



June 8, 2017

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 10/1/16 TO 12/31/16 AND INVOICE NO. SCGATE-14**

Enclosed for your review is SJAFCA's invoice and supporting documentation as well as a progress report for the above-noted period.

Month	Expenses (accrual-based)	State's cost-share
October	\$161,368.83	\$253,050.32
November	\$215,043.83	
December	\$185,921.39	
TOTAL	\$562,334.05	

As shown above the expenses for this period total \$562,334.05. Because the total expenses are cost-shared on a 50/50 basis, each party's cost-share is \$281,167.02. After deducting the required 10% retention (\$28,116.7), the State's cost-share for this quarterly invoice totals \$253,050.32.

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 January 1, 2017 through March 31, 2017.

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
May 31, 2017
Page 2 of 2

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 14

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-14
Invoice Date: June 8, 2017

<u>Description</u>	<u>Amount</u>	<u>Subtotal</u>
Period: October 1, through December 31, 2016		
Expenditures:		
October - December	\$562,334.05	
TOTAL.....	\$562,334.05	
Cost Share (50%)		\$281,167.02
Retention Amount (10%)		(\$28,116.70)
Total Request		\$253,050.32

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: \$253,050.32
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STATEMENT OF COSTS

Monthly/Quarterly Statement of Costs

Smith Canal Gate Project October 1 - December 31, 2016									
Task	Description	Budget	PROPOSED Quarterly costs	TOTAL ACTUAL Quarterly Costs			TOTAL ACTUAL Quarterly Costs		
				October	November	December			
1	Program Management	\$ 1,966,235	\$260,000.00	\$32,954.72	\$79,226.46	\$55,286.63		\$167,467.81	
2	Engineering Design	\$ 3,160,223	\$240,000.00	\$109,321.39	\$119,438.60	\$141,637.82		\$370,397.81	
3	Independent Review	\$ 300,000	\$30,000.00	\$1,100.00		\$4,065.00		\$5,165.00	
4	Environmental Review and Permitting	\$ 2,067,132	\$40,000.00					\$0.00	
5	Real Estate Planning & Acquisition	\$ 94,336	\$10,000.00	\$3,121.25	\$2,402.12	\$409.75		\$5,933.12	
6	Public Outreach	\$ 88,442		\$4,661.22	\$8,709.09			\$13,370.31	
TOTALS		\$7,676,367.99	\$580,000.00	\$151,158.58	\$209,776.27	\$201,399.20		\$562,334.05	

Task 1 -Breakdown

Task	Description	Work Performed By	Budget	PROPOSED Quarterly costs	ACTUAL October	ACTUAL November	ACTUAL December	TOTAL ACTUAL Quarterly Costs
1	Program Management	SJAFC - Program Mgt	\$1,966,235.00	\$30,000.00	\$9,175.16	\$9,968.33	\$10,154.73	\$29,298.22
		SJAFC - Legal Counsel		\$20,000.00	\$6,253.00	\$1,927.00	\$2,765.00	\$10,945.00
		SJAFC - Legal CEQA		\$180,000.00	\$9,406.40	\$59,608.68	\$30,788.20	\$99,803.28
		PBI - Design Team		\$30,000.00	\$8,120.16	\$7,722.45	\$11,578.70	\$27,421.31
Task 1 TOTAL			\$1,966,235.00	\$260,000.00	\$32,954.72	\$79,226.46	\$55,286.63	\$167,467.81

DISBURSEMENT REQUEST SUMMARY

SMITH CANAL CLOSURE STRUCTURE DESIGN

DISBURSEMENT REQUEST SUMMARY

As of April 28, 2017

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	\$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	1/26/2017	Wire transfer	\$86,827.08	
	April	\$76,071.83	\$38,035.92	\$3,803.59	\$34,232.32	1/26/2017	Wire transfer		
	May	\$33,990.81	\$16,995.41	\$1,699.54	\$15,295.86	1/26/2017	Wire transfer		\$0.00
12/1/2015	SCGATE-08								
	June	\$265,915.65	\$132,957.83	\$13,295.78	\$119,662.04	2/6/2017	Wire transfer	\$283,976.72	
	July	\$37,505.65	\$18,752.83	\$1,875.28	\$16,877.54	2/6/2017	Wire transfer		
	August	\$51,749.21	\$25,874.61	\$2,587.46	\$23,287.14	2/6/2017	Wire transfer		
2/3/2016	SCGATE-09								
	September	\$41,211.51	\$20,605.76	\$2,060.58	\$18,545.18	2/6/2017	Wire transfer	\$283,976.72	
	October	\$161,205.38	\$80,602.69	\$8,060.27	\$72,542.42	2/6/2017	Wire transfer		
	November	\$73,471.96	\$36,735.98	\$3,673.60	\$33,062.38	2/6/2017	Wire transfer		\$0.00
	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
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	\$357,778.53	\$178,889.27	\$17,888.93	\$161,000.34				\$161,000.34
2/9/2017	SCGATE-14								
	October	\$161,368.83	\$80,684.42	\$8,068.44	\$72,615.97				\$72,615.97
	November	\$215,043.83	\$107,521.92	\$10,752.19	\$96,769.72				\$96,769.72
	December	\$185,921.39	\$92,960.70	\$9,296.07	\$83,664.63				\$83,664.63
Totals To Date		\$4,821,520.31	\$2,410,760.16	\$241,076.02	\$2,169,684.14			\$1,086,840.90	\$1,107,810.88

