

Three Rivers Levee Improvement Authority (TRLIA)

200-year Goldfields Levee Project

Urban Flood Risk Reduction (UFRR) Funding Agreement #4600012115

Dated: October 4, 2017

Quarter 6 Report

January – March 2019

Submitted by:

Paul G. Brunner, P.E.

Executive Director



May 1, 2019

This Page Intentionally Left Blank

Table of Contents

1.	Background.....	1
2.	Summary.....	1
3.	Project Scope of Work.....	2
3.1.	Element 1: Grant Application.....	2
3.2.	Element 2: Program Management	2
3.3.	Element 3: Design and Right-of-Way Support.....	3
3.4.	Element 4: Environmental Review and Permitting.....	4
3.5.	Element 5: Right-of-Way Acquisition (Post Addition to SPFC)	5
3.6.	Element 6: Construction, Mitigation, and other Project activities (Post Addition to SPFC) 5	
3.7.	Element 7: Closeout Process (Post Addition to SPFC).....	5
4.	Project Schedule	5
5.	Project Budget	7
6.	Deviations in Scope, Schedule, and Budget.....	7
7.	Special Topics.....	8
7.1.	Federal Authorization of the Project.....	8
7.2.	Additional Funding Request	8
8.	Legal Issues	9
9.	Actual and Projected Costs	9
10.	Payment Requested and State Disbursements.....	11
11.	Tracking Tables and Deliverables Table.....	14
11.1.	Earned Value Report by Element	14
11.2.	Earned Value	14
11.3.	200-Year Deliverables	14

Tables, Figures, and Charts

Table 2-1. TRLIA- 200-Year Goldfields Levee Project: Quarterly Payment Summary	2
Table 5-1. TRLIA - 200-Year Goldfields Levee Project: Updated Overall Work Plan Budget Summary.....	7

Table 9-1. TRLIA - 200-Year Goldfields Levee Project Prior Quarter Actual Cost Comparison and True-Up	10
Table 9-2. TRLIA - 200-Year Goldfields Levee Project Remaining Authorized Local Credit	10
Table 10-1. TRLIA - 200-Year Goldfields Levee Project: 8th Quarter Projected Cost	12
Table 10-2. TRLIA - 200-Year Goldfields Levee Project: True-Up Funding	12
Table 10-4. TRLIA - 200-Year Goldfields Levee Project: Payment Requests and State Disbursements	13
Table 10-3. TRLIA - 200-Year Goldfields Levee Project: Summary of Payment Request and Comparison to State Share Budget	13
Table 11-1. Earned Value Report by Element	15
Table 11-2. 200-Year Deliverables	17

This Page Intentionally Left Blank

1. Background

As part of its 200-Year Goldfields Levee Project (Project), the Three Rivers Levee Improvement Authority (TRLIA) is constructing a new levee, approximately 2.6 miles long, to replace the deteriorating conditions of the high ground at the termination of the State Plan of Flood Control (SPFC) facility at the Yuba Goldfields. The Project is being funded by the State of California Urban Flood Risk Reduction (UFRR) Program via Funding Agreement #4600012115, which became effective on October 4, 2017. The cost of the Project, as reflected in the UFRR Funding Agreement, is \$41,265,000, with the State's cost share being \$32,600,000. Further reflected in Sections 5, 6 and 7 below and noted within TRLIA's April 5, 2019 letter to DWR, the total Project Costs have increased to \$53,958,430, with the State's cost share increasing to \$45,864,665 creating an additional need of \$13,264,665 in State Funding. Section 7 highlights this issue.

2. Summary

Significant activities and milestones occurring in Quarter 6 (January – March 2019), include:

- Certification of the EIR and adoption of Modified Alternative 4 as the preferred project.
- Submittal of 65% design package to DWR, CVFPB, and SAR Panel
- Development of the UFRR Real Estate Plan
- Development of borrow strategy
- Coordination with DWR and USACE in response to WRDA18 authorization

As summarized in Table 2-1 and further detailed in Sections 9 & 10, TRLIA is requesting an advance payment for the 8th Quarter's projected work in the amount of: \$5,313,627. TRLIA's Quarter 5 report previously requested a 6-month advance covering the period through July 2019 (Quarters 6 & 7). In keeping consistent with the 6-month advance concept, this Quarter's advance request reflects an addition 3-months covering the period July to September 2019 (Quarter 8). Also, TRLIA's Quarter 5 report requesting funding for the 6-month period through June 2019 was net of all unexpended funds to date. TRLIA's request for this quarter is consistent with this approach and is also net of all unexpended funds through the 5th quarter. This report demonstrates that, when taking into consideration advance funds previously provided as well as documented expenses through the 5th Quarter (October to December 2018), additional advance funding is warranted.

