SJAFCA

San Joaquin Area FLOOD CONTROL Agency

November 14, 2016

Eric Martinez, Project Manager
Division of Flood Management
Department of Water Resources
3464 El Camino Avenue, Suite 200
Sacramento, CA 95821

SMITH CANAL GATE PROJECT – FUNDING AGREEMENT NO. 4600009799 AM1
INVOICE NO. SCGATE-12 – FROM 4/1/16 TO 6/31/16 AND INVOICE NO. SCGATE-12

Enclosed for your review is SJAFCA's invoice and supporting documentation as well as a progress report for the above-noted period. As requested during our August 24, 2016 meeting, the supporting invoices show a breakdown of charges from previous months that were not timely billed by the consultants.

The expenses for this period total $551,941.75. Because the total expenses are cost-shared on a 50/50 basis, each party's cost-share is $275,970.88. After deducting the required 10% retention ($27,597.09), the State's cost-share for this monthly invoice totals $248,373.79.

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

I certify we have verified that the costs and the work performed are consistent with the costs and scope of work approved by the State.

If you have any questions or need more information, please contact Juan Neira at (209) 937-8113 or by email at juan.neira@stocktonca.gov.

Roger Churchwell

ROGER CHURCHWELL
DEPUTY EXECUTIVE DIRECTOR

RC:JJN:dc

Enclosures

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

SC GATE Prog Rpt 12

INVOICE

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

Agreement: 4600009799 AM 1
Invoice No.: SCGATE-12
Invoice Date: November 14, 2016

Description	Amount	Subtotal
Total Expenditures	$ 551,941.75	
Cost Share (50%)		$275,970.88
Retention Amount (10%)		($27,597.09)
Total Request		$ 248,373.79

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: $248,373.79

STATEMENT OF COSTS

Monthly/Quarterly Statement of Costs

Smith Canal Gate Project
April 1 -June 31, 2016

Task	Description	Budget	PROPOSED Quarterly costs	TOTAL ACTUAL Quarterly Costs			TOTAL ACTUAL Quarterly Costs
				April	May	June	
1	Program Management	$1,181,235.00	$140,000.00	$146,061.10	$88,667.50	$61,007.66	$295,736.26
2	Engineering Design	$3,160,223.00	$120,000.00	$35,305.16	$180,712.68	$28,702.65	$244,720.49
3	Independent Review	$300,000.00	$30,000.00	$7,220.00		$3,660.00	$10,880.00
4	Environmental Review and Permitting	$2,067,132.00	$60,000.00	$605.00			$605.00
5	Real Estate Planning & Acquisition	$94,337.00					$0.00
6	Public Outreach	$88,442.00					$0.00
	TOTALS	$6,891,369.00	$350,000.00	$189,191.26	$269,380.18	$93,370.31	$551,941.75

Task 1 -Breakdown

Task	Description	Work Performed By	Budget	PROPOSED Quarterly costs	ACTUAL April	ACTUAL May	ACTUAL June	TOTAL ACTUAL Quarterly Costs
1	Program Management	SJAFCA - Program Mgt	$709,000.00	$30,000.00	$6,418.29	$7,827.82	$8,650.59	$22,896.70
		SJAFCA - Legal -CEQA			$133,335.75	$74,598.90	$46,047.47	$253,982.12
		SJAFCA - Legal Counsel		$30,000.00	$1,008.00	$0.00	$0.00	$1,008.00
		PBI - Design Team		$80,000.00	$5,299.06	$6,240.78	$6,309.60	$17,849.44
		Task 1 TOTAL	$709,000.00	$140,000.00	$146,061.10	$88,667.50	$61,007.66	$295,736.26

Updated: 11/14/2016 10:40 AM

PROGRESS REPORT

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 AM 1
Progress Period: 4/1/16 thru 6/30/16

SUMMARY OF ACTIVITIES

Work on the Project's final design and permitting continued. The 30% design submittal was completed and submitted to the Independent Panel of Experts. SJAFCA's legal counsel continued to work through the Atherton Cove Property Owners Association and Dominick Gulli CEQA claims.

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	SJAFCA	Ongoing	• Oversaw and coordinated consultant work, and public outreach activities. • Worked on general project activities and requests from other agencies • Conference Call with FEMA 4/28/16 regarding additional CLOMR documentation submitted • Supported environmental legal issues
	Legal	Ongoing	• Supported environmental legal issues as well as general project issues
	Design Team	Ongoing	• Conducted project development team meeting on 6/7/16 • Sub-consultant team coordination • Conference Call with FEMA 4/28/16 regarding additional CLOMR documentation submitted • Supported environmental legal issues
Task 2: Engineering Design		Ongoing	• Completed topographic and bathymetric surveys • Completed 30% design submittal
Task 3: Independent Review		Ongoing	• Initiated review of 30% design submittal
Task 4: Environmental Review and Permitting		Ongoing	• Setup USACE 404 permit pre-application meeting • Initiated contact with Delta Stewardship Council
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	• None

Legal matters

On December 19, 2015 CEQA lawsuits were filed by the Atherton Cove Property Owners Association and Dominick Gulli.