QUARTERLY 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: 10/1/16 thru 12/31/16

SUMMARY OF ACTIVITIES

Work on the Project's final design and permitting continued.

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 (10/18, 11/15 and 12/13) • Sub-consultant team coordination • Supported environmental legal issues
Task 2: Engineering Design		Ongoing	• Continued work on 65% Design Submittal • Updated BODR per IPE comments
Task 3: Independent Review		Ongoing	• Reviewed updated BODR • IPE review meeting (12/13)
Task 4: Environmental Review and Permitting		Ongoing	• Assembled preliminary permit applications • Submitted preliminary USACE 404 permit application
Task 5: Real Estate Planning & Acquisition		Ongoing	• Continued project right-of-way requirements
Task 6: Public Outreach		Ongoing	• Prepared and distribute newsletter for Assessment District residents

Legal matters

SJAFCA's legal counsel continued to work through the Atherton Cove Property Owners Association and Dominick Gulli CEQA claims.

Engineering and design matters

Continued work on the 65% design. Geotechnical analysis of project structures showed layers of liquefiable soil foundation. Structure alignment moved eastward for better seismic performance. Additional seismic calculations are underway

Environmental matters

Preliminary permit applications completed for USACE 404 permit and Delta Stewardship Council. Draft USACE 404 permit application submitted.

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 \$762,089 through December 2016.

Schedule

The project schedule was updated for the UFRR grant application to include the delay of the 65% design submittal due to the added geotechnical analysis.

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 63% 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 updated project schedule.

ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for January through March 2017.

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 • Support environmental legal issues
Task 2: Engineering Design		Ongoing	• Complete work on 65% Design Submittal
Task 3: Independent Review		Ongoing	• Review 65% Design Submittal
Task 4: Environmental Review and Permitting		Ongoing	• Assemble final permit applications • Meet with USACE to discuss preliminary USACE 404 permit application
Task 5: Real Estate Planning & Acquisition		Ongoing	• Continue project right-of-way requirements
Task 6: Public Outreach		Ongoing	