In addition to the advance, reimbursement for Local Share funds based on available Local Credit is requested in the amount of \$81,213.

Table 2-1. TRLIA- 200-Year Goldfields Levee Project: Quarterly Payment Summary

Description	Amount
90% of State Share for Elements 1-4, 6&7 [1]	\$5,313,627
Local Credit True-Up [2]	\$81,213
Total Quarterly Advance Request	\$5,394,840

[1] Represents Quarter 8 net of True-Up for previously advanced funds through the 5th Quarter. Excludes ROW Capital Costs (Element 5).

[2] Represents Quarter 5 Local Credit True-Up

3. Project Scope of Work

This report covers the following quarters:

- Previous Quarter October – December 2018 (Quarter 5)
- Current Quarter January – March 2019 (Quarter 6)
- Next Quarter April – June 2019 (Quarter 7)*

The following is a discussion of the work completed in the Previous Quarter, work occurring in the Current Quarter, and work planned for the Next Quarter.

*Note –This report also addresses future work in Quarter 8 based upon the 6-month advance funding concept.

3.1. Element 1: Grant Application

Complete. UFRR Funding Agreement #4600012115 was executed in October 2017.

3.2. Element 2: Program Management

Previous Quarter. TRLIA continues to support program implementation, which includes advancing design; acquiring permits; right of acquisition; performing public outreach; adding the Project to the SPFC; working towards execution of an Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R) agreement; financial reporting; and grant and funding agreement administration, throughout the duration of the Project.

Current Quarter. Same as previous quarter.

Next Quarter. Same as previous quarter. A draft OMRR&R agreement, following the template provided in the funding agreement, has been developed and will go to the TRLIA Board for approval in the next quarter.

3.3. Element 3: Design and Right-of-Way Support

Previous Quarter.

Design: Design activities occurring during the previous quarter included completion of several technical reports in support of the 65% design package and coordination with utility owners.

Right-of-Way Support: ROW activities occurring during the previous quarter included continued outreach with property owners to keep them informed of the progress of the project.

Current Quarter.

Design: Design activities planned for the current quarter include completing and submitting the 65% design package (February); consideration of agency and SAR comments, continued coordination with utility owners; and development of borrow strategy.

Right-of-Way Support: ROW activities for the current quarter include continued development of the UFRR Real Estate Plan, outreach to property owners, and performing Phase 1 ESAs.

Next Quarter.

Design: Design activities planned for the next quarter include; responding to comments on the 65% design package, development of the 90% design package, secure borrow, and increased coordination with utility owners and other stakeholders to refine design features (e.g., ramps, canals, utilities, etc).

Right-of-Way Support: Significant ROW support activities during the next quarter are anticipated. These include completion and submittal of the RE Plan, updates to appraisals, completion of Phase 1 ESAs, continued outreach to property owners to negotiate acquisitions and relocation plans. TRLIA is requesting expeditious review and approval of the RE Plan in May so that TRLIA can make offers, especially to those being relocated. In addition, expeditious review of appraisals,

ESA's and Cadastral Surveys will also be needed in order to process projected ROW Capital Payments. Separate payment requests for ROW deposits will be made in Quarter 7 with the expectation of deposits in Quarter 8 (See Element 5 below).

3.4. Element 4: Environmental Review and Permitting

Previous Quarter.

Environmental Review: Significant activities related to development of the SEIR occurred in the previous quarter. The Final SEIR was issued for 10-day agency review in late December (and carried through to the current quarter, see below). TRLIA and staff met with Teichert, Western Aggregates, Wilbur Farms, and Smith Ranches to hear concerns and objections. Wilbur Farms and Smith Ranches also participated in several TRLIA Board meetings requesting consideration of alternative alignments that would avoid their property. TRLIA considered these comments as part of the Final SEIR.

Permitting: Very limited activities related to permitting occurred during the previous quarter. WRDA18 authorized the project thus eliminating the need for Section 408 permission. TRLIA met with the USACE and DWR to discuss how to move forward with the project. Based on these discussions, NEPA is not required, except as needed for Section 404, which is still required. See Section 7, Special Topics for more on WRDA18 authorization activities.

Current Quarter.

Environmental Review: Activities during the current quarter are limited. The Final SEIR was issued for 10-day agency review at the end of the previous quarter and was completed in early January. TRLIA's Board certified the Final SEIR and adopted Modified Alignment 4 as the preferred project at its January 15 meeting.

Permitting: Activities occurring during the current quarter continue to be very limited. A revised wetland delineation report and request for a preliminary jurisdictional determination was submitted to the USACE.

Next Quarter.

Environmental Review: Limited to no activity is anticipated in the next quarter.

