for June 1, 2015 through August 31, 2015 totaled \$355,170.51. Because these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$177,585.26. After deducting the required 10% retention (\$17,758.53), the State's cost-share for this quarter totals \$159,826.73.

Please see the enclosed "Disbursement Request Summary" which summarizes 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 September 1, 2015 through November 30, 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

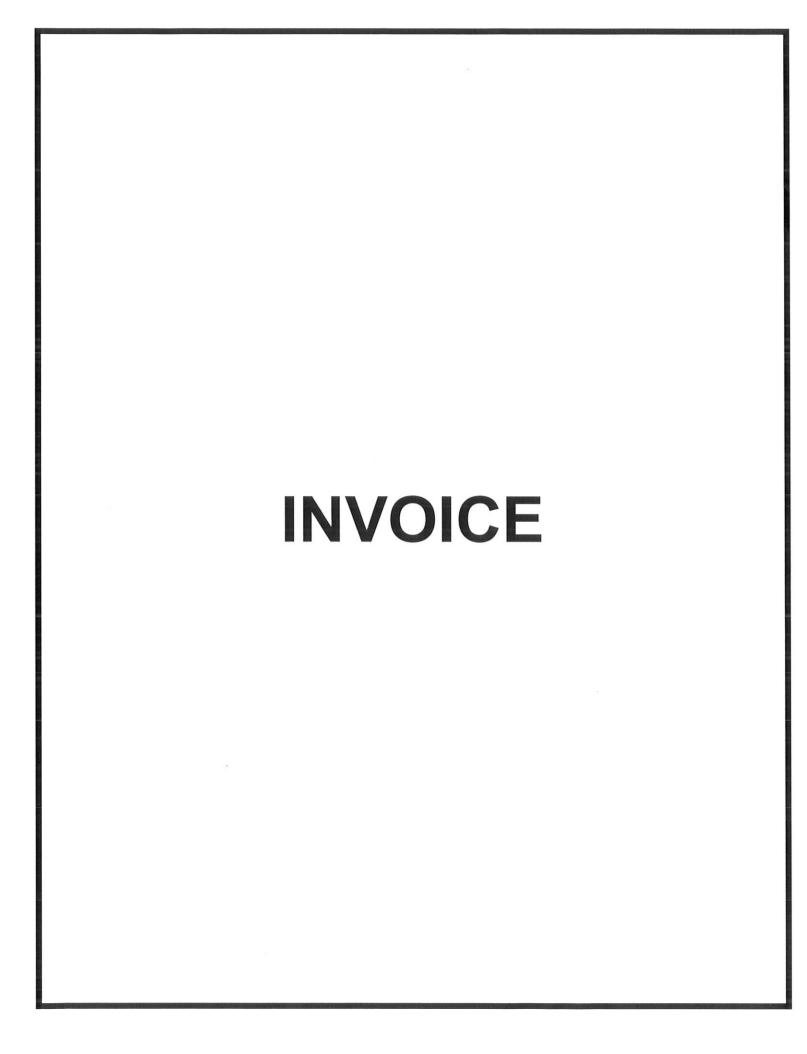
Enclosures

emc: Kelly Fucciolo, Department of Water Resources

Robert E. Scarborough, Department of Water Resources

Juan Neira, Project Manager

SCGATE Prog Rpt 8



Bill to:

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

Invoice No.:

SCGATE-08

Invoice Date:

November 20, 2015

Description

Amount

Subtotal

Agreement No. 4600009799, Smith Canal Closure Structure Design The Expenditure Summary Report covering the work period From 6/1/2015 thru 8/31/15 accompanies this invoice.