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

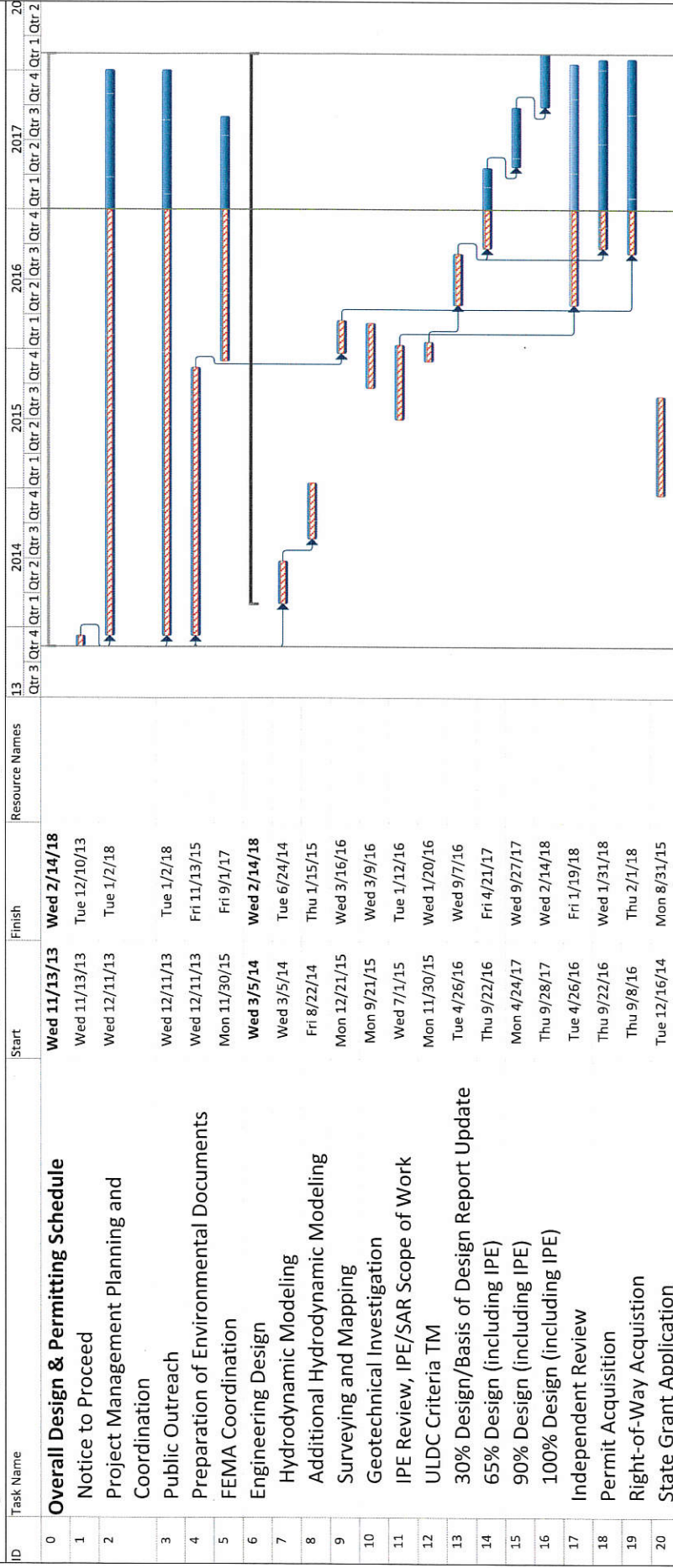


Table 2

Smith Canal Closure Structure
Overall Project Budget

Progress Period = Oct 1, 2016 through December 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	\$ 167,468	\$ 1,385,452	\$ 1,552,920	\$ 413,315	70%		
2	Engineering Design	\$ 3,160,223	\$ 370,398	\$ 1,421,436	\$ 1,791,834	\$ 1,368,389	45%		
3	Independent Review	\$ 300,000	\$ 5,165	\$ 89,063	\$ 94,228	\$ 205,772	30%		
4	Environmental Review and Permitting	\$ 2,067,132	\$ -	\$ 1,270,975	\$ 1,270,975	\$ 796,157	65%		
5	Real Estate Planning & Acquisition	\$ 94,336	\$ 5,933	\$ 25,989	\$ 31,922	\$ 62,414	30%		
6	Public Outreach	\$ 88,442	\$ 13,370	\$ 66,272	\$ 79,642	\$ 8,800	75%		
TOTALS		\$ 7,676,368	\$ 562,334	\$ 4,259,187	\$ 4,821,521	\$ 2,854,847	63%		

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	\$ 29,298	\$ 341,283	\$ 370,581	\$ 413,314	70%
		Legal		\$ 110,748	\$ 651,341	\$ 762,089		
		Design Team		\$ 27,421	\$ 392,829	\$ 420,250		
	Program Management (Design Phase) TOTAL			\$ 1,966,235	\$ 167,468	\$ 1,385,453	\$ 1,552,921	\$ 413,314

QUARTERLY WORK PLAN

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: 1/1/17 thru 3/31/17

PROJECT INFORMATION

Engineering and design matters

Complete work on 65% Design Submittals.

Environmental matters

Assemble final permit applications following of the completion of the 65% Design Submittal.

Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for January through March 2017.

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 - Support environmental legal issues
Task 2: Engineering Design		Ongoing	Complete work on 65% Design Submittal
Task 3: Independent Review		Ongoing	Review 65% Design Submittal
Task 4: Environmental Review and Permitting		Ongoing	- Assemble final permit applications - Meet with USACE to discuss preliminary USACE 404 permit application
Task 5: Real Estate Planning & Acquisition		Ongoing	Continue project right-of-way requirements
Task 6: Public Outreach		Ongoing	

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 70% 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

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.