Permitting: Activity related to permitting is anticipated during the next quarter. Development of permit applications will begin using the 65% design and reflect ongoing design refinements to the extent possible

3.5. Element 5: Right-of-Way Acquisition (Post Addition to SPFC)

Previous Quarter. No Activity.

Current Quarter. No Activity. Certification of the Final SEIR allows TRLIA to make acquisitions. See Element 3 for a discussion of ROW support activities.

Next Quarter. Acquisition of properties are planned to occur during the next quarter, pending negotiations with property owners. Critical to making acquisitions, and facilitating relocation of several residents, is DWR's expeditious review and approval of the RE Plan (see Element 3). Additionally, TRLIA will be requesting advance funding for ROW Acquisition that is expected to take place in Quarter 8. The projections shown in the tables in Section 10 reflect these projected ROW Acquisition expenditures. Separate payment requests will be made by TRLIA for these acquisitions.

3.6. Element 6: Construction, Mitigation, and other Project activities (Post Addition to SPFC)

Previous Quarter. No Activity.

Current Quarter. No Activity.

Next Quarter. No construction activity is planned in Quarter 7 or 8. However, TRLIA does expect to provide the required advance payment PG&E and WAPA for relocation of transmission and distribution facilities in Quarter 8, thus allowing for this work to occur shortly thereafter. The Tables in Section 10 reflect this work commencing in Quarter 8 and advance funding is requested with this report.

3.7. Element 7: Closeout Process (Post Addition to SPFC)

Previous Quarter. No Activity

Current Quarter. No Activity

Next Quarter. No activity.

4. Project Schedule

TRLIA anticipates delivering the Project within the original timeframe (2021), and prior to the expiration of the UFRR Funding Agreement (2022).

Figure 4-1. Schedule of 200-Year Goldfields Project

GOLDFIELDS 200-YEAR PROJECT

ID	Task Name	Duration	Start	Finish	2018		2019				2020				2021				2022	
					Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1	Element 1: Grant Application	26 days	Fri 5/15/15	Fri 6/19/15																
2	Feature 1: Grant Application Efforts	26 days	Fri 5/15/15	Fri 6/19/15																
3	Element 2: Program Management	1838 days	Fri 5/15/15	Tue 5/31/22																
4	Feature 1: Government Salaries, Benefits and General Expenses	1838 days	Fri 5/15/15	Tue 5/31/22																
5	Feature 2: Program Consultant Expenses	1838 days	Fri 5/15/15	Tue 5/31/22																
6	Feature 3: Legal Support	1838 days	Fri 5/15/15	Tue 5/31/22																
7	Element 3: Design and Right of Way Support	1271 days	Mon 9/19/16	Mon 8/2/21																
8	Feature 1: Design	901 days	Mon 9/19/16	Mon 3/2/20																
9	Feature 2: Right of Way Support	1154 days	Wed 3/1/17	Mon 8/2/21																
10	Element 4: Environmental Review and Permitting	770 days	Wed 1/18/17	Tue 12/31/19																
11	Feature 1: CEQA and NEPA Process	565 days	Mon 5/1/17	Fri 6/28/19																
12	Feature 2: Permitting and Addition to the SPFC	770 days	Wed 1/18/17	Tue 12/31/19																
13	Element 5: Right of Way Acquisition (Post Addition to SPFC)	260 days	Tue 8/6/19	Mon 8/3/20																
14	Feature 1: Right of Way Capital Cost	260 days	Tue 8/6/19	Mon 8/3/20																
15	Element 6: Construction, Mitigation, and Other Project Activities (Post Addition to SPFC)	587 days	Mon 6/3/19	Tue 8/31/21																
16	Utility Relocations and Modifications	217 days	Mon 6/3/19	Tue 3/31/20																
17	Feature 1: Construction	189 days	Wed 4/1/20	Mon 12/21/20																
18	Feature 2: Construction Management	234 days	Wed 4/1/20	Mon 2/22/21																
19	Feature 3: Environmental Mitigation	107 days	Tue 11/5/19	Wed 4/1/20																
20	Feature 4: O&M Manual Addendum	329 days	Wed 3/4/20	Mon 6/7/21																
21	Feature 5: Certification	151 days	Tue 2/2/21	Tue 8/31/21																
22	Element 7: Closeout Process (Post Addition to SPFC)	346 days	Mon 2/1/21	Tue 5/31/22																
23	Feature 1: Closeout Work	16.13 emons	Mon 2/1/21	Tue 5/31/22																

5. Project Budget

The current Overall Work Plan Budget reflected in the funding agreement is summarized in Table 5-1. Table 5-1 below also the Updated Overall Work Plan Budget presented by TRLIA in its April 5, 2019 letter to DWR. As noted in that letter and further in Section 7 below, TRLIA will be requesting additional State funding in order to cover the additional costs of the Project.