Total Expenses

\$ 355,170.51

Cost Share (50%) Retention Amount (10%) \$177,585.26 \$(17,758.53)

Total Request

\$ 159,826.73

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: \$159,826.73

Quarterly Statement of Costs

		Smith	Smith Canal Gate Project				
		June 1, 201!	June 1, 2015 through August 31, 2015	1, 2015			
H		Distant	PROPOSED	ACTUAL IN	ACTUAL Monthly Costs (6/1 - 8/31)	/1 - 8/31)	TOTAL ACTUAL
Idsk	Description	buuget	Quarterly costs	JUN	JUL	AUG	Quarterly Costs
1	Program Management	\$ 709,000	00.600,75\$	\$41,670.51	\$26,775.02	\$18,905.22	\$87,350.75
2	Engineering Design	\$ 2,250,000					\$0.00
3	Independent Review	\$ 300,000	\$10,000.00		\$7,900.00	\$3,945.00	\$11,845.00
4	Environmental Review and Permitting	\$ 1,375,000	\$206,508.00	\$216,323.26	\$2,830.63	\$28,898.99	\$248,052.88
2	Real Estate Planning & Acquisition	\$ 141,000					\$0.00
9	Public Outreach	\$ 50,000	\$4,125.00	\$4,125.00 \$7,921.88		E 27 E	\$7,921.88
	TOTALS	\$ 4,825,000	\$287,642.00	\$287,642.00 \$265,915.65	\$37,505.65	\$51,749.21	\$355,170.51

Task 1 -Breakdown

Task	Task Description	Work Performed By	Budget	PROPOSED Quarterly costs (6/1 - 8/31)	ACTUAL	ACTUAL JUL	ACTUAL AUG	TOTAL ACTUAL Quarterly Costs (6/1 - 8/31)
		SJAFCA - Program Mgt	131	\$30,000.00	\$10,284.45	\$9,483.93	\$7,246.85	\$27,015.23
П	Program Management	SJAFCA - Legal Counsel	\$ 709,000	\$5,000.00	\$5,000.00 \$ 10,444.50	\$481.00	\$8,717.87	\$19,643.37
	.	PBI - Design Team		\$32,009.00	\$20,941.56	\$16,810.09	\$2,940.50	\$40,692.15
		Task 1 TOTAL	000'602 \$	00.600,75\$	\$41,670.51	\$26,775.02	\$18,905.22	\$87,350.75

PROGRESS REPORT 6/1/15 - 8/31/15

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

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

Contract Agreement No.: 4600009799 Progress Period: 6/1/15 thru 8/31/15

SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document continued, including finalize preparation of the Public Draft EIR. Public outreach efforts included a public meeting to introduce the draft EIR. The public comment period for the EIR was June 24 through August 10, 2015.

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	SJAFCA	Ongoing	 Oversee and coordinate consultant work, and public outreach activities. Work on general project activities and requests from other agencies Reviewed Public Draft EIR comments
Management	Legal	Ongoing	 Supported environmental and general project issues
	Design Team	Ongoing	 Conducted monthly project development team meetings on 6/9/15, 7/7/15 and 8/11/15 Sub-consultant team coordination
Task 2: Engineering	Design	On Hold*	Prepared scope for geotechnical investigation
Task 3: Independent	t Review	Ongoing	Reviewed scope for geotechnical investigation
Task 4: Environmen and Permitting	tal Review	Ongoing	 Finalized the Public Draft EIR Held public meeting to introduce Public Draft EIR Assembled comments on Public Draft EIR
Task 5: Real Estate Acquisition	Planning &	Not Started	
Task 6: Public Outre	each	Ongoing	Held public meeting to introduce Public Draft EIR on 7/8/15

^{*} Engineering Design is scheduled to be approved by SJAFCA Board on November 19, 2015, upon completion of Project's Environmental Documentation.

Legal matters

No legal matters arose during this progress period.

Engineering and design matters

Prepared scope for geotechnical investigation.

Environmental matters

Finalized Public Draft EIR and coordinated public meeting for the Public Draft EIR. Assembled public comments (public comment period ended 8/10/15) and initiated work on Final Draft EIR.

Issues or concerns that affect the schedule or budget

Budget

No budget issues arose during this progress period. Extension of Funding Agreement to December 31, 2016 was approved July 6, 2015.

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 43% of the 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.

