



December 1, 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
PROGRES REPORT FROM 7/1/16 TO 9/30/16 AND INVOICE NO. SCGATE-13**

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 PBI invoices show a breakdown of charges from previous months that were not timely billed to PBI from the sub-consultants. The following is a breakdown of expenses included in this invoice:

Month	Expenses (accrual-based)
May	\$5,713.47
June	\$123,929.35
July	\$114,951.22
August	\$128,443.56
September	\$174,568.49
TOTAL	\$547,606.09

As shown above the expenses for this period total \$547,606.09. Because the total expenses are cost-shared on a 50/50 basis, each party's cost-share is \$273,803.05. After deducting the required 10% retention (\$27,380.31), the State's cost-share for this quarterly invoice totals \$246,422.74.

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

In addition to the above-noted progress report and invoice, enclosed please find a work plan for the period covering October 1, 2016 through December 31, 2016.

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.

Eric Martinez, Project Manager

December 1, 2016

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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
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 13

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-13
Invoice Date: December 1, 2016

<u>Description</u>	<u>Amount</u>	<u>Subtotal</u>
Period: July 1, through September 30, 2016		

Expenditures:

May	\$5,713.47
June	\$123,929.35
July-September.....	\$417,963.27
TOTAL.....	\$ 547,606.09

Cost Share (50%)	\$273,803.05
Retention Amount (10%)	(\$27,380.31)
Total Request	\$ 246,422.74

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:	\$246,422.74
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DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of December 2, 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	\$249,576.44	\$24,957.64	\$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		\$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	\$68,443.51	
	January	\$64,894.02	\$32,447.01	\$3,244.70	\$29,202.31	12/9/2015	Wire transfer		
	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	SCGATE-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
									\$604,653.58
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
12/2/2016	SCGATE-13								
	July	\$95,680.47	\$47,840.24	\$4,784.02	\$43,056.21				\$43,056.21
	August	\$94,147.09	\$47,073.55	\$4,707.35	\$42,366.19				\$42,366.19
	September	\$957,778.53	\$178,889.27	\$17,888.93	\$161,000.34				\$161,000.34
Totals To Date		\$4,259,186.26	\$2,129,593.13	\$212,959.31	\$1,916,633.82			\$716,037.10	\$1,830,217.95

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: 7/1/16 thru 9/30/16

SUMMARY OF ACTIVITIES

Work on the Project's final design and permitting continued. The 65% design submittal was initiated. 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 • Supported environmental legal issues
	Legal	Ongoing	• Supported environmental legal issues as well as general project issues
	Design Team	Ongoing	• Conducted monthly project development team meetings (7/12, 8/9) • Sub-consultant team coordination • Supported environmental legal issues
Task 2: Engineering Design		Ongoing	• 30% Design Submittal Meeting with IPE/SAR (7/12) • Initiated work on 65% Design Submittal
Task 3: Independent Review		Ongoing	• Reviewed 30% Design Submittal
Task 4: Environmental Review and Permitting		Ongoing	• Assembled preliminary permit applications • USACE 404 permit pre-application meeting (7/7)
Task 5: Real Estate Planning & Acquisition		Ongoing	• Initiated project right-of-way requirements
Task 6: Public Outreach		Ongoing	• Initiated production of newsletter for Assessment District residents

Legal matters

There are no new legal issues anticipated at this time.

Engineering and design matters

Initiated work on the 65% design.

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 legal support costs was increased to \$785,000 for the November 2016 EIP grant extension. Legal support costs total \$651,341 through September 2016.

Schedule

The project schedule was updated for the EIP grant application.

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 55% 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 project budget revised for the EIP grant extension.

SCHEDULE INFORMATION

Figure 1 presents the current update project schedule.

ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for October through December 2016.

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 • 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 • Support environmental legal issues
Task 2: Engineering Design		Ongoing	• Continue work on 65% Design Submittal • Update BODR per IPE comments
Task 3: Independent Review		Ongoing	• Review updated BODR
Task 4: Environmental Review and Permitting		Ongoing	• Assemble preliminary permit applications • Submit preliminary USACE 404 permit application
Task 5: Real Estate Planning & Acquisition		Ongoing	• Continue project right-of-way requirements
Task 6: Public Outreach		Ongoing	• Prepare and distribute newsletter for Assessment District residents