Table 5-1. TRLIA - 200-Year Goldfields Levee Project: Updated Overall Work Plan Budget Summary

Element	Description	Funding Agreement Budget	Current Budget	State Share \$ [1]
1	Grant Application	\$25,100	\$25,100	\$21,335
2	Program Management	\$2,250,000	\$2,250,000	\$1,912,500
3	Design & ROW Support	\$5,892,300	\$5,650,000	\$4,802,500
4	Environmental Review & Permitting	\$1,015,700	\$1,300,000	\$1,105,000
5	ROW Acquisition (Post Add to SPFC)	\$8,327,100	\$7,174,515	\$6,098,338
6	Construction, Mitigation, & Other Project Activities (Post	\$23,659,900	\$37,463,115	\$31,843,647
7	Closeout Process (Post Add to SPFC)	\$95,700	\$95,700	\$81,345
Total		\$41,265,800	\$53,958,430	\$45,864,665

[1] State cost share is 85%. The State shown in this Table is reflective of TRLIA pending request for additional State Funding.

On September 21, 2018 TRLIA asked DWR to consider and approve the following item. When the project funding agreement was executed last year the state cost share was established at 85%; however, the state only had, at that time, funding for 79% (\$32,600,000). The funding agreement allows DWR to increase the state allocation to the full 85% should additional state funds become available.

6. Deviations in Scope, Schedule, and Budget

There are no schedule deviations at the time of this report.

During the previous quarter, DWR requested TRLIA estimate potential project cost increases, including the potential for a competitive bidding climate. In November 2018, TRLIA submitted a letter estimating an approximate \$9.5M cost increase and requesting an increase in the funding agreement limit. This increase reflected \$4.8M for the potential bidding climate in 2020 given the significant construction planned by USACE as a result of 2018 supplemental appropriations, and \$3.9M for increases associated with land acquisition.

Subsequently, in February 2019 (Current Quarter), DWR requested TRLIA provide additional information regarding the project milestones and costs. TRLIA responded to this request on April 5, 2019 (Next Quarter) indicating that the project schedule remains consistent with the funding agreement, but also identifying an increased project cost estimate of \$54M, an additional \$4M since November 2018. This is primarily a result of TRLIA receiving preliminary costs for relocation of electrical transmission facilities by PG&E and WAPA, which are estimated to be approximately \$5M.

7. Special Topics

7.1. Federal Authorization of the Project

The project was federally authorized in November 2018 as part of the America's Water Infrastructure Act of 2018 (also known as WRDA18). The authorization supersedes the need for Section 408 permission. TRLIA met with USACE twice in the previous quarter (Quarter 5) to discuss how to implement the now Federal project. At those meetings, in which DWR participated, there was consensus to continue progressing the project and provide funding to the USACE for its review through its Floodplain Management Services (FPMS) Program. The intent was to utilize the existing DWR contract. Additionally, USACE indicated that no NEPA or Federal permitting would be required, except that which was required for Section 404 permitting.

DWR and TRLIA developed and submitted a scope of work for the USACE's review. However, Sacramento District Counsel has raised concerns regarding the use of the FPMS program. TRLIA provided comments to USACE Headquarters requesting implementation guidance for the WRDA provisions in an effort to facilitate use of the program or the Interagency and International Services Program. While this issue continues to be worked out, TRLIA continues to advance design of the project to ensure construction can begin in 2020 and the project can be completed and closed out prior to expiration of the grant agreement in 2022.

7.2. Additional Funding Request

TRLIA continues to refine the program estimate as design refinements and real estate needs and appraisals are accomplished. TRLIA has notified DWR of these increases via emails and in the recent April 5, 2019 letter. TRLIA will formally document this request in a letter requesting an increase to the funding agreement limit. This letter will also request that remaining funding from TRLIA's two Early Implementation Projects; the Feather River Levee Improvement Project (FRLIP) and Upper Yuba River Levee Improvement Project (UYRLIP) be reallocated to the 200-Year Goldfields Levee Project

to support this request. TRLIA's letters dated April 5, 2019 related to the FRLIP and UYRLIP indicated that excess funding totaling approximately \$4.0 million in aggregate would be available to be re-allocated to the shortfall in State funding for the 200-Year Goldfields project. TRLIA will need DWR's expeditious review and approval of these requests.

8. Legal Issues

There are currently no pending legal actions associated with the project.

9. Actual and Projected Costs

Credit Period: On October 23, 2017, TRLIA submitted a credit request totaling \$597,062.03 for the State's review and approval. A detailed statement of actual costs and a signed invoice were provided in the October 2017 TRLIA credit request. This initial request covered costs incurred through August 2017. A supplemental request was submitted on March 31, 2018 covering costs after the initial credit request to October 3, 2017. The State's share was \$585,204.87. On June 20, 2018 TRLIA submitted a revised supplemental credit request adjusting ENGEO's reimbursable expenses markup from 20% down to 5%. The State's share of the supplemental request is \$561,909.92.