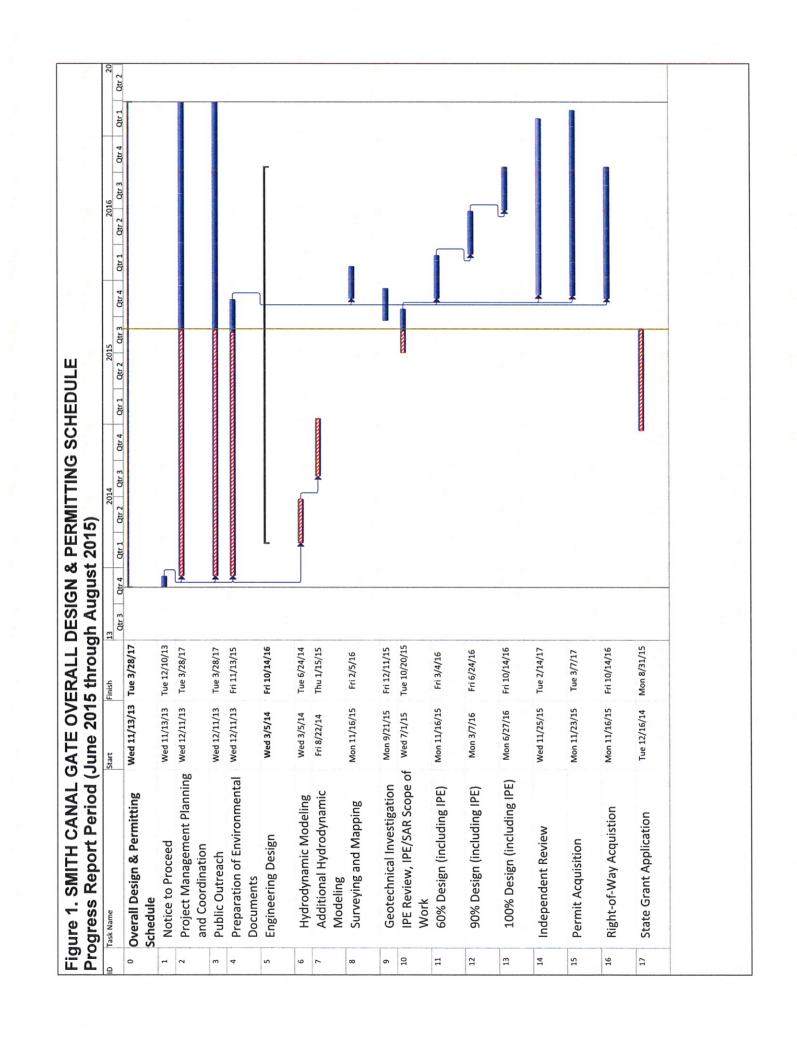
Smith Canal Closure Structure Overall Project Budget Budget Status through August 2015 Progress Period = June 1, 2015 through August 31, 2015

Funding Agreement Tasks

. 0								
				Costs for Current	Costs for Previou	Costs for Current Costs for Previous Total Cost through		
Task	Description	Bu	Budget	Progress Period	Progress Periods		Progress Period Budget Remaining Percent Complete	Percent Complete
1	Program Management	\$	709,000	\$ 87,351	\$ 453,899	9 \$ 541,250	\$ 167,750	20%
2	Engineering Design	\$	2,250,000	- \$	\$ 393,658	393,658	\$ 1,856,342	30%
3	Independent Review	\$	300,000	\$ 11,845	\$ 26,193	38,038	\$ 261,962	2%
4	Environmental Review and Permitting	\$	1,375,000	\$ 248,053	\$ 800,140	1,048,193	\$ 326,807	25%
2	Real Estate Planning & Acquisition	\$	141,000	- \$	- \$	- \$	\$ 141,000	%0
9	Public Outreach	\$	20,000	\$ 7,922	\$ 54,768	3 \$ 62,690	\$ (12,690)	%06
	TOTALS	\$	4,825,000	\$ 355,171	\$ 1,728,659	3 \$ 2,083,830	\$ 2,741,170	43%