Engineering and design matters

Completed topographic and bathymetric surveys. Completed 30% design submittal including plans and Basis of Design Report.

Environmental matters

Preliminary permit applications initiated for USACE 404 permit and Delta Stewardship Council.

Issues or concerns that affect the schedule or budget

Budget

The budget for Program Management ($1,181,235) has been exceeded by $43,946. This is due to legal support costs totaling $538,913 through June 2016.

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 previously submitted revised 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 54% of our revised design and permitting budget, which is more than expected for the amount of work completed thus far. This is due to the unforeseen costs for legal support.

Changes to the budget

There have been no changes to the revised project budget to date. The budget will be updated to address the legal support costs in the next quarterly report.

SCHEDULE INFORMATION

Figure 1 presents the current update project schedule.

ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for July through May 2016.

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 • Support environmental legal issues
	Legal	Ongoing	• Support environmental legal issues as well as general project issues
	Design Team	Ongoing	• Conduct monthly project development team meetings • Sub-consultant team coordination • Continue coordination with FEMA • Support environmental legal issues
Task 2: Engineering Design		Ongoing	• 30% Design Submittal Meeting with IPE/SAR • Initiate work on 65% Design Submittal
Task 3: Independent Review		Ongoing	• Review 30% Design Submittal
Task 4: Environmental Review and Permitting		Ongoing	• Assemble preliminary permit applications • USACE 404 permit pre-application meeting
Task 5: Real Estate Planning & Acquisition		Not Started	• Initiate project right-of-way requirements
Task 6: Public Outreach		Ongoing	• No activities scheduled

Table 2

Smith Canal Closure Structure
Overall Project Budget
Budget Status through March 2016
Progress Period = April 1, 2016 through June 30, 2016

Funding Agreement Tasks

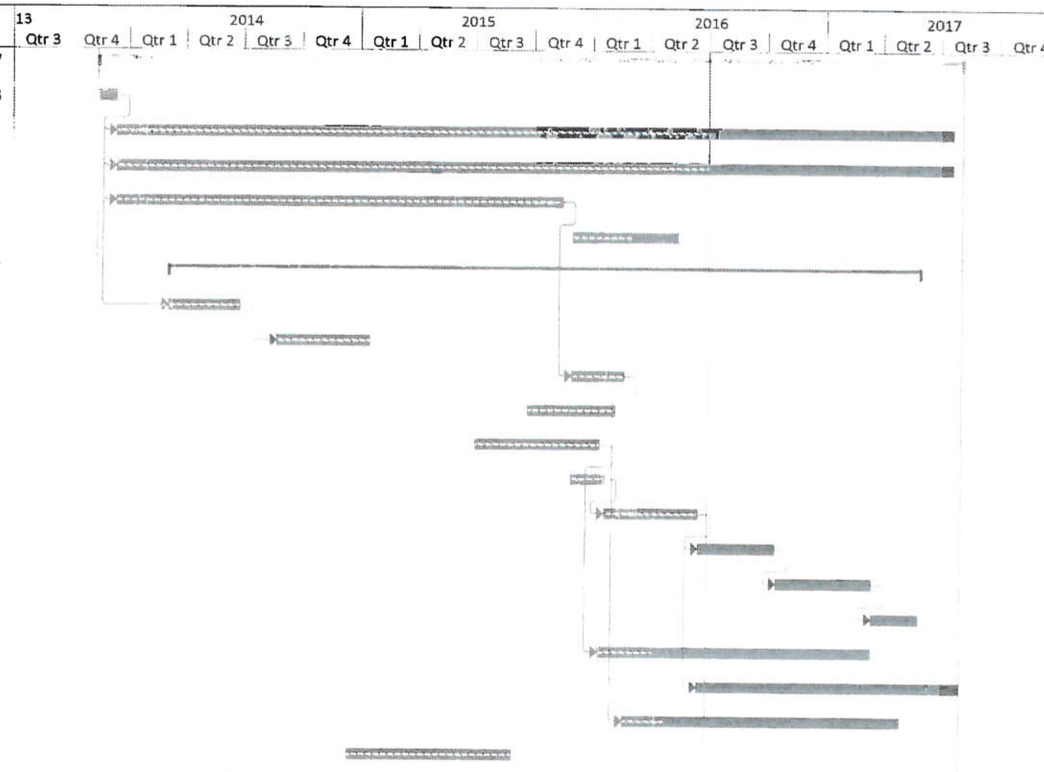
Task	Description	Updated Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management	$ 1,181,235	$ 295,736	$ 929,445	$ 1,225,181	$ (43,946)	60%
2	Engineering Design	$ 3,160,223	$ 244,720	$ 832,745	$ 1,077,465	$ 2,082,757	36%
3	Independent Review	$ 300,000	$ 10,880	$ 65,082	$ 75,962	$ 224,038	15%
4	Environmental Review and Permitting	$ 2,067,132	$ 605	$ 1,269,677	$ 1,270,282	$ 796,850	64%
5	Real Estate Planning & Acquisition	$ 94,337	$ -	$ -	$ -	$ 94,337	0%
6	Public Outreach	$ 88,442	$ -	$ 62,690	$ 62,690	$ 25,752	75%
	TOTALS	$ 6,891,368	$ 551,942	$ 3,159,639	$ 3,711,581	$ 3,179,787	54%