Table 9-1 on the following page provides a summary of the previously projected costs for Quarter 5 (from the 4th Quarter Report¹) as compared to the actual Costs for Quarter 5 based on the 5th Quarter SOC. The 5th Quarter SOC presents the costs for Quarters 1 through 5. **Table 9-1** also shows the State Share True-Up amount and Local Credit True-Up amounts for the actual costs incurred for Quarter 5.

Table 9-2 provides a reconciliation of the approved credit and approved and projected credit payments.

¹ Table 10-1 from the 4th Quarter Report included a two-quarter projection for Quarter 5 & 6. Table 9-1 below shows only the portion of that projection related to Quarter 5. Going forward, based upon feedback from DWR, Table 10-1 will provide a breakdown of any two-quarter projection provided so that information can be appropriately reflected in Table 9-1.

Table 9-1. TRLIA - 200-Year Goldfields Levee Project Prior Quarter Actual Cost Comparison and True-Up

Element	Description	State Cost Share A	Previously	Actual Costs for	Difference	Actual State Cost	Retention on	Payment By State G = E - F	Local Creditable Cost Share H = C x (1 - A)
			Projected Costs [1] B	Quarter 5 [2] C	between QTR and Actual D = B - C	Share E = C x A	Actual State Cost Share (10%) F = E x 10%		
1	Grant Applicatoin	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 126,283	\$ 174,557	\$ (48,273)	\$ 148,373	\$ 14,837	\$ 133,536	\$ 26,183
3	Design & ROW Support	85%	\$ 213,217	\$ 290,814	\$ (77,598)	\$ 247,192	\$ 24,719	\$ 222,473	\$ 43,622
4	Environmental Review & Permitting	85%	\$ 77,231	\$ 76,047	\$ 1,184	\$ 64,640	\$ 6,464	\$ 58,176	\$ 11,407
5	ROW Acquisition	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6	Construction, Mitigation, & Other Project Asp	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
7	Closeout Process	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ 416,731	\$ 541,418	\$ (124,687)	\$ 460,205	\$ 46,021	\$ 414,185	\$ 81,213

[1] Projected costs for Quarter 5

[2] Reference Quarter 5 SOC subject to DWR Review

Table 9-2. TRLIA - 200-Year Goldfields Levee Project Remaining Authorized Local Credit

Total Use of Credit	Amount
Initial Starting Credit Request	\$575,808
Supplemental Credit Request	\$561,910
Authorized Local Credit by DWR (to date)	\$1,137,718
less Credit Payments received (Credit Payment No. 1)	N/A
Quarter 2 local share paid by State	\$52,037
Quarter 3 local share paid by State	\$96,436
Quarter 4 local share Paid by State	\$104,449
Quarter 5 local share Paid by State	\$121,286
Pending Quarter 6 local share	\$81,213
Remaining Authorized Local Credit	\$682,298

10. Payment Requested and State Disbursements

This section of the report has been updated to include an accounting of quarterly costs incurred from the prior quarter as documented within the submitted quarterly Statements of Cost and any requested true-up funding. This requested funding is summarized in the following four tables listed below.

That has previously provided an advance for Quarters 6 and 7. Based on the projected costs for Quarter 8, TRLIA requests an advance of \$5,313,627 covering 90% of the State's share for the next quarter less funding received and not expended from prior advances. (reference Tables 10-1 & 10-2 on the following pages). Note, this request covers only Element 1 through 4, 6 & 7 (it excludes all projected Right of Way capital expenses which is shown on the following tables.)

Table 10-1 shows the Next Quarter's projected costs and associated advance request net of any true-up against prior advances and Right of Way capital projections. (Note – any prior advance funds not expended are netted from this request).

Table 10-2 provides the detail of any excess funding (or funding due) shown on Table 10-1. Excess funding (or funding due) is determined based on the State's share of the prior Advance Payments as compared to the State's Share of expenses (net of retention) documented within TRLIA's Statement of Costs.

Table 10-3 shows the remaining State budget after prior State payments (both State Share and Local Credit) as well as the projected remaining budget after the payment request shown on Table 10-1.

Table 10-4 shows a ledger of payments made to date, their use (either Local Credit or State Share Advance or True-Up) and the remaining grant balance.