Breakdown of Funding Agreement Task 1

	S S								
					Costs for Current	Costs for Current Costs for Previous Total Cost through	Total Cost through		
Task	Task Description	Work Performed By	Bu	Budget	Progress Period	Progress Periods	Progress Period Budget Remaining Percent Complete	Budget Remaining	Percent Complete
		SJAFCA			\$ 27,015	\$ 215,442	\$ 242,457		
Н	(Decize Phase	Legal	\$	000'602	\$ 13,866	\$ 6,778	\$ 20,644	\$ 167,749	20%
	(Design Phase)	Design Team			\$ 46,470	\$ 231,680	\$ 278,149		
	Program Managemen	Program Management (Design Phase) TOTAL	\$	000'602	\$ 87,351	\$ 453,900	\$ 541,251	\$ 167,749	20%



ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for September 2015 through November 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 Respond to Public Draft EIR comments Process adoption of Final EIR and proposed project
(350)	Legal	Ongoing	 Support environmental and general project issues
	Design Team	Ongoing	 Conduct monthly project development team meetings on 9/8/15 and 10/15/15 Sub-consultant team coordination
Task 2: Engineering	Design	Ongoing	Finalize scope for final designPerform geotechnical investigation
Task 3: Independen	nt Review	Ongoing	Review geotechnical investigation preliminary results
Task 4: Environmer and Permitting	ntal Review	Ongoing	 Finalize the Administrative Final EIR Prepare Final EIR Finalize scope for remaining permitting activities
Task 5: Real Estate Acquisition	Planning &	Not Started	
Task 6: Public Outre	each	Ongoing	No activities scheduled

DISBURSEMENT REQUEST SUMMARY

AS OF AUGUST 31, 2015

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY As of August, 2015

SJAFCA 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		
	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	\$177 397 83	
10/29/2014	SCGATE-04							00:10:11:	
	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		\$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	164,094.12	
	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
7/20/2015	SCGATE-07								
	March	\$82,886.45	\$41,443.23	\$4,144.32	\$37,298.90				\$37,298.90
	April	\$76,071.83	\$38,035.92	\$3,803.59	\$34,232.32				\$34,232.32
	Мау	\$33,990.81	\$16,995.41	\$1,699.54	\$15,295.86				\$15,295.86
12/1/2015	SCGATE-08								
	June	\$265,915.65	\$132,957.83	\$13,295.78	\$119,662.04				\$119,662.04
	July	\$37,505.65	\$18,752.83	\$1,875.28	\$16,877.54				\$16,877.54
	August	\$51,749.21	\$25,874.61	\$2,587.46	\$23,287.14				\$23,287.14
Tota	Totals To Date	\$2,083,829.50	\$1,041,914.75	\$104,191.48	\$937,723.28			\$622,625.95	\$315,097.32

WORK PLAN 9/11/15 - 11/30/15

(AS OF 12/7/15)

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: 9/1/15 thru 11/30/15

PROJECT INFORMATION

Engineering and design matters

Finalize scope for final design activities and perform geotechnical investigation.

Environmental matters

Finalize the Administrative Final EIR and prepare Final EIR. Finalize scope for remaining permitting activities.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for September 2015 through November 2015.

Table 1. Anticipated Activities

Design Phase	e 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 Respond to Public Draft EIR comments Process adoption of Final EIR and proposed project
	Legal	Ongoing	 Support environmental and general project issues
	Design Team	Ongoing	 Conduct monthly project development team meetings on 9/8/15 and 10/15/15 Sub-consultant team coordination
Task 2: Engineering	g Design	Ongoing	Finalize scope for final designPerform geotechnical investigation
Task 3: Independer	nt Review	Ongoing	Review geotechnical investigation preliminary results
Task 4: Environment and Permitting	ntal Review	Ongoing	 Finalize the Administrative Final EIR Prepare Final EIR Finalize scope for permitting
Task 5: Real Estate Acquisition	e Planning &	Not Started	
Task 6: Public Outr	reach	Ongoing	No activities scheduled

Issues or concerns that affect the schedule or budget (as of 12/8/15)

Based on a revised scope of work for the final design and permitting tasks, the current budget will be increased by approximately \$2.0M. Table 3 presents the costs to date and the estimated cost to complete. The major reasons for this budget increase are presented below:

- Additional project management due to the extension of the EIR effort, additional design coordination with the USACE Safety Assurance Review, additional coordination with FEMA regarding interior drainage
- Additional design associated with the design of a miter gate versus the original manufactured gate (Obermeyer), additional hydrodynamic modeling of potential water quality improvements, additional design of Moreing Road culverts
- Additional permitting effort based on comments received from permitting agencies on the draft EIR plus the assumption that the NEPA EIS document development will be performed by the project team instead of USACE to maintain the project schedule

This budget increase is within the estimated budget for the project and can be covered by the contingency included in the cost estimate used to develop the financial plan for the overall project.