**Figure 1. SMITH CANAL OVERALL DESIGN & PERMITTING SCHEDULE
Work Plan Period (January through March 2017)**

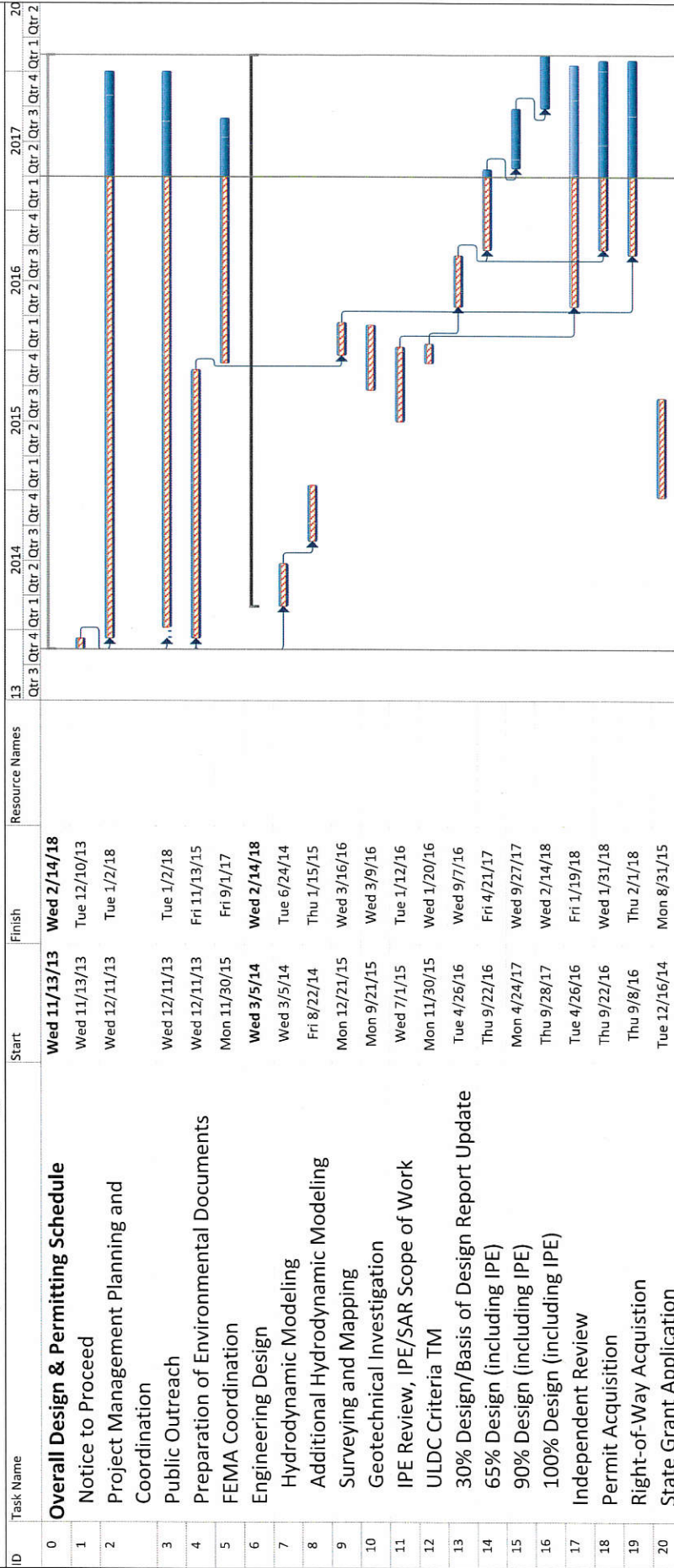


Table 2

Smith Canal Closure Structure
Overall Project Budget
Work Plan Budget through March 2017
Work Plan Period = January 1, 2017 through March 31, 2017

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)	SJA/CA	\$ 30,000	\$ 370,581	\$ 400,581		
		Legal	\$ 60,000	\$ 762,089	\$ 822,089	\$ 293,315	77%
		Design Team	\$ 30,000	\$ 420,250	\$ 450,250		
2	Engineering Design	\$ 3,160,223	\$ 360,000	\$ 1,791,834	\$ 2,151,834	\$ 1,008,389	56%
3	Independent Review	\$ 300,000	\$ 30,000	\$ 94,228	\$ 124,228	\$ 175,772	40%
4	Environmental Review and Permitting	\$ 2,067,132	\$ 40,000	\$ 1,270,945	\$ 1,310,945	\$ 756,187	67%
5	Real Estate Planning & Acquisition	\$ 94,336	\$ 10,000	\$ 31,922	\$ 41,922	\$ 52,414	41%
6	Public Outreach	\$ 88,442	\$ 7,500	\$ 79,642	\$ 87,142	\$ 1,300	83%
TOTALS		\$ 7,676,368	\$ 567,500	\$ 4,821,491	\$ 5,388,991	\$ 2,287,377	70%