Table 10-1. TRLIA - 200-Year Goldfields Levee Project: 8th Quarter Projected Cost

Element	Description	State Cost Share	Projected Costs		State Withholding on Advance (10%)	Advance State Share Funding Requested	Excess from Prior Advances [3]	Remaning Advanced Request
			Quarter 8	State Share (85%)				
		A	B [1]	D = B x A	E = D x 10%	F = D - E	G	H = G + F
1	Grant Applicatoin	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 100,864	\$ 85,734	\$ 8,573	\$ 77,161	\$ (55,983)	\$ 21,178
3	Design & ROW Support	85%	\$ 268,941	\$ 228,600	\$ 22,860	\$ 205,740	\$ 5,953	\$ 211,693
4	Environmental Review & Permitting	85%	\$ 79,652	\$ 67,704	\$ 6,770	\$ 60,934	\$ (53,083)	\$ 7,850
5	ROW Acquisition	85%	\$ 4,694,419	\$ 3,990,256	N/A	N/A	\$ -	N/A
6	Construction, Mitigation, & Other Project As	85%	\$ 6,631,250	\$ 5,636,563	\$ 563,656	\$ 5,072,906	\$ -	\$ 5,072,906
7	Closeout Process	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ 11,775,126	\$ 10,008,857	\$ 601,860	\$ 5,416,740	\$ (103,113)	\$ 5,313,627

Table 10-2. TRLIA - 200-Year Goldfields Levee Project: True-Up Funding

Element	Description	True Up Costs		Total True Up Costs	State Share of True Up Costs	Retention on State Share of True Up Costs (10%)	State Share of True Up Costs to be Immediately Funded	Payments Received to Date [3]	True Up Funding (Excess)
		QTR 5 [1]	QTR 1-4 [2]						
1	Grant Applicatoin	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	\$ 174,557	\$ 451,976	\$ 626,532	\$ 532,552	\$ 53,255	\$ 479,297	\$ 535,280	\$ (55,983)
3	Design & ROW Support	\$ 290,814	\$ 1,701,640	\$ 1,992,455	\$ 1,693,587	\$ 169,359	\$ 1,524,228	\$ 1,518,275	\$ 5,953
4	Environmental Review & Permitting	\$ 76,047	\$ 350,515	\$ 426,562	\$ 362,578	\$ 36,258	\$ 326,320	\$ 379,403	\$ (53,083)
5	ROW Acquisition	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6	Construction, Mitigation, & Other Project As	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
7	Closeout Process	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 541,418	\$ 2,504,131	\$ 3,045,549	\$ 2,588,717	\$ 258,872	\$ 2,329,845	\$ 2,432,958	\$ (103,113)

[1] Reference **Table 9-1**, Total Subject to DWR Review

[2] Reference Previously Approved DWR Statement of Costs for QTR1-4

[3] Reference **Table 10-4**

Table 10-4. TRLIA - 200-Year Goldfields Levee Project: Payment Requests and State Disbursements

Element	Description	Prior State Payments		State Share Budget	Remaining State Share Budget	Pending Advanced Request [2]	State Share of Projection Quarter 8	Remaining State Share Budget
		(Advances and True Ups) [1]						
		A	B					
1	Grant Applicatoin	\$ -	\$ 21,335	\$ 21,335	\$ -	\$ -	\$ 21,335	
2	Program Management	\$ 660,015	\$ 1,912,500	\$ 1,252,485	\$ -	\$ 85,734	\$ 1,166,750	
3	Design & ROW Support	\$ 1,643,011	\$ 4,802,500	\$ 3,159,489	\$ -	\$ 228,600	\$ 2,930,889	
4	Environmental Review & Permitting	\$ 504,139	\$ 1,105,000	\$ 600,861	\$ -	\$ 67,704	\$ 533,157	
5	ROW Acquisition	\$ -	\$ 6,098,338	\$ 6,098,338	\$ -	\$ 3,990,256	\$ 2,108,082	
6	Construction, Mitigation, & Other Project Asç	\$ -	\$ 31,843,647	\$ 31,843,647	\$ -	\$ 5,636,563	\$ 26,207,085	
7	Closeout Process	\$ -	\$ 81,345	\$ 81,345	\$ -	\$ -	\$ 81,345	
		\$ 2,807,165	\$ 45,864,665	\$ 43,057,500	\$ -	\$ 10,008,857	\$ 33,048,643	

[1] Includes all State Payments to Date

[2] All pending requests paid.