At this time, no changes in the schedule are anticipated.

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 that are anticipated for this work plan period as well as an overall summary for the anticipated costs to date at the end of the work plan period.

The projected costs show that we will have spent approximately 50% of our budget, which is consistent with the amount of work anticipated for completion thus far.

Changes to the budget

Per Table 3 and the discussion above it is anticipated that the project budget will be increased by approximately by \$2.0M.

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.

Smith Canal Closure Structure Overall Project Budget Work Plan Budget through November 2015 Work Plan Period = September 1, 2015 through November 30, 2015

Funding Agreement Tasks

,									
					Costs for Current	Costs for Previous	Budget Remaining Percent Complete	Budget Remaining Percent Complete	Percent Complete
Task	Description			Budget	Work Plan Period	Periods	Work Plan Period	Work Plan Period	Work Plan Period
		SJAFCA			\$ 30,000 \$	\$ 242,457	\$ 272,457		
1	Program Management (Design Phase) Legal	Legal	s	000'602	\$ 7,500	\$ 20,644	\$ 28,144	\$ 95,249	20%
		Design Team			\$ 35,000	\$ 278,149	\$ 313,149		
2	Engineering Design		\$	2,250,000	- \$	\$ 393,658	\$ 393,658	\$ 1,856,342	30%
Э	Independent Review		\$	300,000	\$ 10,000	\$ 38,038	\$ 48,038	\$ 251,962	7%
4	Environmental Review and Permitting		\$	1,375,000 \$	\$ 240,000 \$	\$ 1,048,193	\$ 1,288,193	\$ 86,807	%09
5	Real Estate Planning & Acquisition		\$	141,000	- \$	- \$	- \$	\$ 141,000	%0
9	Public Outreach		\$	20,000	- \$	\$ 62,690	\$ 62,690	\$ (12,690)	%06
		TOTALS	\$	4,825,000 \$	\$ 322,500	\$ 2,083,830	\$ 2,406,330	\$ 2,418,670	20%

Through August 31, 2015 Updated Design & Permitting Project Budget Through August 31, 2015

Funding Agreement Tasks

			Tota	Total Cost	Original			Total Design
Task	Description		to	to Date	Cost to Complete	Total Design Cost	EIP Budget	Increase
		SJAFCA	\$	242,457 \$	\$ 220,000	\$ 462,457		
Н	Program Management (Design Phase)	Legal	\$	20,644	\$ 35,000	\$ 55,644	\$ 709,000	\$ (472,234)
		Design Team	\$	278,149	\$ 384,984	\$ 663,133		
2	Engineering Design		\$	393,658	\$ 2,766,564	\$	3,160,223 \$ 2,250,000 \$ (910,223)	\$ (910,223)
ĸ	Independent Review		\$	38,038	\$ 261,962	300,000	\$ 300,000	- \$
4	Environmental Review and Permitting		\$	1,048,193	\$ 1,018,939	\$ 2,067,132	2,067,132 \$ 1,375,000	\$ (692,132)
2	Real Estate Planning & Acquisition		\$		\$ 94,337	\$ 94,337 \$	\$ 141,000	\$ 46,663
9	Public Outreach		\$	62,690	\$ 25,752	\$ 88,442	\$ 50,000	(38,442)
	Funding A	Funding Agreement Totals	\$	\$ 083,830 \$	\$ 4,807,538	\$ 6,891,368	6,891,368 \$ 4,825,000 \$ (2,066,368)	(3,066,368)
1	State Grant Application		\$	47,702 \$	\$ 9,938	\$ 57,640 \$	\$ 100,000	\$ 42,360

6,949,008 \$ 4,925,000 \$ (2,024,008)

4,817,476 \$

2,131,532 \$

Overall Project Design Totals \$