Breakdown of Funding Agreement Task 1

Task	Description	Work Performed By	Updated 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)	SJAFCA	$ 1,181,235	$ 22,897	$ 290,886	$ 313,783	$ (43,947)	60%
		Legal		$ 254,990	$ 283,923	$ 538,913		
		Design Team		$ 17,849	$ 354,636	$ 372,485		
	Program Management (Design Phase) TOTAL		$ 1,181,235	$ 295,736	$ 929,445	$ 1,225,181	$ (43,947)	60%

Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE
Progress Report Period (April through June 2016)

ID	Task Name	Start	Finish
0	**Overall Design & Permitting Schedule**	**Wed 11/13/13**	**Wed 8/2/17**
1	Notice to Proceed	Wed 11/13/13	Tue 12/10/13
2	Project Management Planning and Coordin	Wed 12/11/13	Tue 7/18/17
3	Public Outreach	Wed 12/11/13	Tue 7/18/17
4	Preparation of Environmental Documents	Wed 12/11/13	Fri 11/13/15
5	FEMA Coordination	Mon 11/30/15	Fri 5/13/16
6	Engineering Design	**Wed 3/5/14**	**Mon 5/29/17**
7	Hydrodynamic Modeling	Wed 3/5/14	Tue 6/24/14
8	Additional Hydrodynamic Modeling	Fri 8/22/14	Thu 1/15/15
9	Surveying and Mapping	Mon 11/30/15	Fri 2/19/16
10	Geotechnical Investigation	Mon 9/21/15	Fri 2/5/16
11	IPE Review, IPE/SAR Scope of Work	Wed 7/1/15	Tue 1/12/16
12	ULDC Criteria TM	Mon 11/30/15	Wed 1/20/16
13	30% Design/Basis of Design Report Updat	Thu 1/21/16	Wed 6/15/16
14	60% Design (including IPE)	Thu 6/16/16	Fri 10/14/16
15	90% Design (including IPE)	Mon 10/17/16	Wed 3/15/17
16	100% Design (including IPE)	Thu 3/16/17	Mon 5/29/17
17	Independent Review	Wed 1/13/16	Wed 3/15/17
18	Permit Acquisition	Thu 6/16/16	Wed 8/2/17
19	Right-of-Way Acquistion	Mon 2/22/16	Mon 5/1/17
20	State Grant Application	Tue 12/16/14	Mon 8/31/15



DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of February 29, 2016

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								
	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	12/9/2015	Wire transfer		
	January	$64,894.02	$32,447.01	$3,244.70	$29,202.31	12/9/2015	Wire transfer	$68,443.51	
	February	$20,550.05	$10,275.03	$1,027.50	$9,247.52	12/9/2015	Wire transfer		$0.00
						12/9/2015	Wire transfer. Release retention for SCGATE 01	$24,967.64	
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
	May	$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
2/3/2016	SCGATE0-09								
	September	$41,211.51	$20,605.76	$2,060.58	$18,545.18				$18,545.18
	October	$161,205.38	$80,602.69	$8,060.27	$72,542.42				$72,542.42
	November	$73,471.96	$36,735.98	$3,673.60	$33,062.38				$33,062.38
	SCGATE-10								
	December	$89,190.92	$44,595.46	$4,459.55	$40,135.91				$40,135.91
	January (2016)	$188,346.97	$94,173.49	$9,417.35	$84,756.14				$84,756.14
	February	$242,128.29	$121,064.15	$12,106.41	$108,957.73				$108,957.73
9/20/2016	SCGATE-11								
	March	$280,253.89	$140,126.95	$14,012.69	$126,114.25				$126,114.25
10/17/2016	SCGATE-12								
	April	$189,191.26	$94,595.63	$9,459.56	$85,136.07				$85,136.07
	May	$269,380.18	$134,690.09	$13,469.01	$121,221.08				$121,221.08
	June	$93,370.31	$46,685.16	$4,668.52	$42,016.64				$42,016.64
Totals To Date		**$3,711,580.17**	**$1,855,790.09**	**$185,579.01**	**$1,670,211.08**			**$716,037.10**	**$979,141.62**

<u>WORK PLAN</u>

July 1

through

Sept 30

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 AM 1
Work Plan Period: 7/1/16 thru 9/30/16

PROJECT INFORMATION

Engineering and design matters

Continue work on 65% Design Submittals.