Table 2

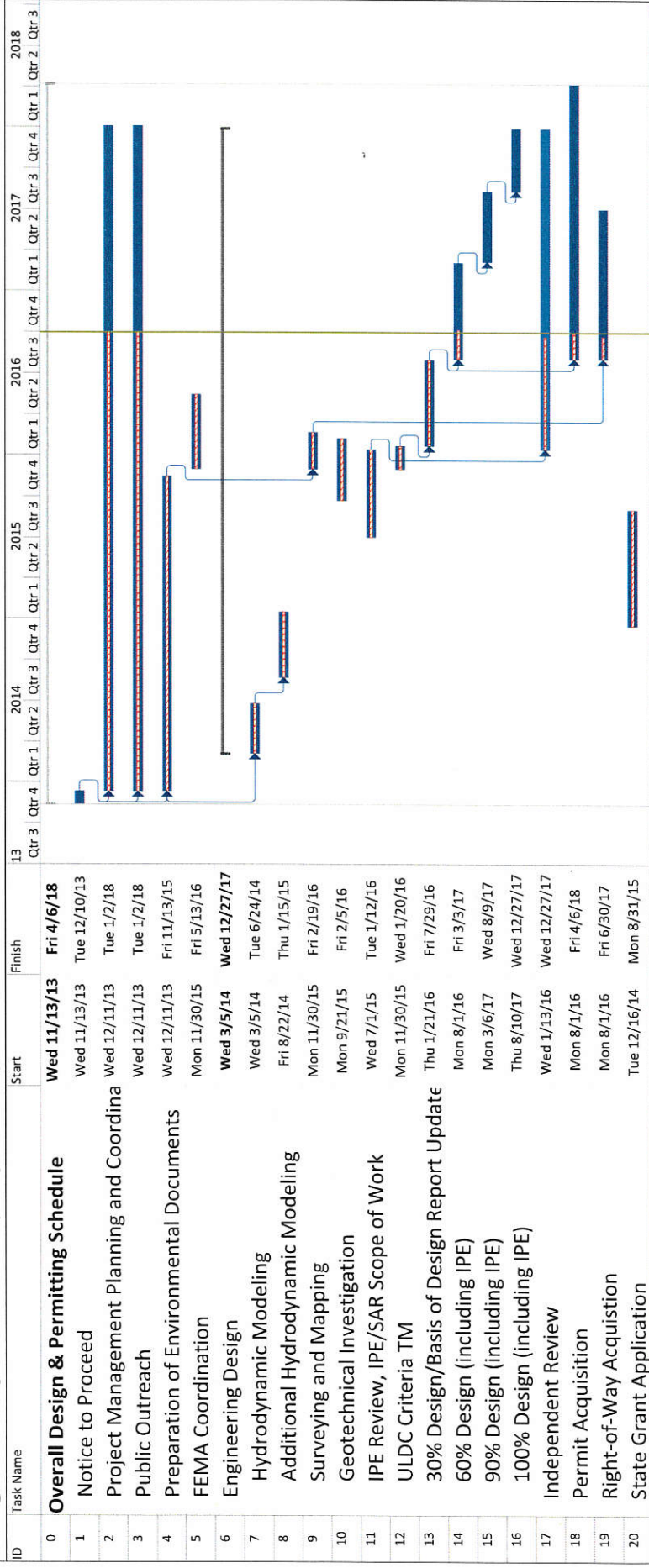
Smith Canal Closure Structure
Overall Project Budget
Budget Status through September 2016
Progress Period = July 1, 2016 through September 30, 2016

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	\$ 1,966,235	\$ 160,271	\$ 1,225,181	\$ 1,385,452	\$ 580,783	62%
2	Engineering Design	\$ 3,160,223	\$ 343,970	\$ 1,077,465	\$ 1,421,436	\$ 1,738,787	40%
3	Independent Review	\$ 300,000	\$ 13,101	\$ 75,962	\$ 89,063	\$ 210,937	25%
4	Environmental Review and Permitting	\$ 2,067,132	\$ 693	\$ 1,270,282	\$ 1,270,975	\$ 796,157	64%
5	Real Estate Planning & Acquisition	\$ 94,336	\$ 25,989	\$ -	\$ 25,989	\$ 68,347	30%
6	Public Outreach	\$ 88,442	\$ 3,582	\$ 62,690	\$ 66,272	\$ 22,170	75%
TOTALS		\$ 7,676,368	\$ 547,606	\$ 3,711,581	\$ 4,259,187	\$ 3,417,181	55%

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)	SJA/CA	\$ 1,966,235	\$ 27,500	\$ 313,783	\$ 341,283	\$ 580,782	62%
		Legal		\$ 112,428	\$ 538,913	\$ 651,341		
		Design Team		\$ 20,344	\$ 372,485	\$ 392,829		
Program Management (Design Phase) TOTAL			\$ 1,966,235	\$ 160,271	\$ 1,225,181	\$ 1,385,453	\$ 580,782	62%

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



WORK PLAN

October 1

through

December 31

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

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

Contract Agreement No.: 4600009799 AM 1

Work Plan Period: 10/1/16 thru 12/31/16

PROJECT INFORMATION

Engineering and design matters

Continue work on 65% Design Submittals. Update Basis of Design Report (BODR) in response to Independent Panel of Experts (IPE) comments.

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 October through December 2016.

Table 1. 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 - 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 - Support environmental legal issues
Task 2: Engineering Design		Ongoing	- Continue work on 65% Design Submittal - Update BODR per IPE comments
Task 3: Independent Review		Ongoing	Review updated BODR
Task 4: Environmental Review and Permitting		Ongoing	- Assemble preliminary permit applications - Submit preliminary USACE 404 permit application
Task 5: Real Estate Planning & Acquisition		Ongoing	Continue project right-of-way requirements
Task 6: Public Outreach		Ongoing	Prepare and distribute newsletter for Assessment District residents

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 61% of our 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

No change to the budget is anticipated during this Work Plan period.

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 December 2016
Work Plan Period = October 1, 2016 through December 31, 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)						
		\$	\$	\$	\$	\$	
		\$	\$	\$	\$	\$	
		\$	\$	\$	\$	\$	
2	Engineering Design	\$	\$	\$	\$	\$	
3	Independent Review	\$	\$	\$	\$	\$	
4	Environmental Review and Permitting	\$	\$	\$	\$	\$	
5	Real Estate Planning & Acquisition	\$	\$	\$	\$	\$	
6	Public Outreach	\$	\$	\$	\$	\$	
	TOTALS	\$	\$	\$	\$	\$	

**Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE
Work Plan Period (October through December 2016)**