Table 10-3. TRLIA - 200-Year Goldfields Levee Project: Summary of Payment Request and Comparison to State Share Budget

Report Justifying Payment	Payment		Payment		Total Payment		Notes
	Request Date	Payment Type	Receipt Date	Credit Portion	State Portion	Amount	
Q1	2/23/2018	Advance	3/9/2018	\$0	\$1,051,439	\$1,051,439	Q1&Q2 Advance
Q2	3/28/2018	Payment	8/17/2018	\$52,037	\$489,201	\$541,238	QPR2 Payment
Q3	6/12/2018	Payment	8/21/2018	\$96,436	\$674,422	\$770,858	QPR3 Payment
Q4	12/28/2018	Payment	2/7/2019	\$104,449	\$0	\$104,449	QPR4 Payment
Q5	1/23/2019	Advance	3/28/2019	\$121,286	\$217,895	\$339,181	QPR5 Payment
Cumulative Payments				\$374,207	\$2,432,958	\$2,807,165	
Total Grant Amount [1]				\$8,665,800	\$32,600,000	\$41,265,800	
Grant Amount Remaining				\$8,291,593	\$30,167,042	\$38,458,635	

[1] Based Feb2019 budget update pending DWR Approval

11. Tracking Tables and Deliverables Table

11.1. Earned Value Report by Element

Table 11-1 on the following page, provides a summary of the costs expended to date, as compared to earned value.

11.2. Earned Value

Chart 11-1 tracks the planned costs, earned value, and actual costs for the Project. Commencing with start of Quarter 1, the Planned Cost, Earned Value, and Actual Costs, as shown in the chart, have been aligned as a starting point for tracking. Moving forward, the chart will show the Earned Value and Actual Costs incurred, relative to Planned Costs over time.

11.3. 200-Year Deliverables

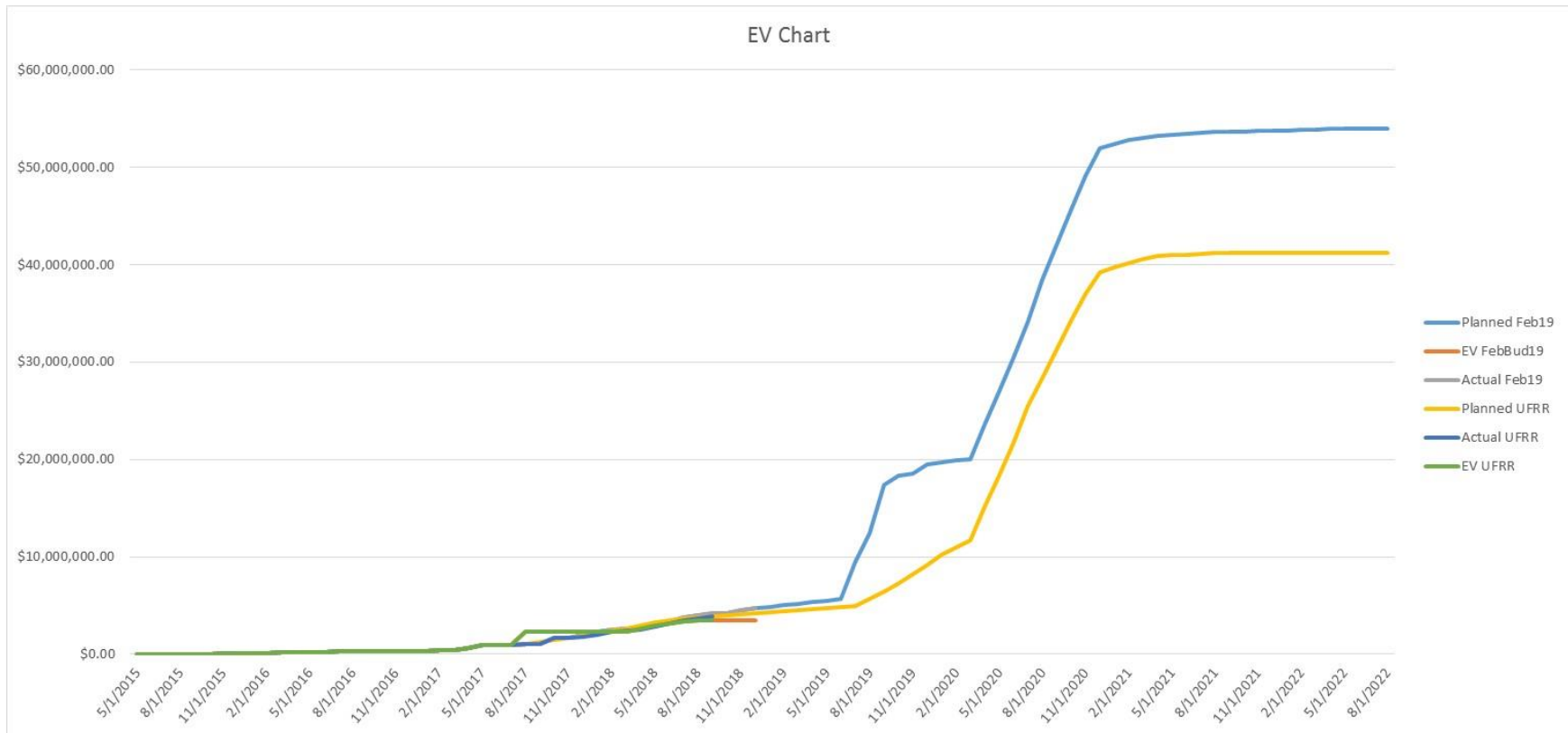
Table 11-2 lists the deliverables associated with the project and each deliverable planned date of submittal. The final two columns indicate placeholders for each deliverables' projected date of submittal and acceptance to DWR.