Environmental matters

Assemble preliminary permit applications in anticipation of the completion of the 65% Design Submittal.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for July through September 2016.

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 • Support environmental legal issues
	Legal	Ongoing	• Support environmental legal issues as well as general project issues
	Design Team	Ongoing	• Conduct monthly project development team meetings • Sub-consultant team coordination • Continue coordination with FEMA • Support environmental legal issues
Task 2: Engineering Design		Ongoing	• 30% Design Submittal Meeting with IPE/SAR • Initiate work on 65% Design Submittal
Task 3: Independent Review		Ongoing	• Review 30% Design Submittal
Task 4: Environmental Review and Permitting		Ongoing	• Assemble preliminary permit applications • USACE 404 permit pre-application meeting
Task 5: Real Estate Planning & Acquisition		Not Started	• Initiate project right-of-way requirements
Task 6: Public Outreach		Ongoing	• No activities scheduled

Issues or concerns that affect the schedule or budget

There are no new issues or concerns anticipated 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 new legal issues anticipated 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 62% of our budget, which is more than expected for with the amount of work completed thus far. This is due to the unforeseen costs for legal support.

Changes to the budget

A change to the budget is anticipated during this Work Plan period to address the legal support costs.

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 Updated Project Schedule through the end of the Work Plan period. No changes are anticipated to the updated schedule during this Work Plan period.

Table 2

Smith Canal Closure Structure
Overall Project Budget
Work Plan Budget through August 2016
Work Plan Period = July 1, 2016 through September 30, 2016

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)	SJAFCA	$ 1,181,235	$ 30,000	$ 313,783	$ 343,783	$ (303,947)	62%
		Legal		$ 200,000	$ 538,913	$ 738,913		
		Design Team		$ 30,000	$ 372,485	$ 402,485		
2	Engineering Design		$ 3,160,223	$ 240,000	$ 1,077,465	$ 1,317,465	$ 1,842,757	40%
3	Independent Review		$ 300,000	$ 30,000	$ 75,962	$ 105,962	$ 194,038	20%
4	Environmental Review and Permitting		$ 2,067,132	$ 40,000	$ 1,270,282	$ 1,310,282	$ 756,850	67%
5	Real Estate Planning & Acquisition		$ 94,337	$ 10,000	$ -	$ 10,000	$ 84,337	5%
6	Public Outreach		$ 88,442	$ -	$ 62,690	$ 62,690	$ 25,752	75%
	TOTALS		$ 6,891,368	$ 580,000	$ 3,711,581	$ 4,291,581	$ 2,599,787	62%

Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE
Work Plan Period (July through September 2016)

ID	Task Name	Start	Finish
0	**Overall Design & Permitting Schedule**	**Wed 11/13/13**	**Wed 10/25/17**
1	Notice to Proceed	Wed 11/13/13	Tue 12/10/13
2	Project Management Planning and Coordination	Wed 12/11/13	Tue 10/10/17
3	Public Outreach	Wed 12/11/13	Tue 10/10/17
4	Preparation of Environmental Documents	Wed 12/11/13	Fri 11/13/15
5	FEMA Coordination	Mon 11/30/15	Fri 5/13/16
6	Engineering Design	**Wed 3/5/14**	**Mon 5/29/17**
7	Hydrodynamic Modeling	Wed 3/5/14	Tue 6/24/14
8	Additional Hydrodynamic Modeling	Fri 8/22/14	Thu 1/15/15
9	Surveying and Mapping	Mon 11/30/15	Fri 2/19/16
10	Geotechnical Investigation	Mon 9/21/15	Fri 2/5/16
11	IPE Review, IPE/SAR Scope of Work	Wed 7/1/15	Tue 1/12/16
12	ULDC Criteria TM	Mon 11/30/15	Wed 1/20/16
13	30% Design/Basis of Design Report Update	Thu 1/21/16	Wed 6/15/16
14	60% Design (including IPE)	Thu 6/16/16	Fri 10/14/16
15	90% Design (including IPE)	Mon 10/17/16	Wed 3/15/17
16	100% Design (including IPE)	Thu 3/16/17	Mon 5/29/17
17	Independent Review	Wed 1/13/16	Tue 3/14/17
18	Permit Acquisition	Thu 6/16/16	Wed 10/25/17
19	Right-of-Way Acquistion	Mon 2/22/16	Mon 5/1/17
20	State Grant Application	Tue 12/16/14	Mon 8/31/15