Table 11-1. Earned Value Report by Element

Element	Description	OAWP Budget	Cost incurred [1]	% Spent	% Progress	Planned Value	% Schedule Elapsed	Earned [1] Value
1	Grant Application	\$25,100	\$25,040	99.8%	100.0%	\$25,040	99.8%	\$25,100
2	Program Management	\$2,250,000	\$907,794	40.3%	39.0%	\$907,794	40.3%	\$877,500
3	Design & ROW Support	\$5,650,000	\$2,742,150	48.5%	40.0%	\$2,742,150	48.5%	\$2,260,000
4	Environmental Review & Permitting	\$1,300,000	\$796,651	61.3%	26.0%	\$796,651	61.3%	\$338,000
5	ROW Acquisition (Post Add to SPFC)	\$7,174,515	\$257,437	3.6%	0.0%	\$257,437	3.6%	\$0
6	Construction, Mitigation, & Other Project Activities	\$37,463,115	\$750	0.0%	0.0%	\$750	0.0%	\$0
7	Closeout Process (Post Add to SPFC)	\$95,700	\$0	0.0%	0.0%	\$0	0.0%	\$0
		\$53,958,430	\$4,729,822	8.8%	6.5%	\$4,729,822	8.8%	\$3,500,600

[1] As of December 2018; Based on costs prior to DWR Review

Chart 11-1. Earned Value



[1] Prior to August 2017 Planned, Earned, and Actual Costs are aligned.

Table 11-2. 200-Year Deliverables

Required Deliverable	Planned Date of Submittal	Date Submitted to DWR	Date DWR Accepted
Project Real Estate Plan	Q7. 2019	Not Submitted	Not Accepted.
RE Environmental Site Assessments	Q7. 2019	Not Submitted	Not Accepted.
Flood Risk Resolution	Q7. 2018	Not Submitted	Not Accepted.
Real Estate Appraisals	Rolling. Q3-Q7. 2018-2019	Not Submitted	Not Accepted.
Final Real Estate Accounting Packages (FAP's)	Rolling. Q6-Q17. 2019-2021	Not Submitted	Not Accepted.
AB 52 Consultation	Q7. 2019	Not Submitted	NA
USFWS Section 7	Q8. 2019	Not Submitted	NA
SHPO Section 106	Q8. 2019	Not Submitted	NA
USACE NEPA Document	Q8. 2019	Not Submitted	NA
404 Permit	Q8. 2019	Not Submitted	NA
RWQCB 401 Permit	Q9. 2019	Not Submitted	NA
DFW 1602 SAA	Q9. 2019	Not Submitted	NA
Addition to the SPFC	Q9. 2019	Not Submitted	Not Accepted.
90% Design Package	Q9. 2019	Not Submitted	Not Accepted.
Encroachment Permit	Q10. 2020	Not Submitted	NA
Final Design Drawings and Specifications	Q10. 2020	Not Submitted	Not Accepted.
Construction Bid Documents	Q10. 2020	Not Submitted	Not Accepted.
OMRR&R Agreement	Q10. 2020	Not Submitted	Not Accepted.
Interim OMRR&R Manual	Q12. 2020	Not Submitted	Not Accepted.
OMRR&R Draft Manual	Q12. 2020	Not Submitted	Not Accepted.
Property Transfer to SSJDD (via DWR & CVFPB)	Rolling. Q14-Q19. 2021-2022	Not Submitted	Not Accepted.
Safety and Emergency Response Plan ("Flood Safety Plan")	Q15. 2021	Not Submitted	Not Accepted.
OMRR&R Final Manual	Q15. 2021	Not Submitted	Not Accepted.
As-Built Drawings	Q15. 2021	Not Submitted	Not Accepted.
Construction Completion Report	Q15. 2021	Not Submitted	Not Accepted.
Project Completion Report	Q16. 2021	Not Submitted	Not Accepted.
Clear Path to SPFC Requirement		Q5. 2018	NA
65% Design Package		Q6. 2018	Comments Received
CEQA Supplement		Q6. 2018	NA
408 Permission	Not Required.		
Section 221 Credit MOU	NA		
2081 Permit	Not Required.		